



"মুক্তিবর্ধনের অঙ্গীকার
উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার"

বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

BSEC/Enforcement/3330/2022/992

By Special Messenger

July 07, 2022

Nabiul Karim Securities Limited
(DSE TREC No.115)
Room # 216, Stock Exchange Building
9/F, Motijheel C/A, Dhaka-1000

Attention: Managing Director/CEO

Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice No.BSEC/Enforcement/3330/2022/871 dated June 15, 2022 based on which the hearing was conducted on June 27, 2022.

The Commission, considering your explanation dated June 27, 2022 has decided to dispose of the proceedings against Nabiul Karim Securities Limited by placing on record the Commission's dissatisfaction on the default/contravention made by you with a **warning** to ensure compliance of all securities related laws in future.

Please note that this disposal does not absolve you from your lawful responsibilities/obligations to any person, if affected, as a result of such default.

For Bangladesh Securities and Exchange Commission

Mahmuda Shireen

07.07.22

Mahmuda Shireen

Deputy Director (Enforcement)

E-mail: shireen@sec.gov.bd

Copy for information:

1. P.S. to Chairman, BSEC
2. P.O.to Executive Director (SRI), BSEC
3. P.O to Executive Director (MIS), BSEC
4. Managing Director, Dhaka Stock Exchange Limited