



বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

সিকিউরিটিজ কমিশন ভবন, ই-৬/সি আগারগাঁও, শের-ই-বাংলা নগর প্রশাসনিক এলাকা, ঢাকা-১২০৭, বাংলাদেশ।

BSEC/Enforcement/3303/2022/1151

By Special Messenger

Dated: August 29, 2022

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/3303/2022/953 dated June 28, 2022 based on which the hearing was conducted on July 17, 2022.

The Commission, considering your explanation vide letter Ref: NLIS/HO/2022-01640 dated July 17, 2022 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

Mahmuda Shireen

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Mahmuda Shireen
Deputy Director (Enforcement)
E-mail: shireen@sec.gov.bd

Copy for information:

1. P.S. to Chairman, BSEC
2. P.O. to Executive Director (MSI), BSEC
3. P.O. to Executive Director (MIS), BSEC
4. Managing Director, Dhaka Stock Exchange Limited