

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

BSEC/Enforcement/3831/2024/120  
Dated: 19 January, 2025

By Special Messenger

01. **UniCap Securities Limited**  
(DSE TREC No. 163)  
A-A Bhaban (9th Floor),  
23, Motijheel C/A, Dhaka-1000.
02. **Mr. Wali Ul Islam**  
CEO and Compliance Authority  
UniCap Securities Limited.
03. **Mr. Mohammad Shahriar Azad Bhuiyan**  
Compliance Officer (Head Office)  
UniCap Securities Limited
04. **Mr. Mohammad Shamsur Rahman (Rakib)**  
Branch In-Charge  
UniCap Securities Limited
05. **Mr. Tawsif Newaz**  
Branch Compliance Officer  
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/3831/2024/1159, Date: December 29, 2024 based on which the hearing was conducted on January 13, 2025.

The Commission, considering and examining the facts regarding allegations and your written explanations vide letter ref: UCSL/COMP/MSAB/2025/0009 dated January 12, 2025 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,

  
Rabiul Islam  
Assistant Director (Enforcement)  
Mobile: 01731-421312  
Email: rabiul@sec.gov.bd

**Copy for information:**

1. PS to the Honorable Chairman, BSEC
2. PO to Commissioner (Enforcement), BSEC
3. PO to Executive Director (MIS)
4. PO to Executive Director (MIAD) with reference to DSE letter No: DSE/MCD/BSEC/2024/2540, dated 30 April, 2024
5. PO to Director (Enforcement), BSEC
6. Managing Director, Dhaka Stock Exchange PLC.