

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2066/2014/ 46।

Dated: 15 March, 2022

By Courier Service

NCCB Securities & Financial Services Ltd.
(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

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/2066/2014/130 dated January 19, 2022 based on which the hearing was conducted on February 07, 2022.

The Commission, considering the explanation vide letter no. NCCBSFSL/HO/BSEC/2022/823 dated February 07, 2022 which was submitted at the time of hearing, has decided to dispose of the proceedings against NCCB Securities And Financial Services Ltd. 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,

Muhammad Sadequr Rahman Bhuiyan
Assistant Director (Enforcement)

Copy for information:

Chairman's Office, BSEC
Managing Director, Dhaka Stock Exchange Ltd.
Executive Director (SRI), BSEC
Executive Director (MIS), BSEC