



BANGLADESH SECURITIES AND EXCHANGE COMMISSION
Securities Commission Bhaban
E-6/C Agargaon, Sher-e-Bangla Nagar
Administrative Area, Dhaka 1207, Bangladesh



BSEC/Enforcement/2987/2020/96
Dated: 08 February, 2021

By Special Messenger

NLI Securities Limited
(DSE TREC Holder No. 244)
NLI Tower (1st Floor, South Side)
54, Kazi Nazrul Islam Avenue,
Karwan Bazar, Dhaka 1215.

Attention: Managing Director/CEO

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 /2987/2020/1169 dated December 29, 2020 based on which the hearing was conducted on 11.01.2021.

The Commission, considering your explanation vide letter ref. No. NLIS/HO/2021-1343 dated January 10, 2021 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 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,


08.02.2021
Mohammad Al Masum Mirdha
Deputy Director (Enforcement)
Phone : 55007147
Email: almasum@sec.gov.bd

Copy for information:

1. PS to Chairman, BSEC.
2. PO to Executive Director (SRI), BSEC.
3. PO to Executive Director (MIS), BSEC.
4. Managing Director, Dhaka Stock Exchange Ltd.

“মুজিববর্ষের অঙ্গীকার উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার”