



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

**In the Matter of the Contravention of Section 56(4) of the Securities Act Chapter 83:02,
of the Laws of the Republic of Trinidad and Tobago and By-Law 53(2) of the
Securities (General) By-Laws 2015**

By

Murphy Clarke Financial Limited

ORDER OF THE COMMISSION

Dated this 5th day of June , 2023

WHEREAS Section 56(4) of the Securities Act Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) and By-Law 53(2) of the Securities (General) By-Laws 2015 (“the By-Laws”) require a Broker-Dealer to file a Form No. 6 Notification with the Commission within the prescribed timeframe;

AND WHEREAS Murphy Clarke Financial Limited (“the Respondent”) filed its Form No. 6 Notification concerning the hiring of a Chief Operating Officer, 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 56(4) of the Act and By-Law 53(2) of the By-Laws by failing to file the said Form No. 6 Notification with the Commission, within the prescribed timeframe;

AND WHEREAS the Respondent acknowledged that it was in contravention of Section 56(4) of the Act and By-Law 53(2) of the By-Laws by failing to file the aforementioned document within the prescribed timeframe, and agreed to pay the consequential administrative penalty;

AND UPON the Board of Commissioners considering submissions in the matter 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 56(4) of the Act and By-Law 53(2) of the By-Laws;
1. Pursuant to Section 156(2) of the Act, the Respondent shall pay an administrative fine in the sum of Eleven Thousand Trinidad and Tobago Dollars (TT\$11,000.00), to the Commission; and
2. 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