



TRINIDAD AND TOBAGO GAZETTE

(EXTRAORDINARY)

VOL. 63

Caroni, Trinidad, Monday 25th March, 2024—Price \$1.00

No. 47

387



Government of the Republic of Trinidad and Tobago
EASTERN REGIONAL HEALTH AUTHORITY

**Updated Public Statement for 2022
in compliance with Sections 7, 8 and 9 of the
Freedom of Information Act (FOIA), 1999 Chapter 22:02**

In accordance with Sections 7, 8 and 9 of the Freedom of Information Act (FOIA), Chapter 22:02 the **Eastern Regional Health Authority (ERHA)** is required by law to publish the following statement, which lists the documents and information generally available to the public.

The Freedom of Information Act gives members of the public:

1. A legal right for each person to access information held by the ERHA;
2. A legal right for each person to have official information relating to him/herself amended where it is incomplete, incorrect or misleading;
3. A legal right to obtain reasons for adverse decisions made regarding an applicant's request for information under the FOIA; and
4. A legal right to complain to the Ombudsman and to apply to the High Court for Judicial Review to challenge adverse decisions made under the FOIA.

Section 7 Statements

Section 7 (1) (a) (i)

Function and Structure of the Eastern Regional Health Authority

The Eastern Regional Health Authority (ERHA) is a Statutory Body which was established on May 20, 1994 in accordance with the Regional Health Authorities Act No. 5 of 1994. It is governed by a Board of Directors.

ERHA is, geographically, the largest of the Regional Health Authorities in Trinidad and Tobago. It encompasses the St. Andrew, St. David, Nariva and Mayaro counties. The ERHA delivers healthcare services to an area extending from the northeastern most point of Matelot to the southeastern most tip of Guayaguayare and as far westward as the communities of Rio Claro, Brother's Road, Cumuto and Valencia.

The Authority delivers healthcare via the Sangre Grande Hospital, the Mayaro District Health Facility, fourteen (14) Health and Outreach Centres, Nariva Mayaro Satellite Dialysis Unit and the Sangre Grande Enhanced Health Centre. ERHA facilities also include a Head Office, County Health Administration Offices in Nariva/Mayaro and St. Andrew/St. David, a Learning Resource Centre, a Conference Centre and Disaster Preparedness Emergency Operations Centre and a Community Liaison Unit.

The 2022 Updated Public Statement of the ERHA in compliance with Sections 7, 8 and
9 of the Freedom of Information Act (FOIA) 1999

The services of the ERHA are specifically geared toward the 130,000-resident population of the Eastern Region. However, individuals from all over Trinidad and Tobago have access to our services, including visitors to our region.

The ERHA's mission is to develop resources and execute on plans which build an enabling environment for the delivery of a broad range of high-quality people-centered healthcare services in support of the strategic goals of the Ministry of Health.

The vision states that the ERHA is a people-centered, caring, proactive institution which provides excellence in medical care and patient service, thereby promoting, protecting and improving the health status of the population of the eastern region of Trinidad and Tobago.

The Eastern Regional Health Authority is divided into four (4) responsibility centres:

1. Head Office

The core departments under Head Office and its locations are as follows:

Supercare Building, Eastern Main Road, Sangre Grande

- Office of the Chief Executive Officer
- Legal & Corporate Affairs
- Quality & Risk Management
- Board Secretariat
- Occupational Safety and Health
- Nursing
- Public Health Observatory
- Corporate Communications Department
- Central Purchasing Unit

ERHA Administrative Building, 121 Eastern Main Road, Sangre Grande

- Human Resources Department
- Operations:
 - Fleet
 - Projects
 - Security Services
 - Facilities Management
 - Information Technology/Information Systems
- Finance:
 - Accounts
 - Cost and Management Accounting

387—Continued

The 2022 Updated Public Statement of the ERHA in compliance with Sections 7, 8 and 9 of the Freedom of Information Act (FOIA) 1999

