

**SECURITIES COMMISSION OF THE BAHAMAS
PUBLIC NOTICE**



No. 3 of 2016

8 February 2016

**Re: Public Consultation on the Proposed Penalty Assessments Policy
Under the Securities Industry Act, 2011**

The Securities Commission of The Bahamas ("the Commission") has responsibility for the licensing, regulation and supervision of the securities and investment funds industries in The Bahamas pursuant to the Securities Industry Act, 2011 ("SIA") and the Investment Funds Act, 2003. Pursuant to section 13(j) of the SIA, the Commission has authority to publish notices, guidelines, bulletins, and policies describing the views of the Commission regarding the interpretation, application, or enforcement of securities laws in the discharge of its function.

The Commission has issued the proposed "Penalty Assessments Policy" for public consultation. The Commission invites the general public to share comments with respect to the document. The consultation period commences Monday 8 February 2016 and concludes Friday 11 March 2016.

The proposed guidelines may be found on the "Consultation Documents" page of the Commission's website (www.scb.gov.bs/consultation.html). Comments may be made via email to: SIAconsultation@scb.gov.bs. Alternatively, comments may be submitted to:

The Secretary of the Securities Commission of The Bahamas,
Securities Commission of The Bahamas,
3rd Floor, Charlotte House,
P.O. Box N-8347,
Nassau, The Bahamas,
Tel: (242) 397-4100,
Fax: (242) 356-7330,
Email: info@scb.gov.bs.