



TURKS AND CAICOS ISLANDS FINANCIAL SERVICES COMMISSION

Regulating with Honesty, Integrity and Transparency

Summary of Enforcement Actions

April- June 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 April- June 2021 in response to non-compliance by licensees/supervisee with legislative and/or regulatory requirements:

PENALTIES

Contravention	Licence	Number	Complied	Status
Failure to pay annual licence fee	Insurance	5	Yes	<i>Complete</i>
Failure to obtain regulatory approval	Insurance	1	Yes	<i>Complete</i>
Total				<i>6</i>

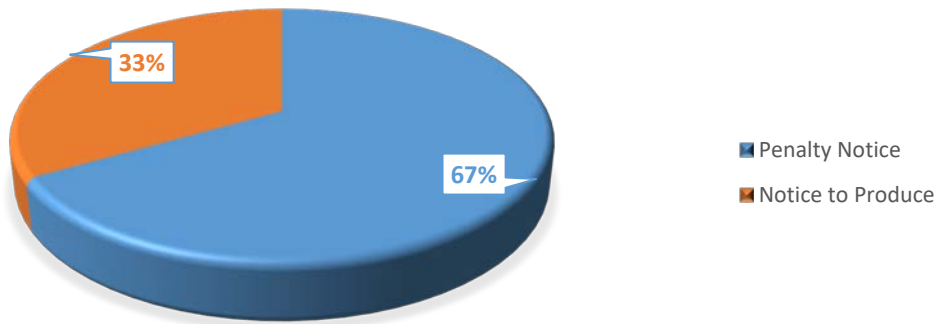
NOTICE TO PRODUCE

Licence	Number	Complied	Status
Company Manager	2	Yes	<i>Complete</i>
Total			<i>2</i>

Summary of Enforcement Actions April- June 2021



ENFORCEMENT ACTION BY
-TYPE OF ACTION-
APRIL- JUNE 2021



ENFORCEMENT ACTION BY
-LICENCE-
APRIL- JUNE 2021

