

Bangladesh Securities and Exchange Commission

BSEC/Enforcement/2673/2019/536

Dated: April 03, 2022

By Special Messenger

Stock and Bond Limited (DSE TREC # 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/2673/2019/454 dated March 14, 2022 based on which the hearing was conducted on March 28, 2022.

The Commission, considering your explanation vide letter dated 28.03.2022 has decided to dispose of the proceedings against Stock and 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,

Rubel
03-04-22

Rubel Hossain
Assistant Director (Enforcement)
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Mobile : 01922-151361

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, Chittagong Stock Exchange Ltd.