



বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন  
সিকিউরিটিজ কমিশন ভবন  
ই-৬/সি আগারগাঁও, শের-ই-বাংলা নগর প্রশাসনিক এলাকা, ঢাকা-১২০৭  
www.sec.gov.bd



**BSEC/Enforcement/2919/2020 | 1175**  
**Dated: December 31, 2020**

**By Special Messenger**

Unicap Securities Limited  
(DSE TREC No. 163)  
**Registered Office:**  
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 /2919/2020/771 dated October 14, 2020 based on which the hearing was conducted on 02.11.2020.

The Commission, considering your explanation vide letter ref. No. UCSSL/COMP/MSAB/2020/0428 dated November 01, 2020 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,

*Al Masum Mirdha*  
31.12.2020

**Mohammad Al Masum Mirdha**  
Deputy Director (Enforcement)  
Phone : 55007147  
Email: almasum@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.

*O/C*

“মুজিববর্ষের অঙ্গীকার  
উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার”