

বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

BSEC/Enforcement/3087/2021/৪৪০  
Dated: October 21, 2021

By Special Messenger

A. M. SECURITIES AND FINANCIAL SERVICES LTD.  
(CSE TREC No. 086)  
Level-14 (East side of the south tower)  
Monem Business District of Abdul Monem Ltd.  
111, Bir Uttam C.R. Datta Road, (Sonargaon Road)  
Dhaka - 1205.

01 NOV 2021  
D/MLS

**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/3087/2021/590 dated September 1, 2021 based on which the hearing was conducted on 20.09.2021.

The Commission, considering your explanation vide letter dated 20<sup>th</sup> September, 2021 has decided to dispose of the proceedings against A. M. SECURITIES AND FINANCIAL SERVICES 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,

  
21.10.2021  
**Mohammad Al Masum Mirdha**  
Additional Director (Enforcement)  
Phone : 55007147  
Email: almasum@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
4. Managing Director, Chittagong Stock Exchange Ltd