

## Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3358/2022/1005  
November 08, 2023

By Special Messenger

**Md.Hossain**

**Client Code: 02646**

**BO ID: 1205720068104872**

NLI Securities Limited (DSE TREC # 244)

NLI Tower (1<sup>st</sup> Floor, South Side) 54, Kazi Nazrul Islam Avenue  
Karwan Bazar, Dhaka-1215

Attention: Managing Director, NLI Securities Ltd. (to take appropriate steps to serve the letter to concerned person)

**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/3358/2022/633 & 763 dated August 29, 2023 and October 08,2023 based on which the hearing was conducted on October 22,2023.

Considering the explanation vide letter No. dated October 22, 2023 submitted at the time of hearing, the Commission has decided to dispose of the proceedings against Md.Hossain 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

Md. Yusuf Bhuiyan  
Additional Director (Enforcement)  
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**Copy for information:**

1. P.S. to Chairman, BSEC
2. P.O to Commissioner (Enforcement), BSEC
3. P.O to Executive Director (MIS), BSEC
4. P.O.to Executive Director (SRI), BSEC
5. P.O to Executive Director (Enforcement), BSEC