

Bangladesh Securities and Exchange Commission  
Enforcement Division  
Enforcement Department  
Issuer Companies Affairs Section  
[www.sec.gov.bd](http://www.sec.gov.bd)

BSEC/Enforcement/3626/2024/580  
Dated: 08 July, 2024

By Special Messenger

01. UCB Stock Brokerage Limited  
(DSE TREC No. 181)  
Bulus Center (17th Floor, West Side),  
Plot # CWS(A)1, Road # 34,  
Gulshan Avenue, Gulshan, Dhaka-1212.
02. Mr. Mohammed Rahmat Pasha  
Managing Director and CEO  
UCB Stock Brokerage Limited
03. Mr. Md. Rafiqul Islam  
Head of Internal Control & Compliance Officer  
UCB Stock Brokerage Limited
04. Mr. Taufiq Hasan Khan  
Bansree In-Charge  
UCB Stock Brokerage Limited
05. Mr. Shakh Riad Adnan  
Trader of Bansree  
UCB Stock Brokerage Limited


**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/3626/2024/484, Date: 28 May, 2024 based on which the hearing was conducted on 24 June, 2024.

The Commission, considering and examining the facts regarding allegations and your written explanations vide letter Ref. No. UCB Stock/BSEC/2024/06/---dated June 24, 2024 which was submitted at the time of hearing, has decided to dispose of the matter 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 from your lawful responsibilities/obligations to any person, if affected, as a result of the default.

For Bangladesh Securities and Exchange Commission,

  
Rabiul Islam

Assistant Director (Enforcement)

Mobile: 01731-421312

Email: rabiul@sec.gov.bd

**Copy for information:**

1. PS to the Honorable Chairman, BSEC
2. P.O. to Commissioner (Enforcement), BSEC
3. P.O to Executive Director (MIS)
4. P.O. to Director (Enforcement), BSEC.
5. Managing Director, Dhaka Stock Exchange Ltd.