
The Manual provides an overview of the Commission’s approach to enforcement and the exercise of its enforcement powers. It sets out general policies and procedures which the Commission uses as guidance in detecting, investigating, and taking actions in cases where the relevant laws and/or any other relevant guidelines have been breached.

This Manual is issued with the intent of increasing transparency, certainty, and consistency, and, more generally, to promote the rule-of-law principles that underpin all of the Commission’s enforcement actions.

“The publication of the Enforcement Manual delivers on the Commission’s commitment to facilitate a better understanding and give broader perspective about the Commission’s efforts to meet its statutory objectives, vision and mission. The Manual aims at increasing the level of clarity and transparency in our work, which in turn promotes a better understanding of our credible deterrence approach.” said Chief Executive, Dhanesswurnath Thakoor.

The Commission does not intend, by the publication of this Manual, to waive any applicable privileges or protections. In furtherance, this Manual is not intended to, does not, and may not be relied upon to create any rights be it substantive or procedural and is not enforceable by any party in any matter, civil or criminal. The Manual will periodically be reviewed and updated.
RELATED LINKS

- The Enforcement Manual can be accessed through this link.
- FAQs on the Enforcement Manual can be accessed through this link.

Notes to Editors:

1. The Commission is the integrated regulator for the non-banking financial services sector and global business. Established in 2001, the Commission is mandated under the Financial Services Act 2007 and has as enabling legislations including but not limited to, the Securities Act 2005, the Insurance Act 2005, the Private Pension Schemes Act 2012 and the Financial Intelligence and Anti-Money Laundering Act 2002 to license, regulate, monitor and supervise the conduct of business activities in these sectors.

2. Find out more information about the Commission here.

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