

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2532/2018/315

By Special Messenger

Dated: 16 February, 2022

NCCB Securities & Financial Services Ltd. (DSE TREC 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 law in future.

This refers to the Commission's Show cause cum hearing notice no. BSEC/Enforcement/2532/2018/232
Date: 06 February, 2022 based on which the hearing was conducted on 14 February, 2022.

The Commission, considering and examining the facts regarding allegations and your written explanations vide letter no. NCCBSFSL/HO/BSEC/2022/827 dated February 14, 2022 which was submitted at the time of hearing, has decided to dispose of the matter against you (NCCB Securities & 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,


16.2.2022

Rabiul Islam

Assistant Director (Enforcement)

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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.