



# BANGLADESH SECURITIES AND EXCHANGE COMMISSION

JIBON BIMA TOWER (14, 15, 16 & 20 FLOOR), 10 DILKUSHA C/A, DHAKA-1000, BANGLADESH

E-6/C, Agargaon, Shere Bangla Nagar, Dhaka-1207

SEC/Enforcement/1052/2012/176

Dated: June 15, 2017

**By Courier Service**

NCCB Securities & Financial Services Ltd.  
NCC Bank Bhaban (3rd Floor)  
13/1 & 13/2, Toyenbee Circular Road  
Motijheel C/A  
Dhaka – 1000

**Attention:** Managing Director/CEO

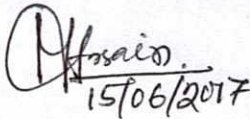
Sub: **Non-compliance of securities related laws. WARNING**

This refers to the commission's show cause-cum-hearing notice no. SEC/Enforcement/1052/2012/15 dated January 10, 2017 based on which the hearing was conducted on May 15, 2017.

The Commission, considering your explanation vide letter dated May 03, 2017 submitted at the time of hearing, 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 the stated default.

For Bangladesh Securities and Exchange Commission

  
15/06/2017

**Md. Hossain Khan**

Deputy Director

**Copy for information:**

Commissioner (Enforcement), BSEC  
Executive Director (Surveillance), BSEC  
Executive Director (Law), BSEC  
Executive Director (MIS), BSEC  
Chairman's Office