

বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

BSEC/Enforcement/3156/2021/1127  
Dated: December 12, 2021

By Special Messenger

Stock & Bond Limited  
(DSE TREC No. 199)  
Room No-204, DSE Tower (Level-10)  
Plot #46, Road # 21, Nikunja-2  
Dhaka-1229.

**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/3156/2021/967 dated November 11, 2021 based on which the hearing was conducted on November 22, 2021.

The Commission, considering your explanation vide letter dated 22.11.2021 has decided to dispose of the proceedings against Stock & Bond 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,

MHC

12.12.2021

Md. Mahmudul Hasan  
Assistant Director-iii (Enforcement)  
Mobile: 01515292195  
Email: mahmudulhasan@sec.gov.bd

26-12-2021  
DW (MIS)

**Copy for information:**

1. PS to Chairman, BSEC.
2. PO to Executive Director (SRI), BSEC.
3. PO to Executive Director (MIS), BSEC.
4. Managing Director, Dhaka Stock Exchange Ltd.