

## Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3358/2022/ 767  
October 08, 2023

By Special Messenger

**Managing Director**

NLI Securities Limited (DSE TREC # 244)  
79 Motijheel C/A (1<sup>st</sup> Floor)  
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/3358/2022/629 dated August 29, 2023 based on which the hearing was conducted on September 17, 2023.

Considering the explanation vide letter No.NLIS/HO/2023-01925 dated August 17, 2023 submitted at the time of hearing, the Commission has decided to dispose of the proceedings against NLI Securities Limited by placing on record the Commission's dissatisfaction on the default/contravention made by NLI Securities Limited 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

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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