



# BANGLADESH SECURITIES AND EXCHANGE COMMISSION

Securities Commission Bhaban, E-6/C Agargaon, Sher-e-Bangla Nagar Administrative Area, Dhaka-1207, Bangladesh.

BSEC/Enforcement/2545/2018/448  
August 05, 2021

**By Courier Service**

Stock & Bonds Limited  
DSE TREC Holder No.199  
DSE Tower, House # 46  
(Level-10), Room# 204  
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/2545/2018/359 dated June 01, 2021 based on which the hearing was conducted on June 27, 2021.

Considering the explanation vide letter No. SBL/BSEC/Inspection/457/21 dated June 27, 2021 submitted at the time of hearing, the Commission has decided to dispose of the proceedings against the 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 the default.

For Bangladesh Securities and Exchange Commission

Md. Yusuf Bhuiyan  
Additional 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