

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3166/2021/1261

By Special Messenger

Dated: December 27, 2021

ICB Securities Trading Company Limited
(DSE TREC 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/3166/2021/993 dated November 18, 2021 based on which the hearing was conducted on November 29, 2021.

The Commission, considering your explanation vide letter Ref. No: ISTCL/CMP/103/2021/2746 dated November 28, 2021 has decided to dispose of the proceedings against 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 such default.

For Bangladesh Securities and Exchange Commission

Mahmuda Shireen

27.12.21

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

02.01.22
DW (MIS)

Copy for information:

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