

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3010/2021/413

Dated: March 03, 2022

By Special Messenger

- ✓ 1. United Financial Trading Co. Ltd. (DSE TREC # 227)
Room # 203, (1st Floor) 9/E, Motijheel C/A, Dhaka-1000.
2. Authorized Representative
(Serial No. 5446 and TC No DSE/145446 of United Financial Trading Co. Ltd)

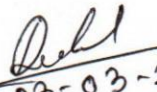
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/3010/2021/245 dated February 07, 2022 based on which the hearing was conducted on February 24, 2022.

The Commission, considering your explanation vide letter dated 24.02.2022 has decided to dispose of the proceedings against United Financial Trading Co. Ltd (DSE TREC # 227) & Authorized Representative (Serial No. 5446 and TC No DSE/145446 of United Financial Trading Co. Ltd) 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,


03-03-2022

Rubel Hossain
Assistant Director (Enforcement)
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Mobile : 01922-151361.

Copy for information:

1. PO to Executive Director (MSI), BSEC.
2. PO to Executive Director (MIS), BSEC.
3. PS to Chairman, BSEC.
4. Managing Director, Dhaka Stock Exchange Ltd.