

Bangladesh Securities and Exchange Commission
Enforcement Division
Enforcement Department
Market, Market Intermediaries and Other Affairs Section
www.sec.gov.bd

BSEC/Enforcement/3479/2023/66

Dated: January 31, 2024

1. **UniCap Securities Limited**
(DSE TREC # 163)
A-A Bhaban (9th Floor), 23, Motijheel C/A, Dhaka-1000
2. **Mr. Wali Ul Islam, Managing Director/CEO**
UniCap Securities Limited
A-A Bhaban (9th Floor), 23, Motijheel C/A, Dhaka-1000
3. **Mr. Mohammad Shahriar Azad Bhuiyan**
UniCap Securities Limited
A-A Bhaban (9th Floor), 23, Motijheel C/A, Dhaka-1000
4. **Mr. Shihab Mahmud**
UniCap Securities Limited
A-A Bhaban (9th Floor), 23, Motijheel C/A, Dhaka-1000

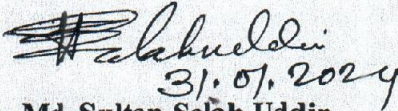
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's Show cause cum hearing notice No. BSEC/Enforcement/3479/2023/885 Dated: November 02, 2023 based on which the hearing was conducted on November 26, 2023.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter No. UCSSL/COMP/MSAB/2023/0503 dated November 23, 2023 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,


31.01.2024

Md. Sultan Salah Uddin
Deputy Director (Enforcement)
IP PABX: 88-02-09609-100600, Ext- 1220
E-mail: ssuddin@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 (SMMID) [Ref: BSEC/SMMID/CCA/DSE/2023/666 dated September 27, 2023]
4. P.O to Executive Director (MIS), BSEC
5. P.O to Executive Director (Enforcement), BSEC
6. P.O to Director (Enforcement), BSEC.