



BANGLADESH SECURITIES AND EXCHANGE COMMISSION
Securities Commission Bhaban
E-6/C Agargaon, Sher-e-Bangla Nagar
Administrative Area, Dhaka 1207, Bangladesh



BSEC/Enforcement/2490/2018/10
January 04, 2021

By Courier Service

Sterling Stock and Securities Limited
DSE TREC Holder No.249
Modhumita Building (4th Floor)
158-160, Motijheel C/A, Dhaka-1000

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/2490/2018/916 dated November 23, 2020 based on which the hearing was conducted on December 7, 2020.

Considering the explanation vide letter No. SSSL/BSEC/2020/106 dated December 07, 2020 submitted at the time of hearing, the Commission has decided to dispose of the proceedings against the Sterling Stocks & Securities 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

Md. Yusuf Bhuiyan
Deputy Director (Enforcement)
Phone: 55007139
e-mail: yusuf@sec.gov.bd

Copy for information:

1. P.S. to Chairman, BSEC
2. P.O to Commissioner (Enforcement), BSEC
3. P.O. to Executive Director (Enforcement), BSEC
4. P.O to Executive Director (SRI), BSEC

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Phone (PABX) : +88-02-55007131-2 Fax : +88-02-55007106 E-mail : info@sec.gov.bd Web : www.sec.gov.bd