

Bangladesh Securities and Exchange Commission
Enforcement Division
Enforcement Department
Market, Market Intermediaries and Other Affairs Section
www.sec.gov.bd

BSEC/Enforcement/3366/2022/208

Dated: March 04, 2024

Uttara Finance and Investment Limited

(BOID: 1204780000058758, United Securities Limited)

JBC Tower, 6th floor, 10, Dulkhusha C/A

Dhaka-1000.

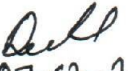
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice no. BSEC/Enforcement/3366/2022/29 dated 08 January 2024 based on which the hearing was conducted on 11 February 2024.

The Commission, considering your explanation vide letter ref. UFIL/HO (Ext.)/2024/374 dated 08.02.2024 has decided to dispose of the proceedings against Uttara Finance and Investment Limited (BOID: 1204780000058758, United 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,


09-03-2024

Rubel Hossain

Assistant Director (Enforcement)

E-mail: rubel@sec.gov.bd

Mobile : 01922-151361

Copy for information:

1. Chairman Office, BSEC.
2. PO to Executive Director (MIAD), BSEC; with reference to DSE letter no. DSE/2021/IED/ dated 28 June 2021.
3. PO to Executive Director (ICTD), BSEC.
4. Managing Director, Dhaka Stock Exchange PLC.