

Bangladesh Securities and Exchange Commission

By Courier Service

BSEC/Enforcement/2817/2019/৪০৪

Dated: 06.09.2021

NCCB Securities and Financial Services Limited
(DSE TREC holder no. 61)
NCC Bank Bhaban (3rd Floor),
13/1 & 13/2 Toyenbee Circular Road,
Motijheel C/A, Dhaka 1000.

Attention: Managing Director/CEO

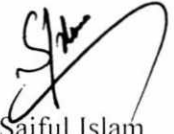
Sub: Warning to ensure compliance of all Securities related law in future.

This refers to the Commission's show cause cum hearing notice no. BSEC/Enforcement/2817/2019/557 dated 19.08.201, BSEC/Enforcement/2817/2019/558 dated 19.08.201, and BSEC/Enforcement/2817/2019/559 dated 19.08.201 based on which the hearing was conducted on 07.09.2021.

The Commission, considering the explanation vide letter dated 07.09.2021 & 14.09.2021 submitted at the time of hearing, has decided to warn of the aforesaid show cause cum hearing notice against NCCB Securities and Financial Services 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 the default.

For Bangladesh Securities and Exchange Commission.


Md. Saiful Islam
Joint Director
Email: mislam@sec.gov.bd
Ph. no. 55007145

Copy for information:

- Executive Director (Surveillance), BSEC
- Executive Director (MIS), BSEC
- MD, Dhaka Stock Exchange
- Chairman's Office, BSEC