



**TURKS AND CAICOS ISLANDS
FINANCIAL SERVICES COMMISSION**

Regulating with Honesty, Integrity and Transparency

Summary of Enforcement Actions

October-December 2021

Pursuant to section 33 and Part VII of the Financial Services Commission Ordinance, the Commission took the following enforcement and disciplinary actions during the period **October- December 2021** in response to non-compliance by licensees/supervisees with legislative and/or regulatory requirements:

Notices of Intention to take Disciplinary Action

Contravention	Licence	Number
Failure to pay annual licence fee	Insurance	9
Total		9

DIRECTIVES

Contravention	Licence	Number
Audited Financial Statements	Insurance	6
Total		6

NOTICES OF INTENTION TO REVOKE LICENCE

Contravention	Licence	Number
Failure to pay annual licence fee	Insurance	390
Total		390

NOTICES TO PRODUCE

Licence	Number
Insurance	1
Total	1

Summary of Enforcement Actions
October-December 2021



ENFORCEMENT ACTIONS TO DATE

YTD Enforcement Actions	2,397
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