

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3171/2021/204

Dated: February 02, 2022

ICB Securities Trading Company Limited

DSE TREC Holder Number - 129

Green City Edge (7th Floor)

89, Kakrail, Dhaka-1000

Kind 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/3171/2021/1061 Date: December 02, 2021 based on which the hearing conducted on December 13, 2021.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter No. ISTCL/HRM/104/2021/2997 dated December 12, 2021 which was submitted at the time of hearing, has decided to dispose of the matter against you (ICB Securities Trading Company 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 the default.

For Bangladesh Securities and Exchange Commission,

02.02.2022

Md. Sultan Salah Uddin

Deputy Director (Enforcement)

PABX: 88-02-55007131-2, Ext- 1306

E-mail: ssuddin@sec.gov.bd

Copy for information:

1. PS to the Honorable Chairman, BSEC
2. P.O. to Commissioner (Enforcement), BSEC
3. P.O to Executive Director (MIS), BSEC
4. P.O to Executive Director (MSI), BSEC
5. P.O. to Director (Enforcement), BSEC.
6. Managing Director, Dhaka Stock Exchange Limited.