

**SECURITIES COMMISSION OF THE BAHAMAS  
PUBLIC NOTICE**



No. 6 of 2014

10 June 2014

**Re: Draft Securities Industry Disciplinary Proceedings (Hearings and Settlements) Rules Issued for Consultation**

This **NOTICE** is issued by the Securities Commission of The Bahamas ("the Commission") pursuant to its authority under Section 13 (j) of the Securities Industry Act, 2011 ("the SIA") to, inter alia, "publish notices, guidelines, bulletins, and policies describing the views of the Commission regarding the interpretation, application, or enforcement of securities laws." The Commission has responsibility for the licensing, regulation and supervision of the securities and investment funds industries in The Bahamas pursuant to the SIA and the Investment Funds Act, 2003.

The Securities Commission of The Bahamas ("the Commission") has issued proposed Securities Industry Disciplinary Proceedings (Hearings and Settlements) Rules, 2014 for public consultation, pursuant to Section 150 of the SIA, along with proposed amendments to the Securities Industry Act, 2011 (SIA). The consultation period commenced Tuesday 10 June 2014 and concludes Wednesday 9 July 2014.

Copies of the relevant documents are available on the Consultation Documents page of the Commission's website ([www.scb.gov.bs/consultation.html](http://www.scb.gov.bs/consultation.html)).

The Commission invites the general public to share comments with respect to the papers. Comments may be made directly from the Consultation Documents page of the website (referenced above) or via email address to: [SIAconsultation@scb.gov.bs](mailto:SIAconsultation@scb.gov.bs). Alternatively, comments may be submitted to:

The Secretary of the Securities Commission of The Bahamas,  
Securities Commission of The Bahamas,  
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Tel: (242) 397-4100,  
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