



SECURITIES COMMISSION OF THE BAHAMAS

PUBLIC NOTICE

No. 4 of 2019

19 September 2019

RE: SWISS AMERICA SECURITIES LTD

This **NOTICE** is issued by the Securities Commission of The Bahamas (“the Commission”) pursuant to its authority under the Securities Industry Act, 2011.

The public is advised that pursuant to Section 133(1)(b) and (f), and 133(3) of the Securities Industry Act, 2011 (“the Act”), the registration of Swiss America Securities Ltd as a duly licensed entity in good standing has been suspended until Wednesday 25 September 2019.

During this time, Swiss America Securities Ltd nor any other of its related party companies, affiliates or subsidiary entities **may not** deal in any manner with clients’ assets, wherever held. More specifically, Swiss America Securities Ltd or any of its related-party companies, affiliates and/or subsidiaries and its employees, including Guy Gentile, **are restrained**, whether acting by any director, officer, or other agent or howsoever otherwise, from charging, pledging, hypothecating, transferring, borrowing, transacting or in any way whatsoever, handling or dealing with clients’ assets, whether by instruction or for the benefit of the clients or making advances to the credit of unrelated parties such balances as shall be held on any account standing to the credit of clients of Swiss America Securities Ltd or any of its related-party companies, affiliates and/or subsidiaries, without the Commission’s prior written approval.

During the period of this suspension, the Commission will not respond to any queries for information. Therefore, any person having an interest in conducting business with this entity is urged to contact Swiss America Securities Ltd directly.