

Bangladesh Securities and Exchange Commission
Enforcement Division
Enforcement Department
Market, Market Intermediaries and Other Affairs Section
www.sec.gov.bd

BSEC/Enforcement/3475/2023/548

Dated: June 26, 2024

Mostofa Helal Kabir

(BI ID : 1205590064412518)

Client of UCB Stock Brokerage Limited)

ENA Wisdom, Flat No-C-4, 25/A

Tipu Sultan Road, Wari, 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/3475/2023/06 dated 03 January 2024 and rescheduled notice no. BSEC/Enforcement/3475/2023/219 dated 06 March 2024 based on which the hearing was conducted on 24 March 2024.

The Commission, considering your explanation vide letter ref. nill dated 18.01.2024 (Commission received on 24.03.2024) has decided to dispose of the proceedings against Mostofa Helal Kabir ((BI ID : 1205590064412518, Client of UCB Stock Brokerage 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 such default.

By order of the Bangladesh Securities and Exchange Commission,


26-06-2024

Rubel Hossain

Assistant Director (Enforcement)

E-mail: rubel@sec.gov.bd

Mobile : 01922-151361.

Copy for information:

1. Chairman Office, BSEC.
2. PO to Executive Director (MIAD), BSEC; with reference to DSE letter ref. DSE/2023/IED/2195 dated 11 April 2023.
3. PO to Executive Director (ICTD), BSEC.
4. Managing Director, Dhaka Stock Exchange PLC.