



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

JIBON BIMA TOWER (14, 15, 16 & 20 FLOOR), 10 DILKUSHA C/A, DHAKA-1000, BANGLADESH

BSEC/Enforcement/2226/2015/475

Dated: November 28, 2016

By Special Messenger

Fareast Finance & Investment Ltd (client code # D0100), client of Fareast Stocks & Bonds Limited

Sub: **Non-compliance of securities related laws. WARNING**

This refers to BSEC's show cause-cum-hearing notice No. BSEC/Enforcement/2226/2015/218 dated June 08, 2016 and your reply letter no. FFIL/FI-003(10)/2016/2728 dated July 21, 2016.

The Commission, considering the explanation vide letter dated July 21, 2016 submitted at the time of hearing, has decided to dispose of the proceedings against Fareast Finance & Investment Ltd (client code # D0100), client of Fareast Stocks & Bonds 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 stated default.

For Bangladesh Securities and Exchange Commission

Md. Hossain Khan

Deputy Director

Copy for information:

Commissioner (Enforcement), BSEC

Executive Director (Surveillance), BSEC

Executive Director (Law), BSEC

Executive Director (MIS), BSEC

Chairman's Office

Distribution:

Chief Executive Officer, Fareast Stocks & Bonds Limited (with a request to send the copy of the notice to Client Name: Fareast Finance & Investment Ltd, client code # D0100, client of Fareast Stocks & Bonds Limited)