



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

Securities Commission Bhaban, E-6/C Agargaon, Sher-e-Bangla Nagar Administrative Area, Dhaka-1207, Bangladesh.

BSEC/Enforcement/2794/2019/490

By Courier Service

Dated: September 26, 2019.

NLI Securities Ltd. (DSE TREC # 244),
79, Motijeel C/A (1st Floor),
Dhaka-1000.

Attention: Managing Director/CEO

Sub: **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/2794/2019/420 dated July 31, 2019 based on which the hearing was scheduled on September 18, 2019.

The Commission, considering your explanation vide letter dated September 16, 2019 submitted at the time of hearing, has decided to dispose of the proceedings against NLI Securities Ltd. (DSE TREC # 244) 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 stated default.

For Bangladesh Securities and Exchange Commission

Hafiz Mohammed Harunur Rashid

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Copy for information:

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