



Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3082/2021/ 1191

Dated: December 20, 2021

NCCB Securities & Financial Services Limited

DSE TREC Holder Number - 061

NCC Bank Bhaban (3rd Floor)

13/1 & 13/2, Toyenbee Circular Road

Motijheel C/A, Dhaka-1000

Kind 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/3082/2021/1000 Dated: November 18, 2021 based on which the hearing was conducted on December 06, 2019.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter No. NCCBSFSL/HO/BSEC/2021/704 dated December 06, 2021 which was submitted at the time of hearing, has decided to dispose of the matter against you (NCCB Securities & 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. Sultan Salah Uddin
20.12.2021

Md. Sultan Salah Uddin

Deputy Director (Enforcement)

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26-12-2021
Div (MIS)

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.