BSEC/Enforcement/3657/2024/656   By Special Messenger

Dated: 11 August, 2024

01. NCCB Securities & Financial Services Limited
(DSE TREC No. 061)
NCC Bank Bhaban (3rd Floor), 13/1 & 13/2
Toyenbee Circular Road, Motijheel C/A, Dhaka-1000

02. Mr. Ahsanul Arefin, CFA
CEO & Compliance Authority
NCCB Securities & Financial Services Limited

03. Mr. Md. Sirazul Islam
Dhanmondi Branch In-Charge
NCCB Securities & Financial Services Limited

04. Mr. Masud Karim Khan
Compliance Officer
NCCB Securities & Financial Services Limited

05. Mr. Abu Shahed Mohammad Enayet Karim
Compliance Officer
NCCB Securities & Financial Services Limited

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/3657/2024/550, Date: 27 June, 2024 based on which the hearing was conducted on 07 July, 2024.

The Commission, considering and examining the facts regarding allegations and your written explanations vide letter no. NCCBSFSL/HO/BSEC/2024/252, dated July 07, 2024 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.

For Bangladesh Securities and Exchange Commission,

11.08.2024

Rabiul Islam
Assistant Director (Enforcement)
Mobile: 01731-421312
Email: rabiul@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)
4. P.O. to Director (Enforcement), BSEC.
5. Managing Director, Dhaka Stock Exchange Ltd.