



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/ 3271/2022/ 1357
Dated: October 20, 2022

By Courier Service

UCB Stock Brokerage Limited (DSE TREC# 181)
Bulus Center (17th Floor, West Side), Plot # CWS(A)1, Road # 34, Gulshan Avenue, Gulshan
Dhaka-1212

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/3271/2022/1086 dated August 04, 2022 based on which the hearing was scheduled and conducted on August 21, 2022.

The Commission, considering the explanation vide letter UCB Stock/BSEC/Show cause/2022/08/998 dated August 22, 2022 which was submitted at the time of hearing, has decided to dispose of the proceedings against UCB Stock Brokerage Limited 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,

Muhammad Sadequr Rahman Bhuiyan
Assistant Director (Enforcement)

Copy for information:

Chairman's Office, BSEC
Executive Director (MSI), BSEC
Executive Director (MIS), BSEC
Managing Director, Dhaka Stock Exchange Ltd.