

বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

BSEC/Enforcement/3007/2021-797

By Courier service

Date: October 05, 2021

Mr. Mohammed Assaduzzaman (TC number DSE/155145)

SEO

UCB Stock Brokerage Limited

6, Dilkusha C/A (1st Floor), Dhaka-1000


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

This refers to the Commission's show cause cum hearing notice no. BSEC/Enforcement/3007/2021-507 dated- August 16, 2021 based on which the hearing was conducted on September 07, 2021.

The Commission, considering your physical hearing and written explanation vide letter no- --- dated September 07, 2021, which was submitted at the time of hearing, has decided to dispose of the proceedings against you 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 and any other involved from their lawful responsibilities/obligations to any person, if affected, as a result of the default.

For Bangladesh Securities and Exchange Commission,

  
05.10.21

(Md. Rafiqunnabi)

Deputy Director (Enforcement)

E-mail- [rafiq@sec.gov.bd](mailto:rafiq@sec.gov.bd)

13 OCT 2021

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