



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/3435/2023/1095
Dated: December 14, 2023

By Special Messenger

Asset & Investment Management Services Bangladesh Limited.
Unique Trade Center (UTC), Level-6-8, Panthopath
Karwan Bazar, Dhaka-1215.

Attention: Managing Director/CEO/Alleged Person

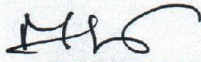
Subject: Warning to ensure compliance of all securities related laws in future.

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/3435/2023/405 dated May 16, 2023 based on which the hearing was conducted on June 11, 2023.

The Commission, considering your adjustment of irregularities vide letter dated 08.06.2023 has decided to dispose of the proceedings against Asset & Investment Management Services Bangladesh 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,


14.12.2023

Md. Mahmudul Hasan
Assistant Director (Enforcement)
Mobile: 01515292195
Email: mahmudulhasan@sec.gov.bd
Copy for information:

1. PS to Chairman, BSEC.
2. PO to Executive Director (SMMID), BSEC. With reference no. BSEC/SRI/AMC/2022/305
Dated: November 24, 2022.
- ✓ 3. PO to Executive Director (ICTD), BSEC.