

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3083/2021/824
Dated: October 07, 2021

By Special Messenger

N. C. Securities Limited
(CSE TREC No. 107)
Sultan Market (2nd Floor),
151 Sk. Mujib Road,
Agrabad C/A, Chattogram.

21 OCT 2021

D/MIS

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/ 3083 /2021/549 dated August 19, 2021 based on which the hearing was conducted on September 06, 2021.

The Commission, considering your explanation vide letter dated September 06, 2021 has decided to dispose of the proceedings against N. C. Securities 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,


07.10.2021
Mohammad Al Masum Mirdha
Additional Director (Enforcement)
Phone : 55007147
Email: almasum@sec.gov.bd

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, Chittagong Stock Exchange Ltd.