

## Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2708/2019/697

By Special Messenger

April 28, 2022

Prime Bank Securities Limited  
(DSE TREC holder no.219 & CSE TREC holder no.141)  
Peoples Insurance Bhaban (13th Floor, Left Side)  
36, Dilkusha C/A, Dhaka-1000

2  
9.5.22  
Dwi (MIS)

**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/2708/2019/167 dated January 25, 2022 based on which the hearing was conducted on February 06, 2022.

The Commission, considering your explanation vide letter dated February 06, 2022 and April 07, 2022 has decided to dispose of the proceedings against Prime Bank 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

Mahmuda Shireen

28.04.22

**Mahmuda Shireen**  
Deputy Director (Enforcement)  
E-mail: [shireen@sec.gov.bd](mailto:shireen@sec.gov.bd)

**Copy for information:**

1. P.S. to Chairman, BSEC
2. P.O. to Executive Director (SRI), BSEC
3. P.O. to Executive Director (MIS), BSEC