



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/2848/2019-101
Date: February 10, 2021

By Courier Service

Managing Director/CEO
Uttara Finance Capital Management Limited
Jiban Bima Tower(6th Floor)
10, Dilkusha C/A, Dhaka-1000


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

This refers to the Commission's show cause cum hearing notice No. **BSEC/Enforcement/2848/2019-77** dated **January 26, 2020** based on which the hearing has been conducted on February 05, 2020.

The Commission, considering Uttara Finance Capital Management Limited's apology and written explanation- which was submitted at the time of hearing, has decided to dispose off the proceedings against you 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 and any other who involved from their lawful responsibilities/obligations to any person, if affected, as a result of such default.

For Bangladesh Securities and Exchange Commission,


10-02-21

Md. Rafiqunnabi
Assistant Director
e-mail- rafiq@sec.gov.bd

Copy for information:

1. Honorable Chairman's Office, BSEC
2. Commissioner (Enforcement), BSEC
3. Executive Director (MIS), BSEC
4. Office file

“মুজিববর্ষের অঙ্গীকার
উন্নয়ন-অর্থায়নের উৎস হবে পুঁজিবাজার”