



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/ 482
Dated: June 21, 2023

By Special Messenger

NLI Securities Limited
NLI Tower (1st Floor),
South Side, 54 Kazi Nazrul Islam Avenue,
Kawran Bazar, Dhaka-1415

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/2987/2020/357 dated May 09, 2022 based on which the hearing was conducted on May 28, 2022.

The Commission, considering your explanation vide letter dated 25.05.2023 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,

21.06.2023

Md. Mahmudul Hasan
Assistant Director (Enforcement)
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Copy for information:

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