



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/2116/2014/206

Dated: May 25, 2016

By Special Messenger

NCCB Securities & Financial Services Limited

DSE TREC# 061

NCC Bank Bhaban (3rd floor),

13/1 & 13/2 Toyenbee Circular Road

Motijheel C/A, Dhaka-1000

Attention: Managing Director/CEO

Subject: Review of imposed penalty against BSEC penalty Orders No. BSEC/Enforcement/2116/2014/35 dated January 19, 2016 in connection with non- Non-compliance of securities law.

This refers to your letter No.NCCBSFSL/HO/2016/226 dated January 31, 2016 and the Commission's Penalty Order No.BSEC/ Enforcement/2116/2014/35 dated January 19, 2016.

The Commission has considered your review petition under section 26 of the Securities and Exchange Ordinance, 1969 and reduced the penalty amount from Tk.15.00 (fifteen) lac to Tk.5.00 (five) lac. You are requested to deposit the penalty within fifteen days from the issuance of this letter.

For Bangladesh Securities and Exchange Commission

Md. Yusuf Bhuiyan
Deputy Director(Enf.)

Copy for information:

Chief Executive Officer, Dhaka Stock Exchange Limited.

PS to Chairman, BSEC

PO to Executive Director, (SRI), BSEC

PO to Executive Director, (Law), BSEC

PO to Executive Director, (MIS), BSEC