

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2761/2019/ 627

Dated: April 20, 2022

By Special Messenger

Prudential Securities Limited
(DSE TREC NO. 073)
Room Number # 530, DSE Annex Building
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/2761/2019/1115 dated December 09, 2021 based on which the hearing was conducted on January 30, 2022.

The Commission, considering your explanation vide letter dated 30.01.2022 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 such default.

For Bangladesh Securities and Exchange Commission,

20.04.2022

Md. Mahmudul Hasan
Assistant Director-v (Enforcement)
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Copy for information:

1. PS to Chairman, BSEC.
2. PO to Executive Director (SRI), BSEC.
3. PO to Executive Director (MIS), BSEC.
4. Managing Director, Dhaka Stock Exchange Ltd.