

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3146/2021 / 1326
February 17, 2022

By Courier Service

PFI Securities Limited (DSE TREC No. 79)
PFI Tower (7th & 8th Floor),
56-57, Dilkusha C/A, Dhaka-1000
Bangladesh.

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/3146/2021/890 dated October 24, 2021 based on which the hearing was conducted on November 02, 2021.

Considering the explanation vide letter No. PFISL/Compliance/BSEC/2022/1044 dated November 02, 2021 submitted at the time of hearing, the Commission has decided to dispose of the proceedings against the PFI Securities 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 the default.

For Bangladesh Securities and Exchange Commission

Amirul
17.02.2022

Md. Amirul Islam
Assistant Director (Enforcement)
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Copy for information:

1. P.S. to Chairman, BSEC
2. P.O to Commissioner (Enforcement), BSEC
3. P.O to Executive Director (MIS), BSEC
4. P.O.to Executive Director (SRI), BSEC
5. MD, DSE