

## Bangladesh Securities and Exchange Commission

“মুজিববর্ষের অঙ্গীকার  
উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার”

BSEC/Enforcement/2932/2020/1286

Dated: December 29, 2021

**UGC Securities Limited**

(DSE TREC No. 054)

10, Dilkusha C/A (6th Floor)

Dhaka-1000.

**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/2932/2020/ 1205 Dated: December 21, 2021 based on which the hearing was conducted on December 27, 2019.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter UGC/BSEC/2021/41 dated 26 December 2021 which was submitted at the time of hearing, has decided to dispose of the matter against you (UGC Securities 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,

*Md. Sultan Salah Uddin*  
29.12.2021

**Md. Sultan Salah Uddin**

**Deputy Director (Enforcement)**

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02.01.2022

*DW (MIS)*

**Copy for information:**

1. PS to the Honorable Chairman, BSEC
2. P.O. to Commissioner (Enforcement), BSEC
3. P.O. to Executive Director (MIS)
4. P.O. to Director (Enforcement), BSEC.
5. Managing Director, Dhaka Stock Exchange Ltd.