



বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

সিকিউরিটিজ কমিশন ভবন, ই-৬/সি আগারগাঁও, শের-ই-বাংলা নগর প্রশাসনিক এলাকা, ঢাকা-১২০৭, বাংলাদেশ।

BSEC/Enforcement/2891/2020/312

Dated: 01 July, 2020

By Special Messenger

NCCB Securities and Financial Services Limited
(DSE TREC No. 61 and CSE TREC No. 132)
NCC Bank Bhaban 3rd Floor,
13/1 & 13/2 Toyenbee Circular Road
Mothijheel Commercial Area
Dhaka-1000

Attention: Managing Director/CEO

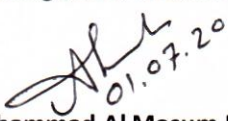
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice no. BSEC/Enforcement/2891/2020/121 dated February 16, 2020 based on which the hearing was conducted on March 04, 2020.

The Commission, considering your explanation vide letter ref no. NCCBSFSL/HO/INSPECTION/2020/103 dated 04.03.2020 has decided to dispose of the proceedings against NCCB Securities and 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,


Mohammad Al Masum Mirdha
Deputy Director (Enforcement)
Phone : 55007147
Email: almasum@sec.gov.bd

Copy for information:

1. PS to the Honorable Chairman, BSEC.
2. PO to Executive Director (SRI), BSEC.
- ✓ 3. PO to Executive Director (MIS), BSEC