



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/3035/2021/16 ৪৩

December 28, 2022

By Courier Service

Mohammad Abdul Hai

(B/O account holder)

Client code: S1000

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/3035/2021/1161 dated August 30, 2022 based on which the hearing was conducted on September 11, 2022.

Considering the explanation submitted at the time of hearing, the Commission has decided to dispose of the proceedings against Mohammad Abdul Hai 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


28.12.2022

Akram Siraj

Assistant Director (Enforcement)

Email: 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