

SEC/Enforcement/871/2011/ 116
March 19, 2012

By Special Messenger
Fax: 880-2- 9551598

PFI Securities Limited
63, Dilkusha C/A (3rd floor)
Dhaka-1000.

Attention: Managing Director/CEO

Subject: Reduction of Penalty: Non-compliance of শর্ত নং- ২ of ষ্টক ব্রোকার নিবন্ধন সনদ, আচরনবিধি ১, ২ ও ৭ of দ্বিতীয় তফসিল and বিধি ১১ of সিকিউরিটিজ ও এক্সচেঞ্জ কমিশন (ষ্টক ডিলার, ষ্টক ব্রোকার ও অনুমোদিত প্রতিনিধি) বিধিমালা, ২০০০.

This refers to your review petition No.PFISL/Compliance/SEC/1115 dated September 12,2011 against penal order No.SEC/Enforcement/871/2011/496 dated August 16,2011.

Considering your aforesaid review petition, the Commission has decided to reduce penalty amount from Tk.25.00 (Twenty Five) Lac to Tk.7.00 (Seven) Lac.

For Securities and Exchange Commission

Mustari Jahan
Deputy Director (Enforcement Dept.)

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Chief Executive Officer, Dhaka Stock Exchange Limited
Chief Executive Officer, Chittagong Stock Exchange Limited

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