



Warning to the public 2/2006 under article 64.7 of the Spanish Securities Market Act.

In fulfilment of article 64.7 of the Securities Market Act, the CNMV warns the public that **AUREA NEGOCIOS, S.L.**, an entity belonging to the AIM GRUPO, addressed in Madrid, Parque Empresarial Las Mercedes, Avenida de Burgos nº 330, Edificio 6, Madrid, and managed by **MR. DAVID SAMPER BRAVO** and **MR. FRANCISCO GUILLÉN REQUENA**:

1. It is not an entity registered with the CNMV.
2. It is not authorised to appeal or get savings from the public.
3. According to the information available to the CNMV, it has been offering investment services without the required authorisation.
4. The Executive Committee of the CNMV, by delegated authority from the Council of the CNMV by Resolution dated 21 April 2005, according to the provisions of article 36 of the CNMV's Internal Regime Code concerning the sanctioning procedure, on June 29<sup>th</sup>, 2006, resolved to initiate an administrative sanctioning file against **AUREA NEGOCIOS, S.L.**, **MR. DAVID SAMPER BRAVO** and **MR. FRANCISCO GUILLÉN REQUENA**, on the grounds of the alleged commission of a very serious infringement classified in article 99 q) of the Securities Market Act, for the breach of the provision set forth in article 64.6, in relation with letter d) of article 63.1 of the above mentioned legal text, for carrying out on a regular basis the activities of discretionary and individualised portfolio investment management on the basis of mandates granted by investors, without having obtained the mandatory authorisation.
5. Pursuant to article 64.7 of the Securities Market Act, the Executive Committee of the CNMV, in its meeting of June 29<sup>th</sup>, 2006, agreed to inform **AUREA NEGOCIOS, S.L.**, **MR. DAVID SAMPER BRAVO** and **MR. FRANCISCO GUILLÉN REQUENA** of the alleged infringements in order for them to allege as much as they deemed fit, within the procedure of prior hearing before issuing of the relevant request for the termination of the activities of the company.

On July 21<sup>st</sup>, 2006, the CNMV received allegations against the request for the termination of the activities from AUREA NEGOCIOS, S.L.

6. Pursuant to article 64.7 of the Securities Market Act, and considering that the referred allegations did not contradict the alleged infringements, the Council of the CNMV, in its meeting of July 27<sup>th</sup>, 2006, has resolved:

- “*To request **AUREA NEGOCIOS, S.L., MR. DAVID SAMPER BRAVO and MR. FRANCISCO GUILLÉN REQUENA** to terminate their activity of provision of investment services through the activity discretionary and individualised portfolio investment management on the basis of mandates granted by investors, without having obtained the mandatory authorisation, in contravention of the reserved activity set forth in article 64.6 of the Securities Market Act, being the company warned that should it continue to carry out the above mentioned activity, it will be sanctioned with fines of up to three hundred thousand Euros, which could be imposed again with occasion of further requests and all without prejudice to the remaining applicable responsibilities, including criminal ones, which can be eventually imposed.*
  
- *To warn the public in relation to the existence of the above mentioned conduct’.*

7. Pursuant to paragraph 2 of article 64.7 of the Securities Market Act, the CNMV warns the public against the activities carried out by the company AUREA NEGOCIOS, S.L., MR. DAVID SAMPER BRAVO and MR. FRANCISCO GUILLÉN REQUENA, and informs the public about the preventive measures adopted to terminate them.

July 31<sup>st</sup>, 2006

Please, visit <http://cnmv.es/Advertencias/Nacionales/VisualizaAdvertencias.asp>, alerts issued as of July 3<sup>rd</sup>, 2006, related to AUREA NEGOCIOS, S.L., and October 15<sup>th</sup>, 2003, related to AIM WARRANTS, S.A., among others.