



# বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

সিকিউরিটিজ কমিশন ভবন, ই-৬/সি আগারগাঁও, শের-ই-বাংলা নগর প্রশাসনিক এলাকা, ঢাকা-১২০৭, বাংলাদেশ।

**BSEC/Enforcement/3303/2022/1148**

**By Special Messenger**

Dated: August 29, 2022

UCB Stock Brokerage Limited  
(DSE TREC holder no.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/3303/2022/948 dated June 28, 2022 based on which the hearing was conducted on July 17, 2022.

The Commission, considering your explanation vide letter Ref: UCB Stock/BSEC/Show cause/2022/07/863 dated July 17, 2022 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

*Mahmuda Shireen*

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**Mahmuda Shireen**

Deputy Director (Enforcement)

E-mail: [shireen@sec.gov.bd](mailto:shireen@sec.gov.bd)

**Copy for information:**

1. P.S. to Chairman, BSEC
2. P.O. to Executive Director (MSI), BSEC
3. P.O. to Executive Director (MIS), BSEC
4. Managing Director, Dhaka Stock Exchange Limited