



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

E-6/C, Agargaon, Shere Bangla Nagar, Dhaka-1207

BSEC/Enforcement/2351/2016/314

By Courier Service

Dated: August 12, 2018

Alliance Securities & Management Limited (DSE Member#137)
Rahman Chamber (3rd Floor),
12-13, Motijheel C/A,
Dhaka-1000.

Attention: Managing Director/CEO

Sub: **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/2351/2016/359 dated November 21, 2017 based on which the hearing was scheduled on November 29, 2017.

The Commission, considering your explanation vide letter dated November 29, 2017 submitted at the time of hearing, has decided to dispose of the proceedings against Alliance Securities & Management Limited (DSE Member#137) 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 stated default.

For Bangladesh Securities and Exchange Commission

Hafiz
12.08.18

Hafiz Mohammed Harunur Rashid

Deputy Director (Enforcement)

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