



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

Securities Commission Bhaban, E-6/C Agargaon, Sher-e-Bangla Nagar Administrative Area, Dhaka-1207, Bangladesh.

BSEC/Enforcement/3334/2022/1280

Date: October 04, 2022

UniCap Securities Limited

(DSE TREC Holder No-163)

A-A Bhaban (9th Floor),

23, Motijheel C/A, Dhaka-1000

Kind 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/3334/2022/1200 Date: September 14, 2022 based on which the hearing was conducted on October 02, 2022.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter No. UCSL/COMP/MSAB/2022/0504 dated September 29, 2022 which was submitted at the time of hearing, has decided to dispose of the matter against you (UniCap Securities 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.

For Bangladesh Securities and Exchange Commission,

Md. Sultan Salah Uddin
04.10.2022

Md. Sultan Salah Uddin

Deputy Director (Enforcement)

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Copy for information:

1. PS to the Honorable Chairman, BSEC.
2. P.O. to Commissioner (Enforcement), BSEC.
3. P.O. to Executive Director (MSI), BSEC.
4. P.O. to Executive Director (MIS), BSEC.
5. Managing Director, Dhaka Stock Exchange Ltd.