



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/3030/2021/161

Dated: January 25, 2023

Authorized Representative of NLI Securities Limited
(TC number # DSE/140873)
NLI Tower (1st Floor, South Side)
54, Kazi Nazrul Islam Avenue
Karwan Bazar, Dhaka-1215.

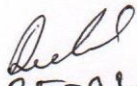
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/3030/2021/05 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 Authorized Representative of NLI Securities Limited (TC number # DSE/140873) 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,


25-01-2023

Rubel Hossain
Assistant Director (Enforcement)
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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.