

Bangladesh Securities and Exchange Commission  
Enforcement Division  
Enforcement Department  
Issuer Companies Affairs Section  
[www.sec.gov.bd](http://www.sec.gov.bd)

BSEC/Enforcement/3627/2024/578  
Dated: 08 July, 2024

By Special Messenger

- 01. UniCap Securities Limited**  
(DSE TREC No. 163)  
A-A Bhaban (9th Floor),  
23, Motijheel C/A, Dhaka-1000.
- 02. Mr. Shahriar Azad**  
Compliance Officer  
UniCap Securities Limited.
- 03. Mr. Shihab Mahmud**  
Accounts In-Charge  
UniCap Securities Limited

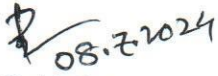
**Subject: Warning to ensure compliance of all securities related law in future.**

This refers to the Commission's Show cause cum hearing notice No. BSEC/Enforcement/3627/2024/485, Date: 28 May, 2024 based on which the hearing was conducted on 24 June, 2024.

The Commission, considering and examining the facts regarding allegations and your written explanations vide letter Ref: UCSL/COMP/MSAB/2024/0226 dated June 23, 2024 which was submitted at the time of hearing, has decided to dispose of the matter against you 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,

  
08.7.2024

Rabiul Islam  
Assistant Director (Enforcement)  
Mobile: 01731-421312  
Email: rabiul@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)
4. P.O. to Director (Enforcement), BSEC.
5. Managing Director, Dhaka Stock Exchange Ltd.