

## Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2030/2014/ 775

By Special Messenger

Dated: May 24, 2022

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NCCB Securities & Financial Services Ltd  
(DSE TREC-061)  
NCC Bank Bhaban (3<sup>rd</sup> 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/2030/2014/173 dated January 25, 2022 based on which the hearing was conducted on February 06, 2022.

The Commission, considering your explanation vide letter dated 06.02.2022 has decided to dispose of the proceedings against 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 such default.

For Bangladesh Securities and Exchange Commission,

MHC  
24.05.2022

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

Copy for information:

1. PS to Chairman, BSEC.
2. PO to Executive Director (SRI), BSEC.
3. PO to Executive Director (MIS), BSEC.
4. Managing Director, Dhaka Stock Exchange Ltd.