



# INVESTOR TIPS



## WHAT ACTION CAN THE TTSEC TAKE?

- The Commission operates under the Securities Industry Act, Chapter 83:02 ("the SIA") and its relevant By-Laws
- The staff of the Commission conducts investigations into violations of the SIA as authorized by the Commission.
- The Commission functions as a quasi-judicial body and conducts hearings into matters related to the securities market for which it can issue penalties and make orders conditionally or otherwise.
- The Commission can make orders cancelling the registration of a market actor or requiring the resignation of company directors or senior officers of a reporting issuer where it considers it to be in the public interest.
- The Commission can also seek an Order of the High Court requiring restitution or disgorgement of profits or seek sanctions in the criminal courts.

*If things have gone wrong and you want to make a complaint you can telephone, come in to our offices or check online for our complaints procedure and form.*

For more information about our recent actions visit [www.ttsec.org.tt](http://www.ttsec.org.tt) and check out the Legal Framework>Contraventions tab.

**Trinidad and Tobago Securities and Exchange Commission**

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