

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2708/2019/1317

By Special Messenger

Dated: December 30, 2021

Prime Bank Securities Limited
(DSE TREC holder no.219)
Peoples Insurance Bhaban (13th Floor, Left Side)
36, Dilkusha 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/2708/2019/1042 dated December 01, 2021 based on which the hearing was conducted on December 20, 2021.

The Commission, considering your explanation vide letter Ref. No: PBSL/COMPLIANCE/BSEC/2021/592 dated December 20, 2021 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

30.12.21

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


03-01-22
DW (MIS)

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
4. Managing Director, Dhaka Stock Exchange Limited