



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/2848/2019-885  
Date: 18 November, 2020

UCB capital Management Ltd  
6, Dilkusha C/A (1 st Floor)  
Dhaka- 1000

Attention: Managing Director/CEO

**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/2848/2019-62 dated January 26, 2020** based on which the hearing has been conducted on February 05, 2020.

The Commission, considering your 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,

  
18.11.2020

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