Bangladesh Securities and Exchange Commission
Enforcement Division
Enforcement Department
Market, Market Intermediaries and Other Affairs Section
www.sec.gov.bd

BSEC/Enforcement/4050/2025/1321 **By Special Messenger/Courier**
Dated: November 19, 2025

1. Prudential Capital Limited
(DSE TREC Holder No. 269)
Room # C-1A, City Center (Level-27),
90/1, Motiheel C/A, Dhaka-1000.

2. A.Y. Zobayer
Compliance Officer
Prudential Capital Limited
(DSE TREC Holder No. 269)
Room # C-1A, City Center (Level-27),
90/1, Motiheel C/A, Dhaka-1000.

3. Md. Ashaduzzaman
Accounts In-Charge
Prudential Capital Limited
(DSE TREC Holder No. 269)
Room # C-1A, City Center (Level-27),
90/1, Motiheel C/A, Dhaka-1000.

Attention: Managing Director/CEO/Alleged Person

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/4050/2025/1204 dated October 27, 2025 based on which the hearing was conducted on November 10, 2025.

The Commission, by being dissatisfied and considering your degree of non-compliances as well as subsequent submission of required documents as a proof of compliances vide letter reference no# PCL/BSEC/Reply/2025/01 dated 10 November, 2025, has decided to warn you to be careful in future and also suggested to be cautious about maintaining due diligence related to securities related laws. Any divergence of securities related laws and failing of lawful responsibilities will be taken seriously whereas you will be brought under appropriate enforcement action.

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,

19.11.2025

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

Copy for information:
PS to Chairman, BSEC.
PO to Commissioner (All), BSEC.
PO to Executive Director (MIAD), BSEC. With reference to SMMI Department note dated July 26, 2025.
PO to Executive Director (ICTD), BSEC.
PO to Executive Director (Enf.), BSEC.