

Bangladesh Securities and Exchange Commission

“মুজিববর্ষের অঙ্গীকার
উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার”

BSEC/Enforcement/2949/2020/১০৭৭

Date: December 05, 2021

UCB Capital Management Limited
(DSE TREC Holder No: 181)
Room – 633, 74, Motijheel C/A
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/2949/2020-87 Dated February 03, 2021 based on which the hearing was conducted on February 22, 2021.

The Commission, considering your explanation, has decided to dispose of the matter against you (UCB Capital Management 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.

By order of Bangladesh Securities and Exchange Commission,

Md. Yusuf Bhuiyan
Additional Director (Enforcement)
Phone: 88-02-55007139
E-mail: yusuf@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 (MIS), BSEC.
4. P.O. to Director (Enforcement), BSEC.

14 DEC 2021

15/12/2021
Director (MIS)

DD-I (MIS)