

## Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2698/2019/486  
Dated: March 23, 2022

By Special Messenger

Unicap Securities Limited.  
TREC Holder Number:( DSE# 163)  
A-A Bhaban (9<sup>th</sup> floor),  
23, Motijheel C/A, Dhaka-1000.

**Attention: Managing Director/CEO**

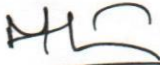
**Subject: Warning to ensure compliance of all securities related laws in future.**

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2698/2019/647 dated September 14, 2021 based on which the hearing was conducted on September 27, 2021.

The Commission, considering your explanation vide letter dated 21.09.2021 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,

  
23.03.2022

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.
4. Managing Director, Dhaka Stock Exchange Ltd.