



বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন
সিকিউরিটিজ কমিশন ভবন
ই-৬/সি আগারগাঁও, শের-ই-বাংলা নগর প্রশাসনিক এলাকা, ঢাকা-১২০৭
www.sec.gov.bd



By Courier

BSEC/Enforcement/3004/2021-198

Date: March 18, 2021

UCB Capital Management Limited (DSE TREC 181)
Room-633, 74, Motijheel C/A
Dhaka 1000.

Attention: Managing Director/CEO


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/3004/2021-90 dated February 04, 2021 based on which the hearing was conducted on February 22, 2021.

The Commission, considering your hearing and written explanation vide letter ref no: UCB/BSEC_Query/2021/0291 dated February 22, 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 UCB Capital Management Limited (DSE TREC 181), its Directors, Managing Director, Company Secretary and any other who involved from their lawful responsibilities/obligations to the person(s) who affected (if any), as a result of such default.

For Bangladesh Securities and Exchange Commission,



18.03.21

(Md. Rafiqunnabi)
Assistant Director (Enforcement)
E-mail- rafiq@sec.gov.bd

Copy for information:

1. Chairman's Office, BSEC
2. Commissioner (Enforcement), BSEC
3. Executive Director (MSI), BSEC
4. Executive Director (MIS), BSEC
5. Office file



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By Courier

BSEC/Enforcement/3004/2021-200

Date: March 18, 2021

Mrs. Nura Tajmin Naher
UCB Capital Management Limited (DSE TREC 181)
Room-633, 74, Motijheel C/A
Dhaka 1000.

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/3004/2021-90 dated February 04, 2021 based on which the hearing was conducted on February 22, 2021.

The Commission, considering your hearing and written explanation vide letter ref no: -- dated February 22, 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 Mrs. Nura Tajmin Naher and any other who involved from their lawful responsibilities/obligations to the person(s) who affected (if any), as a result of such default.

For Bangladesh Securities and Exchange Commission,

(Md. Rafiqunnabi)
Assistant Director (Enforcement)
E-mail- rafiq@sec.gov.bd

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