

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

BSEC/Enforcement/3832/2024/232  
Dated: 03 February, 2025

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, CEO and Compliance Authority  
UCB Stock Brokerage Limited

**03. Mr. Md. Rafiqul Islam**

Compliance Officer  
UCB Stock Brokerage Limited

**04. Mr. Md. Kaisarul Amin**

Chattogram Digital Booth In-Charge(present)  
UCB Stock Brokerage Limited

**05. Mr. Monir Hossain**

Chattogram Digital Booth In-Charge(previous)  
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/3832/2024/1208, Date: December 31, 2024 based on which the hearing was conducted on January 20, 2025.

The Commission, considering and examining the facts regarding allegations and your written explanations vide letter ref: UCB Stock/BSEC/2024/06/1164 dated January 18, 2025 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,

*03/02/2025*

Rabiul Islam  
Assistant Director (Enforcement)  
Mobile: 01731-421312  
Email: rabiul@sec.gov.bd

**Copy for information:**

1. PS to the Honorable Chairman, BSEC
2. PO to Commissioner (Enforcement), BSEC
3. PO to Executive Director (MIS)
4. PO to Executive Director (MIAD) with reference to DSE letter No: DSE/MCD/BSEC/2024/2540, dated 30 April, 2024
5. PO to Director (Enforcement), BSEC
6. Managing Director, Dhaka Stock Exchange PLC.