



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

Securities Commission Bhaban, E-6/C Agargaon, Sher-e-Bangla Nagar Administrative Area, Dhaka-1207, Bangladesh.

BSEC/Enforcement/3400/2022/272
Dated: March 15, 2023

By Special Messenger

Sk. Md. Mostafa Kamal
Authorized Representative of NRBC Bank Securities Limited
Hadi Mansion (3rd Floor, South Side)
2, Dilkusha C/A, Dhaka-1000

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/3400/2022/1650 dated December 13, 2022 based on which the hearing was conducted on December 21, 2022.

The Commission, considering your explanation letter no. NRBCBSL/Com/2022 dated 21.12.2022 has decided to dispose of the proceedings against Sk. Md. Mostafa Kamal (Authorized Representative of NRBC Bank 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,

Rubel
15-03-2023

Rubel Hossain
Assistant Director (Enforcement)
E-mail: rubel@sec.gov.bd
Mobile : 01922-151361.

Copy for information:

1. PS to Chairman, BSEC.
2. PO to Executive Director (MSI), BSEC.
3. PO to Executive Director (MIS), BSEC.
4. Managing Director, Dhaka Stock Exchange Ltd.