



বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

সিকিউরিটিজ কমিশন ভবন, ই-৬/সি আগারগাঁও, শের-ই-বাংলা নগর প্রশাসনিক এলাকা, ঢাকা-১২০৭, বাংলাদেশ।

BSEC/Enforcement/2724/2019/362

Dated: July 24, 2019

By Special Messenger

NBL Securities Limited
(DSE TREC No. 203)
18 Dilkusha 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/2724/2019/178 dated April 01, 2019 based on which the hearing was conducted on April 24, 2019 and re-hearing was conducted on June 12, 2019.

The Commission, considering your explanation vide letter dated 24.04.2019 and subsequent letter dated 12.06.2019 and letter dated 02.07.2019 has decided to dispose of the proceedings against NBL 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,



Mohammad Al Masum Mirdha
Deputy Director (Enforcement)
Phone : 55007147
Email: almasum@sec.gov.bd

Copy for information:

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


28.7.19

D(MIS)


28.7.19

Mr. Gaur, A3