

**Bangladesh Securities and Exchange Commission**  
**Enforcement Division**  
**Enforcement Department**  
**Market, Market Intermediaries and Other Affairs Section**  
[www.sec.gov.bd](http://www.sec.gov.bd)

**BSEC/Enforcement/2808/2019/662**  
**Dated: August 12, 2024**

**By Special Messenger**

Prudential Securities Limited  
(DSE TREC Holder No# 073)  
Room # 530, 9/E, Motijheel C/A,  
Dhaka-1000, Bangladesh.

**Subject: Warning to ensure compliance of all securities related laws in future.**

**Attention: Managing Director/CEO/Alleged Person**

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2808/2019/337 dated April 03, 2024 and BSEC/Enforcement/2808/2019/606 dated July 18, 2024 based on which the hearing was conducted on July 28, 2024.

The Commission, considering your adjustment of irregularities vide your letter dated 28.07.2024 has decided to dispose of the proceedings against you 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,



12.08.2024

**Md. Mahmudul Hasan**  
Assistant Director (Enforcement)  
Mobile: 01515292195  
Email: mahmudulhasan@sec.gov.bd

Copy for information:

1. PS to Chairman, BSEC.
2. PO to Executive Director (SMMID), BSEC. With reference to the IDM no# BSEC/SRI/DSE/INS-85/2023/639 dated: January 09, 2023.
- ✓ 3. PO to Executive Director (ICTD), BSEC.
4. Managing Director, Dhaka Stock Exchange PLC. With reference no. DSE/MCD/MIF/2022/010/6150 Dated: September 29, 2022.