



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

**In the Matter of the Contravention of Section 65(1) of the Securities Act
Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago
and By-Law 48(1) of the Securities (General) By-Laws, 2015**

By

Murphy Clarke Financial Limited

ORDER OF THE COMMISSION

Dated this 1st day of March, 2022

WHEREAS Section 65(1) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) and By-Law 48(1) of the Securities (General) By-Laws, 2015 (“the By-Laws”) require a broker-dealer to file its audited annual comparative financial statements with the Commission, within the prescribed time frame;

AND WHEREAS Murphy Clarke Financial Limited (“the Respondent”), filed its audited annual comparative financial statements for the financial year ended June 30, 2021, with the Commission, past the due date;

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Section 65(1) of the Act and By-Law 48(1) of the By-Laws by failing to file its audited annual comparative financial statements with the Commission for the financial year ended June 30, 2021, within the prescribed timeframe;

AND WHEREAS the Respondent acknowledged that it was in contravention of Section 65(1) of the Act and By-Law 48(1) of the By-Laws by failing to file the aforementioned document with the Commission, within the prescribed timeframe;

AND UPON the Board of Commissioners considering the submissions by the Staff of the Commission and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.

IT IS HEREBY ORDERED THAT:

1. Murphy Clarke Financial Limited (“the Respondent”) has contravened Section 65(1) of the Act and By-Law 48(1) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the total sum of One Thousand Trinidad and Tobago Dollars (TT\$1,000.00) within twenty-eight (28) days of the making of this Order; and
3. This Order shall be published in the Trinidad and Tobago Gazette and posted on the Commission’s website. A notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.

BY ORDER OF THE COMMISSION