



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/3320/2022/ 1193
Dated: September 11, 2022

By Special Messenger

PLFS Investments Ltd.
Paramount Heights (12th Floor)
65/2/1 Box Culvert Road, Purana Paltan, 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/3320/2022/1009 dated July 27, 2022 based on which the hearing was conducted on August 07, 2022.

The Commission, considering your explanation vide letter and subsequent submission dated 07.08.2022 has decided to dispose of the proceedings against PLFS Investments Ltd. 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 such default.

For Bangladesh Securities and Exchange Commission,


11.09.2022

Md. Mahmudul Hasan
Assistant Director (Enforcement)
Mobile: 01515292195
Email: mahmudulhasan@sec.gov.bd

Copy for information:

1. PS to Chairman, BSEC.
2. PO to Executive Director (SRI), BSEC.
3. PO to Executive Director (MIS), BSEC.