

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3269/2022/ ৮৯৭
Dated: April 17, 2022

By Special Messenger

UniCap Investment Limited
Noor Tower, 73 Sonargaon Road,
Dhaka-1205.

Attention: Managing Director/CEO

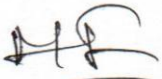
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/3269/2022/421 dated March 06, 2022 based on which the hearing was conducted on March 15, 2022.

The Commission, considering your explanation vide letter dated 15.03.2022 has decided to dispose of the proceedings against UniCap Investment 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,


17.04.2022

Md. Mahmudul Hasan
Assistant Director-v (Enforcement)
Mobile: 01515292195
Email: mahmudulhasan@sec.gov.bd

Copy for information:

1. PS to Chairman, BSEC.
2. PO to Executive Director (SRI), BSEC.
3. PO to Executive Director (MIS), BSEC.