



# BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

**BSEC/Enforcement/3403/2022/300**

Dated: April 04, 2023

**By Special Messenger**

Farhana Abedin (BOID # 1205590055721480  
Client of UCB Capital Management Ltd.)  
Rodela, 119/3 Bara Moghbazar  
Ramna, Dhaka.

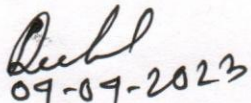
**Subject: Warning to ensure compliance of all securities related laws in future.**

This refers to the Commission's show cause cum hearing notice No.BSEC/Enforcement/3403/2022/244 dated March 05, 2023 based on which the hearing was conducted on March 27, 2023.

The Commission, considering your explanation letter no. Nill dated 27.03.2023 has decided to dispose of the proceedings against Farhana Abedin 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,

  
09-09-2023  
Rubel Hossain  
Assistant Director (Enforcement)  
E-mail: rubel@sec.gov.bd  
Mobile : 01922-151361.

Copy for information:

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