



বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

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

BSEC/Enforcement/2759/2019/328

Dated: 15 July, 2019

By Special Messenger

NCCB Securities & Financial Services Limited
(DSE TREC No. 061)
NCC Bank Bhaban (3rd Floor),
13/1 & 13/2, Toyenbee Circular Road,
Motijheel C/A,
Dhaka – 1000.

Attention: Managing Director/CEO

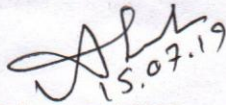
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2759/2019/268 dated May 27, 2019 based on which the hearing was conducted on June 19, 2019.

The Commission, considering your explanation vide letter no. NCCBSFSL/HO/ INSPECTION/ 2019/464 dated 19.06.2019 has decided to dispose of the proceedings against NCCB Securities & 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,


15.07.19

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

Copy for information:

1. Managing Director, Dhaka Stock Exchange Ltd.
2. PS to the Honorable Chairman, BSEC.
3. PO to Executive Director (SRI), BSEC.
4. PO to Executive Director (MIS), BSEC


23.07.19

D (MIS)


23.7.19

M.V. GOUR, AD