



BANGLADESH SECURITIES AND EXCHANGE COMMISSION
Securities Commission Bhaban
E-6/C Agargaon, Sher-e-Bangla Nagar
Administrative Area, Dhaka1207, Bangladesh



BSEC/Enforcement/2608/2018/984

By Special Messenger

Dated: November 16, 2021

ICB Securities Trading Company Ltd.
(DSE TREC holder no. 129)
Green City Edge (7th Floor)
89, Kakrail, Dhaka-1000

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/2608/2018/345 dated May 24, 2021, based on which the hearing was conducted on June 27, 2021.

The Commission, considering your subsequent adjustment of irregularities vide letter dated 29.09.2021 has decided to dispose of the proceedings and waive the imposed penalty against ICB Securities Trading Company Ltd. 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,

16.11.2021

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. Managing Director, Dhaka Stock Exchange Ltd.

“মুজিববর্ষের অঙ্গীকার উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার”