



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/2698/2019/416

By Special Messenger

Dated: May 16, 2023

UniCap Securities Limited (DSE TREC No. 163)
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/2698/2019/322 dated April 10, 2023 based on which the hearing was conducted on May 07, 2023.

The Commission, considering your explanations vide letters dated May 03, 2023 and May 09, 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

16.05.23

Mahmuda Shireen

Joint Director (Enforcement)

E-mail: shireen@sec.gov.bd

Copy for information:

1. P.S. to Chairman, BSEC
2. P.O. to Executive Director (SRI), BSEC
3. P.O. to Executive Director (MIS), BSEC
4. Managing Director, Dhaka Stock Exchange Limited