Bangladesh Securities and Exchange Commission
Enforcement Division
Enforcement Department
Market, Market Intermediaries and Other Affairs Section
www.sec.gov.bd

BSEC/Enforcement/3615/2024/1217 By Special Messenger
Dated: October 28, 2025

01. **NBL Securities Limited (DSE TREC # 203)**, Eunoos Trade Centre (Level-19, East part), 52-53, Dilkusha C/A, Dhaka-1000.
02. **Mr. Zobayed Al-Mamun Hasan, Manaing Director & Compliance Authority** of NBL Securities Ltd, Eunoos Trade Centre (Level-19, East part),52-53, Dilkusha C/A, Dhaka-1000
03. **Ms. Farzana Ferdausi, Compliance Officer**, NBL Securities Ltd., Eunoos Trade Centre (Level-19, East part), 52-53, Dilkusha C/A, Dhaka-1000.
04. **Mr. Kazi Mehedi Arafat, Branch In-charge of Dhanmondhi**, NBL Securities Ltd., Eunoos Trade Centre (Level-19, East part), 52-53, Dilkusha C/A, Dhaka-1000.
05. **Mr. Hadisur Rahman, Former Branch In-charge** of NBL Securities Ltd., Eunoos Trade Centre (Level-19, East part), 52-53, Dilkusha C/A, Dhaka-1000.
06. **Mr. Md. Shshadat Hossain, Former Compliance Officer**, NBL Securities Ltd., Eunoos Trade Centre (Level-19, East part), 52-53, 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/3615/2024/1052 dated 14 September 2025, based on which the hearing was conducted on 29 September 2025.

Subsequently, you have submitted your replies vide letter ref: NBLSL/HO/COM/2025/09/135 dated September 29, 2025 where you mentioned your compliance status.

The Commission, considering your degree of non-compliances, has decided to warn you to be careful in future and also suggested to be cautious about maintaining due diligence related to securities related laws. Any divergence of securities related laws and failing of lawful responsibilities will be taken seriously whereas you will be brought under appropriate enforcement action.

You are hereby advised to follow up individual job responsibility of the employee and make them responsible about lapse found in the above-mentioned show-cause letter.

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,

28-10-2025
Rubel Hossain
Assistant Director (Enforcement)

Copy for information:
1. Chairman Office, BSEC.
2. P.O. to all Commissioner (Enforcement), BSEC.
3. PO to Executive Director (MIAD), BSEC; with reference to DSE letter no. DSE/MCD/BSEC/2024/1673 dated 19th March 2024.
4. PO to Executive Director (ICTD), BSEC.
5. Managing Director, Dhaka Stock Exchange PLC.