

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

BSEC/Enforcement/2556/2018/468
Dated: November 04, 2018

By Courier service

Unicap Securities Limited
Trec no- 163
Extention 02, Room No.733, 9/E,
DSE Building, Motijheel C/A,
Dhaka-1000

Attention: Managing Director/CEO

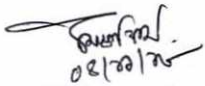
Sub: Warning to ensure compliance of all securities related law in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2556/2018/392 dated October 16, 2018 based on which the hearing was conducted on October 24, 2018.

The Commission, considering the explanation vide letter no-UCSL/COMP/MSAB/2018/0485 dated October 24, 2018 which was submitted at the time of hearing, 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 the default.

For Bangladesh Securities and Exchange Commission


02/11/18

Md. Mustafizur Rahman
Assistant Director
e-mail- mustafiz@sec.bd.com
Cell- 01720169842

Copy for information:
Managing Director, Dhaka Stock Exchange Ltd.
Executive Director (Surveillance), BSEC
Executive Director (R&D), BSEC
Chairman's Office, BSEC


07.11.18
D(MIS)

07.11.18
Mr. Chowdhury, A.J.