



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

BSEC/Enforcement/2496/2018/46

Dated: January 20, 2019

By Courier Service

Prime Financial Consultants & Equities Ltd. (CSE TREC # 055),
Suite#804B, Sena Kalyan Bhaban (8th Floor),
195, Motijeel C/A,
Dhaka-1000.

Attention: Managing Director/CEO

Sub: **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/2696/2018/575 dated December 24, 2018 based on which the hearing was scheduled on January 14, 2019.

The Commission, considering your explanation vide letter dated January 13, 2019 submitted at the time of hearing, has decided to dispose of the proceedings against Prime Financial Consultants & Equities Ltd. (CSE TREC # 055) 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


20.01.19

Hafiz Mohammed Harunur Rashid

Deputy Director (Enforcement)

Phone: 55007148

e-mail: hafiz@sec.gov.bd

Copy for information:

Commissioner (Enforcement), BSEC

Executive Director (Surveillance), BSEC

Executive Director (Law), BSEC

Executive Director (MIS), BSEC

Chairman's Office