



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/2808/2019/142

January 19, 2023

By Courier Service

Prudential Securities Limited

Room # 530, 9/E

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/2808/2019/1227 dated January 18, 2022 based on which the hearing was conducted on January 30, 2022.

Considering the explanation submitted at the time of hearing, the Commission has decided to dispose of the proceedings against Prudential 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.

Akram Siraj
19.01.2023

Akram Siraj

Assistant Director (Enforcement)

E-mail: akram@sec.gov.bd

Copy for information:

1. P.S. to Chairman, BSEC
2. P.O to Commissioner (Enforcement), BSEC
3. P.O to Director (MIS), BSEC
4. Managing Director, DSE