

## Bangladesh Securities and Exchange Commission

BSEC/Enforcement/3005/2021/1181  
Date: 05 September, 2022

By Courier Service

Stock & Bond Limited  
(DSE TREC No-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/3005/2021/733 Date: 18 May, 2022 based on which the hearing was conducted on 05 June, 2022.

The Commission, considering and examining the facts regarding allegations and your written explanations vide letter Ref. No. SBL/BSEC/Enforcement/256/2022 dated June 05, 2022 which was submitted at the time of hearing, has decided to dispose of the matter against you (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,

Rabiul Islam  
Assistant Director (Enforcement)  
Mobile: 01731-421312  
Email: rabiul@sec.gov.bd

**Copy for information:**

1. PS to the Honorable Chairman, BSEC
2. P.O. to Commissioner (Enforcement), BSEC
3. P.O to Executive Director (MIS)
4. P.O. to Director (Enforcement), BSEC.
5. Managing Director, Dhaka Stock Exchange Ltd.