



BANGLADESH SECURITIES AND EXCHANGE COMMISSION
Securities Commission Bhaban
E-6/C Agargaon, Sher-e-Bangla Nagar
Administrative Area, Dhaka 1207, Bangladesh



BSEC/Enforcement/2870/2020/139
Date: March 02, 2021

UniCap Securities Limited
DSE TREC No- 163
A-A Bhaban (9th Floor),
23, Motijheel C/A, Dhaka-1000

Attention: Managing Director/CEO

Subject: Non-compliance of securities related laws: Dispose of the alleged matter.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2870/2020/779 date: October 20, 2020, based on which the hearing was conducted on November 02, 2020.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter No. UCSL/COMP/MSAB/2020/0429 dated November 01, 2020 which was submitted at the time of hearing and complaint withdrawal letter submitted by the complainant, has decided to dispose of the proceedings against you.

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,

02.03.2021

Md. Sultan Salah Uddin
Assistant Director (Enforcement)
Phone-02-55007131-32 Ext-1318
E-mail- ssuddin@sec.gov.bd

Copy for information:

1. Chief Executive Officer, Dhaka Stock Exchange Ltd.
2. Executive Director (SRI), BSEC
3. Executive Director (MIS), BSEC
4. Chairman's Office, BSEC.

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2021

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Mr. Gour, AD

“মুজিববর্ষের অঙ্গীকার উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার”