

## বাংলাদেশ সিকিউরিটিজ অ্যান্ড এক্সচেঞ্জ কমিশন

BSEC/Enforcement/3049/2021 ২৬৪  
Dated: September 29, 2021

By Special Messenger

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

**Attention:** Managing Director/CEO

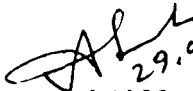
**Subject: Warning to ensure compliance of all securities related laws in future.**

This refers to the Commission's show cause cum hearing notice No. BSEC/Enforcement/3049/2021/402 dated June 13, 2021 and subsequent letter dated August 12, 2021 based on which the hearing was conducted on August 26, 2021.

The Commission, considering your explanation vide letter dated 26.08.2021 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,

  
29.09.2021

**Mohammad Al Masum Mirdha**  
Additional Director (Enforcement)  
Phone : 55007147  
Email: almasum@sec.gov.bd

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