



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/2201/2014/207
July 12, 2015

By Special Messenger

Dr. Md. Amzad Hossain Fakir, Client Code:1608, Name of the broker: PFI Securities Limited

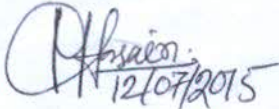
Sub: **Non-compliance of securities related laws. WARNING**

This refers to the Commission's hearing Notice No. SEC/Enforcement/2201/2014/724 dated 21/12/2014 based on which the hearing was conducted on January 07, 2015.

The Commission, considering the explanation vide letter dated January 07, 2015 submitted at the time of hearing, has decided to dispose of the proceedings against Dr. Md. Amzad Hossain Fakir 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


12/07/2015

Md. Hossain Khan

Deputy Director

Distribution:

Chief Executive Officer, PFI Securities Limited (with a request to send the copy of the notice to Dr. Md. Amzad Hossain Fakir, Client Code: 1608 of PFI Securities Limited.)

Copy for information:

Commissioner (Enforcement), BSEC

Executive Director (Surveillance), BSEC

Executive Director (Law), BSEC

✓ Executive Director (MIS), BSEC

Chairman's Office