



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

Securities Commission Bhaban, E-6/C Agargaon, Sher-e-Bangla Nagar Administrative Area, Dhaka-1207, Bangladesh.

o/c

BSEC/Enforcement/2618/2018-517

By Courier service

Dated: November 28, 2018

1. Uttara Finance and Investment Ltd, Uttara Centre (11th floor), 102 Shahid Tajuddin Ahmed Sarani, Tejgaon, Dhaka-1208
2. Directors, Uttara Finance and Investment Ltd, Uttara Centre (11th floor), 102 Shahid Tajuddin Ahmed Sarani, Tejgaon, Dhaka-1208
3. Managing Director/CEO, Uttara Finance and Investment Ltd, Uttara Centre (11th floor), 102 Shahid Tajuddin Ahmed Sarani, Tejgaon, Dhaka-1208
4. Company Secretary, Uttara Finance and Investment Ltd, Uttara Centre (11th floor), 102 Shahid Tajuddin Ahmed Sarani, Tejgaon, Dhaka-1208

Attention: Managing Director/CEO.

Sub: 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/2618/2018-413, dated October 23, 2018 based on which the hearing was conducted on November 19, 2018.

The Commission, considering the accused apology and written explanation vide letter no- UFIL/Q&H Report-2018/4966(21) dated November 19, 2018-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 the accused with a **Warning** to ensure compliance of all securities related laws in future.

Please note that this disposal does not absolve Uttara Finance and Investment Ltd, its Directors, Managing Director, Company Secretary and any other involved from their lawful responsibilities/obligations to any person, if affected, as a result of the default.

For Bangladesh Securities and Exchange Commission,


28.11.18

Md. Rafiqunnabi
Assistant Director
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Copy for information:

1. Chairman's Office, BSEC
2. Commissioner (Enforcement), BSEC
3. Executive Director (SRMIC), BSEC
4. Executive Director (R&D), BSEC
5. CRO, Dhaka Stock Exchange Ltd.
6. Office file