



SECURITIES MARKETS ORDER, 2013
(S 59/2013)

SECURITIES MARKETS (COMPOUNDABLE OFFENCES) REGULATIONS, 2014

ARRANGEMENT OF REGULATIONS

Regulation

1. Citation.
2. Compoundable Offences.
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5. Receipt.



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In exercise of the power conferred by section 265 of the Securities Markets Order, the Authority, with the approval of His Majesty the Sultan and Yang Di-Pertuan, hereby makes the following Regulations –

Citation.

1. These Regulations may be cited as the Securities Markets (Compoundable Offences) Regulations, 2014.

Compoundable Offences.

2. The following offences may be compounded by the Authority –

- (a) any offence under the Order which is punishable by a fine only; or
- (b) any offence under section 22(5), 47(6), 52(4), 125(3), 128(6), 158(3), 159(3), 164(8), 180(2), 188(3), 189(4), 190(3), 192(3), 194(3), 195(2), 196(3), 241(11), 243(3), 250, 251(3) or 261 of the Order.

Form.

3. An offer to compound shall be in such form as the Authority may determine.

Payment.

4. When an offer to compound any offence is made and accepted, payment for it –

- (a) shall be made in cash at the place where the offer was made; or
- (b) may be made through telegraphic transfer subject to any terms or conditions that the Authority may specify.

Receipt.

5. When payment is made in accordance with regulation 4, an official receipt shall be issued for such payment to the person to whom the offer to compound was made.

Made this
corresponding to the

21st day of *Rabiulawal*
12th day of *January*

1436 Hijriah
2014. 20 15



Managing Director,

Autoriti Monetari Brunei Darussalam.