

## Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2560/2018/ 470

By Courier Service

Dated: March 16, 2022

Uttara Exchange & Securities Limited (CSE TREC# 024)  
Pedrollo Plaza (3rd Floor), 5 Jubilee Road  
Chattogram

Attention: Managing Director/CEO

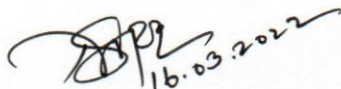
Subject: Warning to Ensure Compliance of All Securities Related Laws in Future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2560/2018/259 dated February 07, 2022 based on which the hearing was scheduled on February 28, 2022. But, due to your nonappearance on the date as well as upon your confirmation of not receiving the show cause cum hearing notice, the hearing was rescheduled verbally and conducted on March 14, 2022.

The Commission, considering the explanation vide letter no. Nil dated March 13, 2022 which was submitted at the time of hearing, has decided to dispose of the proceedings against Uttara Exchange & 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 the default.

For Bangladesh Securities and Exchange Commission,

  
16.03.2022

Muhammad Sadequr Rahman Bhuiyan  
Assistant Director (Enforcement)

**Copy for information:**

Chairman's Office, BSEC  
Executive Director (SRI), BSEC  
Executive Director (MIS), BSEC  
Managing Director, Chittagong Stock Exchange Ltd.