



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/3030/2021/159

Dated: January 25, 2023

By Special Messenger

Humayun Bokhteyar and his Associates
BO ID : 1205720000003759
(Client of NLI Securities Ltd.)
B-5, Dream Tower, 72, Siddeswari Road, Dhaka.

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/3030/2021/04 dated January 01, 2023 based on which the hearing was conducted on January 22, 2023.

The Commission, considering your explanation letter ref no. Nill dated 22.01.2023 has decided to dispose of the proceedings against Humayun Bokhteyar and his Associates 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
25-01-2023

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.