



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/2252/2015/89

Dated: March 28, 2016

By Courier Service

AM Securities & Financial Services Limited
DSE Trec No- 205
Monem Business District (Level-14)
111, Bir Uttam C.R. Dutta Road
Dhaka-1205, Bangladesh.

Attention: Managing Director/CEO

Sub: Non-compliance of securities laws: -Warning.

This refers to the Commission's show cause cum hearing notice No. **BSEC/Enforcement/2252/2015/44** dated February **01, 2016** based on which the hearing was conducted on February 25, 2016.

The Commission, considering the explanation vide letter dated February 25, 2016 submitted at the time of hearing, has decided to dispose of the proceedings against AM Securities & 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 the default.

For Bangladesh Securities and Exchange Commission

28/03/16

Md. Mustafizur Rahman
Assistant Director (Enforcement)

Copy for information:

Managing Director, Dhaka Stock Exchange Ltd.
Executive Director (Surveillance), BSEC
Executive Director (R&D), BSEC
Chairman's Office, BSEC