# RESPONSE TO CONSULTATION PAPER (P01-2017)

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| **Consultation topic:** | Consultation Paper of Compliance and Internal Control Guidelines for Entities Licensed under the Securities Act 2001 |
| **Name1/Organisation:** 1if responding in a personal capacity |  |
| **Contact number for any clarifications:** |  |
| **Email address for any clarifications:** |  |
| **Confidentiality** |
| I wish to keep the following confidential: *(Please indicate any parts of your submission you would like to be kept confidential, or if you would like your identity to be kept confidential, in the event the comments are to be published by the ECSRC.)* |  |

**General comments:**

**The Eastern Caribbean Securities Regulatory Commission (ECSRC) seeks your views on subjecting entities licensed or authorised under the Securities Act 2001 to the proposed Compliance and Internal Control Guidelines (ECSRC Market Guidelines (No.1 of 2017)) from 1 June 2017.**

<Please fill in your response in the blank space below.>