

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/1180/2013/388
Dated: March 01, 2022

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

Kind 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/1180/2013/251 Dated: February 07, 2022 based on which the hearing was conducted on February 27, 2022.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letter No. PFISL/Compliance/BSEC/2022/211 dated February 27, 2022 which was submitted at the time of hearing, has decided to dispose of the matter against you (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,

Md. Sultan Salah Uddin
01.03.2022

Md. Sultan Salah Uddin
Deputy Director (Enforcement)
PABX: 88-02-55007131-2, Ext- 1306
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Copy for information:

1. PS to the Honorable Chairman, BSEC
2. P.O. to Commissioner (Enforcement), BSEC
3. P.O. to Executive Director (MIS), BSEC
4. P.O. to Executive Director (MSI), BSEC
5. Managing Director, Dhaka Stock Exchange Ltd.