

No. SEC/Enforcement/1108/2013/ 11
January 18, 2015
ICB Securities Trading Company Limited
DSE Member # 129
Shilpa Bank Bhaban, 8 DIT Avenue (13th floor),
Dhaka - 1000.

By Courier Service

Attention: Managing Director/CEO

Subject: Show cause cum notice for hearing: Non-compliance of securities related laws: Warning.

This refers to the Commission's show cause cum hearing notice No. SEC/Enforcement/1108/2013/602 dated September 8, 2014 and submission the reply of above matter to the Commission vide letter Ref: ISTCL/CMP/103/2014 dated September 25, 2014.

The Commission, considering your subsequent compliance, has decided to dispose of the proceedings against ICB Securities Trading Company Limited Ltd and others concerned 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 said default.

For Bangladesh Securities and Exchange Commission

Mohammad Siddiqur Rahman

Deputy Director

Copy for information:

Managing Director, Dhaka Stock Exchange Ltd.
Managing Director, Chittagong Stock Exchange Ltd.
Executive Director (Surveillance), Bangladesh SEC
Executive Director (MIS), Bangladesh SEC
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