



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

Securities Commission Bhaban, E-6/C Agargaon, Sher-e-Bangla Nagar Administrative Area, Dhaka-1207, Bangladesh.

BSEC/Enforcement/3283/2022/1061

Dated: December 05, 2023

UCB Stock Brokerage Limited

(DSE TREC holder # 181)

Bulus Center (17th Floor, West Side), Plot # CWS(A)1

Road # 34, Gulshan Avenue, Gulshan, Dhaka-1212

Kind Attention: Managing Director / CEO.

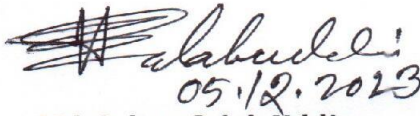
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's Show cause cum hearing notice No. BSEC/Enforcement/3283/2022/648 Dated: September 07, 2023 based on which the hearing was conducted on September 24, 2023.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter No. UCB Stock/BSEC/Show cause/2023/09 dated September 24, 2023 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.

By order of the Bangladesh Securities and Exchange Commission,


05.12.2023

Md. Sultan Salah Uddin

Deputy Director (Enforcement)

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E-mail: ssuddin@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 (Surveillance) [Ref: BSEC/Surveillance/2020-949(Vol-3)]
- ✓ 4. P.O. to Executive Director (MIS).
5. P.O. to Director (Enforcement), BSEC.