

বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

BSEC/Enforcement/3281/2022/1264

Dated: September 29, 2022

United Financial Trading Co. Ltd.
(TREC Holder #227)
Samabaya Bank Bhaban (8th Floor)
9/D, 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/3281/2022/917 Dated: June 21, 2022 based on which the hearing was conducted on July 17, 2022.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter dated July 17, 2022, has decided to dispose of the matter against 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 the default.

For Bangladesh Securities and Exchange Commission,

29.09.2022

Mohammed Abu Hena Mostafa
Assistant Director (Enforcement)
Phone: 01816-243634
Email: mostafaanik@sec.gov.bd

Copy for information:

1. PS to the Honorable Chairman, BSEC
2. P.O to Executive Director (SRI), BSEC
3. P.O to Executive Director (MIS)
4. M.D, DSE