



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/3249/2022/135
January 19, 2023

By Courier Service

Mostafa Helal Kabir
(B.O account holder)
UCB Stock Brokerage Limited
Bulus Center (17th Floor, West Side)
Plot # CWS(A)1, Road # 34
Gulshan Avenue, Gulshan, Dhaka-1212

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/3249/2022/405 dated March 02, 2022 based on which the hearing was conducted on May 29, 2022.

Considering the explanation submitted at the time of hearing, the Commission has decided to dispose of the proceedings against Mostafa Helal Kabir 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

Akram Siraj
19.01.2023

Akram Siraj
Assistant Director (Enforcement)
E-mail: akram@sec.gov.bd

Copy for information:

1. P.S. to Chairman, BSEC
2. P.O. to Commissioner (Enforcement), BSEC
3. P.O. to Director (MIS), BSEC
4. Managing director, DSE