



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

JIBON BIMA TOWER (14, 15, 16 & 20 FLOOR), 10 DILKUSHA C/A, DHAKA-1000, BANGLADESH

E-6/C, Agargaon, Shere Bangla Nagar, Dhaka-1207

SEC/Enforcement/1052/2012/175

Dated: June 15, 2017

By Courier Service

Prudential Securities Limited
Room # 530, DSE Annex Building (4th Floor)
9/E, Motijheel C/A
Dhaka-1000.

Attention: Managing Director/CEO

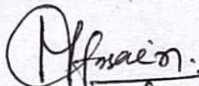
Sub: **Non-compliance of securities related laws. WARNING**

This refers to the commission's show cause-cum-hearing notice no. SEC/Enforcement/1052/2012/10 dated January 10, 2017 based on which the hearing was conducted on May 15, 2017.

The Commission, considering your explanation vide letter dated April 20, 2017 submitted at the time of hearing, 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 the stated default.

For Bangladesh Securities and Exchange Commission


15/06/2017

Md. Hossain Khan

Deputy Director

Copy for information:

Commissioner (Enforcement), BSEC

Executive Director (Surveillance), BSEC

Executive Director (Law), BSEC

Executive Director (MIS), BSEC

Chairman's Office