

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

BSEC/Enforcement/2558 /2018/276
Date: July 31, 2018

By Courier Service

PFI Securities Limited
57, Dilkusha C/A
Dhaka-1000

Attention: Managing Director/CEO

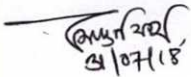
Sub: Warning to ensure compliance of all securities related law in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2558/2018/234 dated July 9, 2018 based on which the hearing was conducted on July 23, 2018.

The Commission, considering the explanation vide letter dated July 23, 2018 which was submitted at the time of hearing, has decided to dispose of the proceedings against 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. Mustafizur Rahman
Assistant Director
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Cell-01720169842

Copy for information:

Managing Director, Dhaka Stock Exchange Ltd.
Executive Director (SRI), BSEC
Executive Director (R&D), BSEC
Chairman's Office, BSEC