



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/2940/2020/394

By Special Messenger

Dated: May 14, 2023

Prudential Capital Limited (TREC no. CSE 062)
Room No. C-1A, City Center (Level-27),
90/1 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/2940/2020/284 dated March 30, 2023 based on which the hearing was conducted on April 10, 2023.

The Commission, considering your explanations vide letters dated April 10, 2023 and April 24, 2023 has decided to dispose of the proceedings against Prudential Capital 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

14.05.23

Mahmuda Shireen

Joint Director (Enforcement)

E-mail: 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
4. Managing Director, Chittagong Stock Exchange Limited