



BANGLADESH SECURITIES AND EXCHANGE COMMISSION

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

BSEC/Enforcement/3156/2021/1107

Dated: December 17, 2023

Stock and Bond Limited
(TREC Holder #199)
Room # 204, DSE Tower (Level-10)
Plot # 46, Road # 21, Nikunja-2, Dhaka-1229

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/3156/2021/1523 dated November 22, 2022 based on which the hearing was conducted on December 05, 2022.

The Commission, considering and examining the facts regarding allegations, physical meeting and your written explanations vide letters ref. SBL/BSEC/593/2022 dated 05 December 2022 & No. SBL/BSEC/416/2023 dated 18 October 2023 and DSE's letters ref No. DSE/MCD/BSEC/2023/3069 dated 06 February 2023 & No. DSE/MCD/BSEC/2023/019/6997 dated 03 November 2023 has decided to dispose of the matter against Stock and Bond Limited (DSE TREC # 199) 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,

Rubel
17-12-2023

Rubel Hossain
Assistant Director (Enforcement)
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Copy for information:

1. Chairman Office, BSEC.
2. PO to Executive Director (MIAD), BSEC; with reference to Inter Department Memo letter ref. BSEC/SRI/DSE/INS-84/2022/439, dated April 25, 2022.
3. PO to Executive Director (ICTD), BSEC.
4. Managing Director, Dhaka Stock Exchange Ltd.