

Bangladesh Securities and Exchange Commission
Enforcement Division
Enforcement Department
Market, Market Intermediaries and Other Affairs Section
www.sec.gov.bd

By Special Messenger

BSEC/Enforcement/3822/2024/325
Dated: February 18, 2025

01. **NCCB Securities & Financial Services Ltd. (DSE TREC # 061)**, NCC Bank Bhaban (3rd Floor), 13/1 & 13/2, Toyenbee Circular Road, Motijheel C/A, Dhaka-1000.
02. **Mr. Ahsanul Arefin, Chief Executive Officer & Compliance Authority**, NCCB Securities & Financial Services Ltd., NCC Bank Bhaban (3rd Floor), 13/1 & 13/2, Toyenbee Circular Road, Motijheel C/A, Dhaka-1000.
03. **Mr. Monzurul Alam, Compliance Officer**, NCCB Securities & Financial Services Ltd., NCC Bank Bhaban (3rd Floor), 13/1 & 13/2, Toyenbee Circular Road, Motijheel C/A, Dhaka-1000.

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/3822/2024/141 dated 19 January 2025, based on which the hearing was conducted on 27 January 2025.


Subsequently, you have submitted your replies vide letter ref: NCCBSFSL/HO/BSEC/Show-cause/2025/33 dated January 22, 2025, where you mentioned your compliance status.

The Commission, considering your degree of non-compliances, has decided to warn you to be careful in future and also suggested to be cautious about maintaining due diligence related to securities related laws. Any divergence of securities related laws and failing of lawful responsibilities will be taken seriously whereas you will be brought under appropriate enforcement action.

You are hereby advised to follow up individual job responsibility of the employee and make them responsible about lapse found in the above-mentioned show-cause letter.

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,


18-02-2025
Rubel Hossain
Assistant Director (Enforcement)

Copy for information:

1. Chairman Office, BSEC.
2. P.O. to all Commissioner (Enforcement), BSEC.
3. PO to Executive Director (MIAD), BSEC; with reference to DSE letter no. DSE/MCD/BSEC/2024/5498 dated 10th September 2024.
- ✓ 4. PO to Executive Director (ICTD), BSEC.
5. Managing Director, Dhaka Stock Exchange PLC.