

Bangladesh Securities and Exchange Commission
Enforcement Division
Enforcement Department
Issuer Companies Affairs Section
www.sec.gov.bd

BSEC/Enforcement/3853/2024/118

By Special Messenger

Dated: 19 January, 2025

- 01. ICB Securities Trading Company Limited**
(DSE TREC # 129)
Green City Edge (7th & 8th Floor, North East Side)
89, Kakrail, Dhaka-1000.
- 02. Mr. Md. Mofizur Rahman**
Director, CEO and Compliance Authority
ICB Securities Trading Company Limited
- 03. Mr. Supriya Saha**
Compliance Officer (Head Office)
ICB Securities Trading Company Limited
- 04. Mr. Mohammad Sarwer Alam**
Branch In-Charge
ICB Securities Trading Company Limited
- 05. Mr. Mohammad Aman Uddin**
Branch Compliance Officer
ICB Securities Trading Company Limited
- 06. Mohammad Syed Hossian**
Office Assistant
Chattogram Branch
ICB Securities Trading Company Limited

Attention: Managing Director

Subject: Warning to ensure compliance of all securities related law in future.

This refers to the Commission's Show cause cum hearing notice No. BSEC/Enforcement/3853/2024/1144, Date: December 26, 2024 based on which the hearing was conducted on January 13, 2025.

The Commission, considering and examining the facts regarding allegations and your written explanations vide letter ref: ISTCL/BSEC Reply/2024/185 dated January 13, 2025 which was submitted at the time of hearing, has decided to dispose of the matter against you 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 default.



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For Bangladesh Securities and Exchange Commission,

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Rabiul Islam
Assistant Director (Enforcement)
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Email: rabiul@sec.gov.bd

Copy for information:

1. PS to the Honorable Chairman, BSEC
2. PO to Commissioner (Enforcement), BSEC
3. PO to Executive Director (MIS)
4. PO to Executive Director (MIAD) with reference to DSE letter No: DSE/MCD/BSEC/2024/2540, dated 30 April, 2024
5. PO to Director (Enforcement), BSEC
6. Managing Director, Dhaka Stock Exchange PLC.