

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

BSEC/Enforcement/3526/2023/402
Dated: May 05, 2024

By Special Messenger

01. NCCB Securities & Financial Services Ltd.
(DSE TREC Holder No# 061)
NCC Bank Bhaban (3rd Floor), 13/1 & 13/2,
Toyenbee Circular Road, Motijheel C/A, Dhaka-1000.
02. Mr. Monzurul Alam
COO
NCCB Securities & Financial Services Ltd.
(DSE TREC Holder No# 061)
NCC Bank Bhaban (3rd Floor), 13/1 & 13/2,
Toyenbee Circular Road, Motijheel C/A, Dhaka-1000.
03. Mr. Md. Abdur Rahman
Accounts In-Charge
NCCB Securities & Financial Services Ltd.
(DSE TREC Holder No# 061)
NCC Bank Bhaban (3rd Floor), 13/1 & 13/2,
Toyenbee Circular Road, Motijheel C/A, Dhaka-1000.

Attention: Managing Director/CEO/Alleged Person

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/3526/2023/245 dated March 18, 2024 based on which the hearing was conducted on March 24, 2024.

The Commission, considering your adjustment of irregularities vide your letter dated 20.03.2024 has decided to dispose of the proceedings 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 such default.

For Bangladesh Securities and Exchange Commission,



05.05.2024

Md. Mahmudul Hasan
Assistant Director (Enforcement)
Mobile: 01515292195
Email: mahmudulhasan@sec.gov.bd

Copy for information:

1. PS to Chairman, BSEC.
2. PO to Executive Director (SMMID), BSEC. With reference to the note Dated: November 29, 2023.
3. PO to Executive Director (ICTD), BSEC.
4. Managing Director, Dhaka Stock Exchange PLC. With reference no. DSE/MCD/BSEC/2023/019/6451 Dated: November 09, 2023.