



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

Securities Commission Bhaban, E-6/C Agargaon, Sher-e-Bangla Nagar Administrative Area, Dhaka-1207, Bangladesh.

BSEC/Enforcement/1064/2012/1০১
Dated: January 19, 2023

By Special Messenger

UGC Securities Ltd.
(DSE TREC-054)
10, Dilkusha C/A (6th Floor),
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/1064/2012/1389 dated October 20, 2022 based on which the hearing was conducted on October 30, 2022.

The Commission, considering your explanation vide letter dated 27.10.2022 has decided to dispose of the proceedings against UGC Securities 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,


19.01.2023

Md. Mahmudul Hasan
Assistant Director (Enforcement)
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Copy for information:

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