



# BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/2698/2019/501

By Special Messenger

Dated: July 05, 2023

UniCap Securities Limited (DSE TREC No. 163 and CSE TREC No. 082)  
A-A Bhaban (9th Floor), 23, Motijheel C/A, Dhaka-1000

**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/2698/2019/439 dated May 24, 2023 and subsequent correspondence based on which the hearing was conducted on June 25, 2023.

The Commission, considering your explanation vide letter Ref: UCSL/COMP/MSAB/2023/0272 dated June 20, 2023 has decided to dispose of the proceedings against 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 such default.

For Bangladesh Securities and Exchange Commission

*Mahmuda Shireen*

05.07.23

**Mahmuda Shireen**

Joint Director (Enforcement)

E-mail: [shireen@sec.gov.bd](mailto:shireen@sec.gov.bd)

**Copy for information:**

1. Chairman Office, BSEC
2. P.O.to Executive Director (MIAD), BSEC
3. P.O to Executive Director (ICTD), BSEC
4. Managing Director, Dhaka Stock Exchange Limited
5. Managing Director, Chittagong Stock Exchange Limited