

# Bangladesh Securities and Exchange Commission

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

BSEC/Enforcement/2514/2018/494  
Dated: 25 November, 2018

By Special Messenger

A.M Securities and Financial Service Ltd  
DSE Member # 205  
Monem Business District (Level-14, East side of the South Tower),  
111, Bir Uttam C. R. Dutta Road (Sonargaon Road) Dhaka

**Attention:** Managing Director/CEO

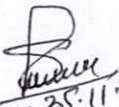
**Sub: Warning to ensure compliance of all securities related law in future.**

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/2504/2018/48 dated 8 February, 2018 based on which the hearing was conducted on February 26, 2018.

The Commission, considering the explanation vide letter dated February 26, 2018 submitted at the time of hearing, has decided to dispose of the proceedings against A.M Securities and Financial Service 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 the default.

For Bangladesh Securities and Exchange Commission-

  
25.11.18  
Md. Shahnaws  
Assistant Director

Mob:01816810586

**Copy for information:**

Chairman's office, BSEC  
P.O to Commissioner (Enforcement), BSEC  
P.O to Executive Director (Enforcement), BSEC  
~~P.O to Executive Director (MIS), BSEC~~  
P.O to Executive Director (SRI), BSEC  
P.O to Director (Enforcement), BSEC