

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3198/2021/1280

Date: December 28, 2021

Nouvelle Securities Limited

(DSE TREC No. 112)

Suit # 719, Dhaka 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/3198/2021/1108 Date: December 12, 2021 based on which the hearing was conducted on December 27, 2019.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter No. NSL: BSEC/01/2021 dated 26 December 2021 which was submitted at the time of hearing, has decided to dispose of the matter against you (Nouvelle 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 the default.

For Bangladesh Securities and Exchange Commission,

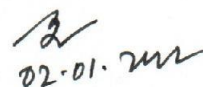

28.12.2021

Md. Sultan Salah Uddin

Deputy Director (Enforcement)

PABX: 88-02-55007131-2, Ext- 1306

E-mail: ssuddin@sec.gov.bd


02.01.2022
Dw (MIS)

Copy for information:

1. PS to the Honorable Chairman, BSEC
2. P.O. to Commissioner (Enforcement), BSEC
3. P.O. to Executive Director (MIS)
4. P.O. to Director (Enforcement), BSEC.
5. Managing Director, Dhaka Stock Exchange Ltd.