



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/2683/2019/626
Date: December 23, 2019

By Courier

Unicap Securities Limited (DSE TREC holder # 163)
A-A Bhaban (9th floor)
23, Motijheel C/A
Dhaka - 1000.

Attn: 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/2683/2019/466 dated September 23, 2019 based on which the hearing was conducted on October 23, 2019.

The Commission, considering the accused oral apology and written explanation vide letter Ref: UCSL/COMP/MSAB/2019/0820 dated October 23, 2019-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 Unicap Securities Limited, 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,



23.12.19

Md. Rafiqunnabi
Assistant Director
E-mail- rafiq@sec.gov.bd
Cell- 01786 327 667

Copy for information:

1. Chairman's Office, BSEC
2. Commissioner (Enforcement), BSEC
3. Executive Director (SRI), BSEC
- ✓ 4. Executive Director (R&D), BSEC
5. Office file