

THE SECURITIES COMMISSION OF THE BAHAMAS



PUBLIC NOTICE

No. 4 of 2016

27 July 2016

Re: Promulgation of the Securities Industry (Anti Money Laundering And Countering the Financing of Terrorism) Rules, 2015

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 public is advised that, pursuant to Section 149 of the SIA, the Securities Industry (Anti Money Laundering and Countering the Financing of Terrorism) Rules, 2015 (AML/CFT Rules) have been promulgated, **with effect 4 December 2015**. The AML/CFT Rules are applicable to persons registered under Part V and VI of the SIA, except as specifically excluded in the Rules.

The AML/CFT Rules are available on the Legislative Framework page of the Commission’s website (www.scb.gov.bs/rules_guide.html).

Any inquiries concerning this notice may be directed to the Commission at:

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