



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/2698/2019/১২৭

Dated: August 24, 2020

By Special Messenger

UniCap Securities Limited
(DSE TREC holder no. 163)
A-A Bhaban (9th floor), 23, Motijheel C/A,
Dhaka - 1000.

Attention: Managing Director/CEO

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/2698/2019/05 dated January 07, 2020 based on which the hearing was conducted on January 27, 2020.

The Commission, considering your explanation vide letter dated January 22, 2020 has decided to dispose of the proceedings against UniCap 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,

Signature
24.08.2020

Mohammad Al Masum Mirdha
Deputy Director (Enforcement)
Phone : 55007147
Email: almasum@sec.gov.bd

Copy for information:

1. Managing Director, Dhaka Stock Exchange Ltd.
2. PS to the Honorable Chairman, BSEC.
3. PO to Executive Director (SRI), BSEC.
- ✓ 4. PO to Executive Director (MIS), BSEC



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BSEC/Enforcement/2698/2019/ 530

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(DSE TREC holder no. 163)
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Attention: Managing Director/CEO

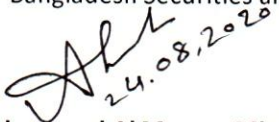
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2698/2019/55 dated January 23, 2019 based on which the hearing was conducted on February 13, 2019.

The Commission, considering your explanation vide letter dated February 10, 2019 has decided to dispose of the proceedings against UniCap 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,


Mohammad Al Masum Mirdha
Deputy Director (Enforcement)
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