



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/2770/2019/472

Dated: 23 September, 2019

By Special Messenger

UCB Capital Management Limited
(TREC holder No. 181)
6, Dilkusha C/A (1st Floor),
Dhaka-1000

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/2770/2019/360 dated 24 July, 2019 based on which the hearing was conducted on August 28, 2019.

The Commission, considering the explanation vide letter dated August 28, 2019 submitted at the time of hearing, has decided to dispose of the proceedings against UCB Capital Management Limited (DSE Member No. 181) 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-


23.09.19

Md. Shahnaws
Assistant Director

Mob:01816810586

Copy for information:

Chairman's office, BSEC

P.O to Commissioner (Enforcement), BSEC

P.O to Executive Director (Enforcement), BSEC

P.O to Executive Director (MIS), BSEC

P.O to Executive Director (SRI), BSEC

P.O to Director (Enforcement), BSEC