



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/2186/2014/২৩২

Dated: September 20 , 2015

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

By Special Messengers

Attention: Managing Director/CEO

Subject: Non-compliance of securities laws: Warning.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2186/2014/651 dated October 30, 2014 based on which the hearing was conducted on November 12, 2014.

The Commission, considering your explanation vide letter No.PFISL/Compliance/BSEC/2014/1235 dated November 12,2014 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. Yusuf Bhuiyan
Deputy Director (Enforcement)
Phone: 9573904

Copy for information:

1. PS to the Honorable Chairman, BSEC.
2. PO to Executive Director (SRI), BSEC.
3. PO to Executive Director (Registration), BSEC.
4. PO to Executive Director (MIS), BSEC
5. Managing Director, Dhaka Stock Exchange Ltd.