

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2759/2019/1269

By Special Messenger

December 28, 2021

NCCB Securities and Financial Services Ltd.
(DSE TREC No.61)
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/2759/2019/1019 dated November 24, 2021 based on which the hearing was conducted on December 13, 2021.

The Commission, considering your explanation vide letter Ref: NCCBSFSL/HO/BSEC/2021/727 dated December 13, 2021 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 such default.

For Bangladesh Securities and Exchange Commission

Mahmuda Shireen
28.12.21

Mahmuda Shireen
Deputy Director (Enforcement)
E-mail: shireen@sec.gov.bd

02.01.22
Dw (MIS)

Copy for information:

1. P.S. to Chairman, BSEC
2. P.O. to Executive Director (SRI), BSEC
3. P.O. to Executive Director (MIS), BSEC
4. Managing Director, Dhaka Stock Exchange Limited