

## Bangladesh Securities and Exchange Commission

**BSEC/Enforcement/3174/2021/12 63**  
**Dated: December 27, 2021**

**By Special Messenger**

UCB Stock Brokerage Limited  
(TREC Holder # 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.**

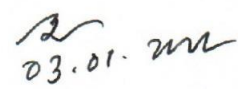
This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/3174/2021/1022 dated November 24, 2021 based on which the hearing was conducted on December 13, 2021.

The Commission, considering your explanation vide letter dated 13.12.2021 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 such default.

For Bangladesh Securities and Exchange Commission,

  
27.12.2021  
Md. Mahmudul Hasan  
Assistant Director-v (Enforcement)  
Mobile: 01515292195  
Email: mahmudulhasan@sec.gov.bd

  
03.01.2022  
Dw (MIS)

Copy for information:

1. PS to Chairman, BSEC.
2. PO to Executive Director (SRI), BSEC.
3. PO to Executive Director (MIS), BSEC.
4. Managing Director, Dhaka Stock Exchange Ltd.