

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2019/2013/524

Dated: March 30, 2022

Mr. Mostafa Karim
Prime Finance Capital Management Ltd. (Client's Code No.A0344)
PFI Tower (6th Floor) 56-57 Dilkusha C.A., Dhaka-1000

Attention: Managing Director/CEO

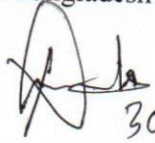
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's Show cause cum hearing notice No. BSEC/Enforcement/2019/2013/240 Dated February 06, 2022 based on which the hearing was conducted on February 24, 2022.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter dated February 24, 2022, has decided to dispose of the matter against you (Mr. Mostafa Karim) 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 default.

For Bangladesh Securities and Exchange Commission,


30.03.2022

Mohammed Abu Hena Mostafa

Assistant Director (Enforcement)

Phone: 01816-243634

Email: mostafaanik@sec.gov.bd

Copy for information:

1. PS to the Honorable Chairman, BSEC
2. P.O. to Commissioner (Enforcement), BSEC
3. P.O. to Director (Enforcement), BSEC.
4. P.O to Executive Director (MIS)
5. M.D, DSE