

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3098/2021/চসঃ
Dated: April 13, 2022

By Special Messenger

AM Securities and Financial Services Limited
(DSE TREC Holder No. 205)
Momen Business District (Level-14)
East Side of the South Tower,
111, Bir Uttam CR Dutta Road (Sonargaon Road)
Dhaka-1205.

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/3098/2021/643 dated September 14, 2021 based on which the hearing was conducted on September 27, 2021.

The Commission, considering your explanation vide letter dated 27.09.2021 has decided to dispose of the proceedings against AM Securities and Financial Services 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 such default.

For Bangladesh Securities and Exchange Commission,

13.04.2022

Md. Mahmudul Hasan
Assistant Director-v (Enforcement)
Mobile: 01515292195
Email: mahmudulhasan@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, Dhaka Stock Exchange Ltd.