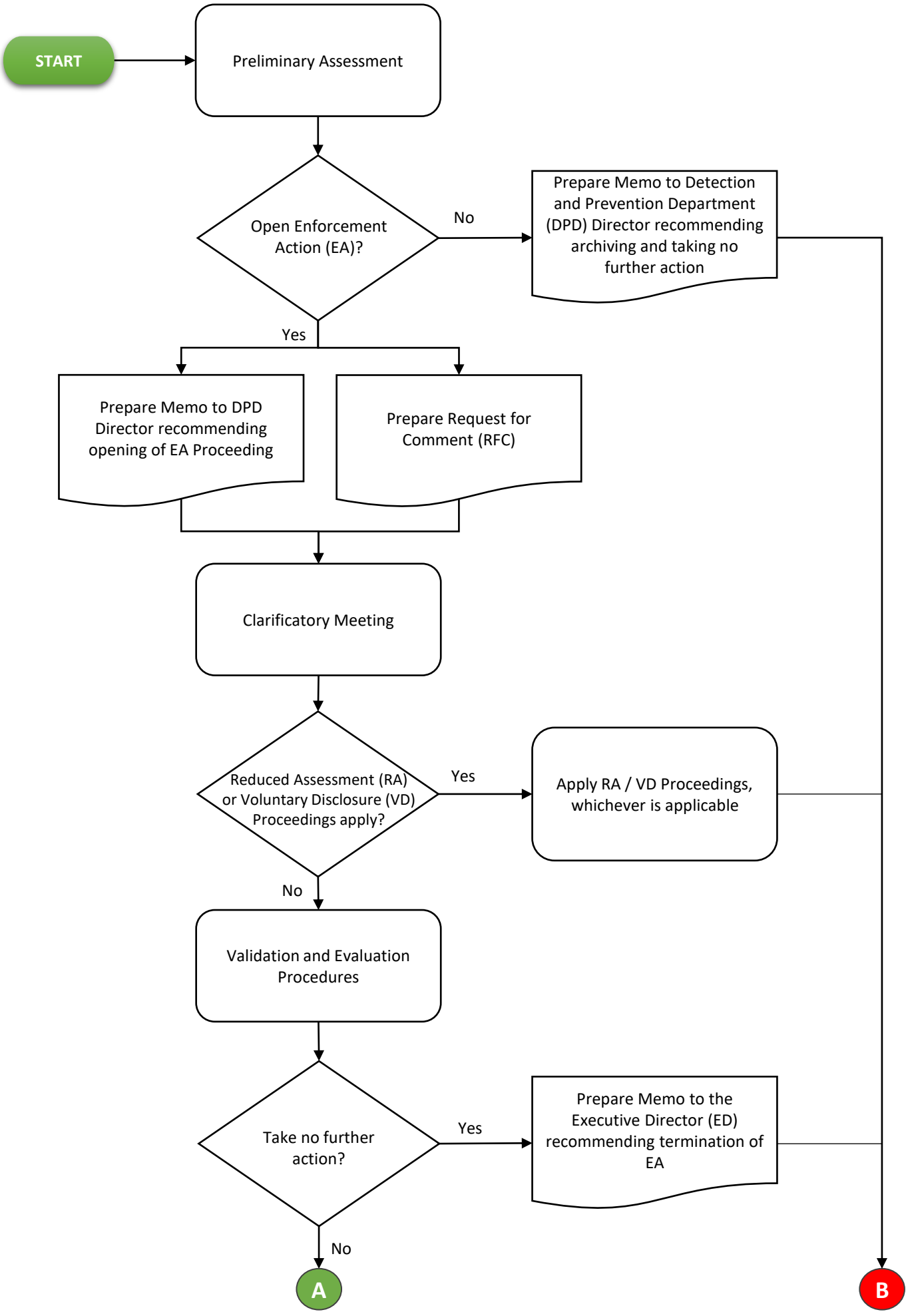
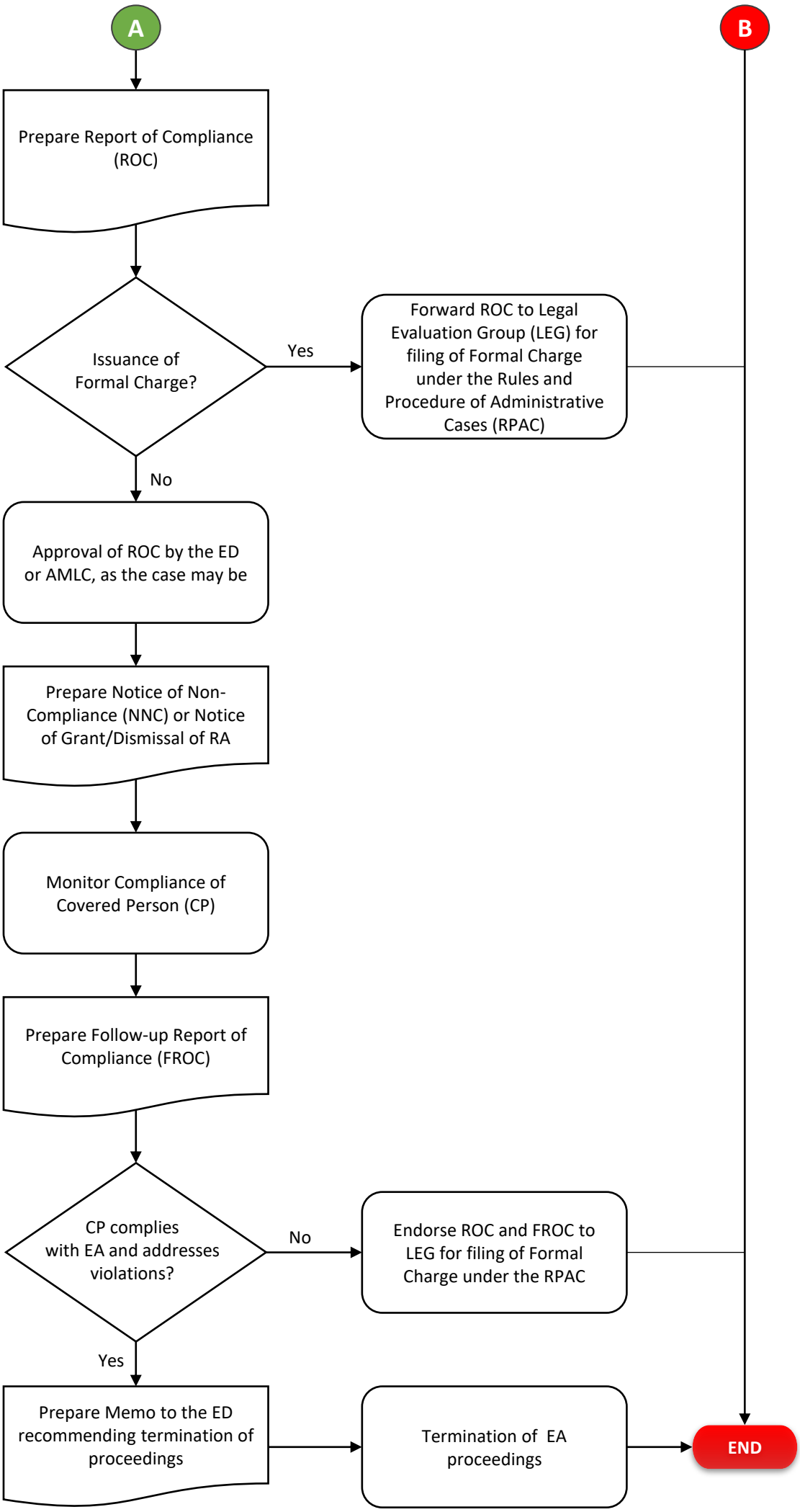
Enforcement Action Guidelines

Annex A




A
B
Prepare Report of Compliance (ROC)
Issuance of Formal Charge?
Yes
Forward ROC to Legal Evaluation Group (LEG) for filing of Formal Charge under the Rules and Procedure of Administrative Cases (RPAC)
No
Approval of ROC by the ED or AMLC, as the case may be
Prepare Notice of Non-Compliance (NNC) or Notice of Grant/Dismissal of RA
Monitor Compliance of Covered Person (CP)
Prepare Follow-up Report of Compliance (FROC)
CP complies with EA and addresses violations?
No
Endorse ROC and FROC to LEG for filing of Formal Charge under the RPAC
Yes
Prepare Memo to the ED recommending termination of proceedings
Termination of EA proceedings
END