



# BANGLADESH SECURITIES AND EXCHANGE COMMISSION

Securities Commission Bhaban, E-6/C Agargaon, Sher-e-Bangla Nagar Administrative Area, Dhaka-1207, Bangladesh.

**BSEC/Enforcement/3297/2022/ 119**  
**Dated: January 19, 2023**

**By Special Messenger**

PFI Securities Limited  
(DSE TREC Holder NO# 079)  
PFI Tower (7th & 8th Floor), 56-57,  
Dilkusha C/A, Dhaka-1000.

**Attention: Managing Director/CEO**

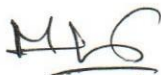
**Subject: Warning to ensure compliance of all securities related laws in future.**

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2421/2017/1145 dated August 28, 2022 based on which the hearing was conducted on September 11, 2022.

The Commission, considering your explanation vide letter dated 08.09.2022 has decided to dispose of the proceedings against PFI Securities Ltd. 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,

  
19.01.2023

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

**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 Limited