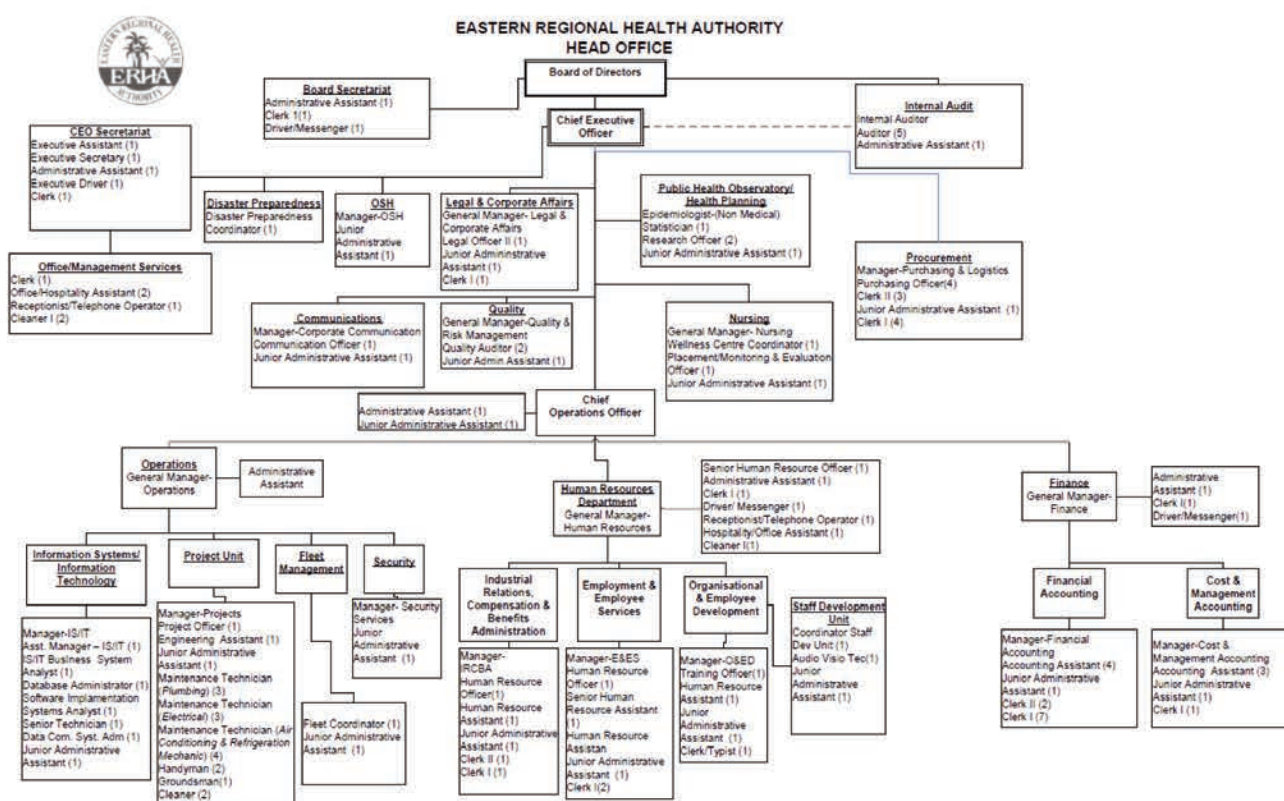
Sankar Building II, Corner San Louis Road and Eastern Main Road, Sangre Grande

- Public Health Inspectorate
- Internal Audit

Conference and Emergency Operations Centre, Picton Road, Sangre Grande

- Disaster Preparedness Unit

Organisational Structure – Head Office



2. County St. Andrew/St. David

County St. Andrew/St. David comprises an administrative office and eleven (11) health facilities. The aim of the ERHA is to provide primary healthcare to all the 70,000 persons who live in County St. Andrew/ St. David. These services include among others antenatal, post-natal, vaccinations, dressings as well as Chronic Disease Support Groups and Wellness Centres. Some of the new services offered at the Sangre Grande Enhanced Health Centre include X-ray, Ultra Sound, Optometry/Ophthalmology, Mental Health, Dental X-ray Services, Child Health Clinic, School Health, Social Works, Family Planning, Pharmacy Services, Nutritionist, HIV/AIDS testing and also a Wellness Centre.

The 2022 Updated Public Statement of the ERHA in compliance with Sections 7, 8 and 9 of the Freedom of Information Act (FOIA) 1999

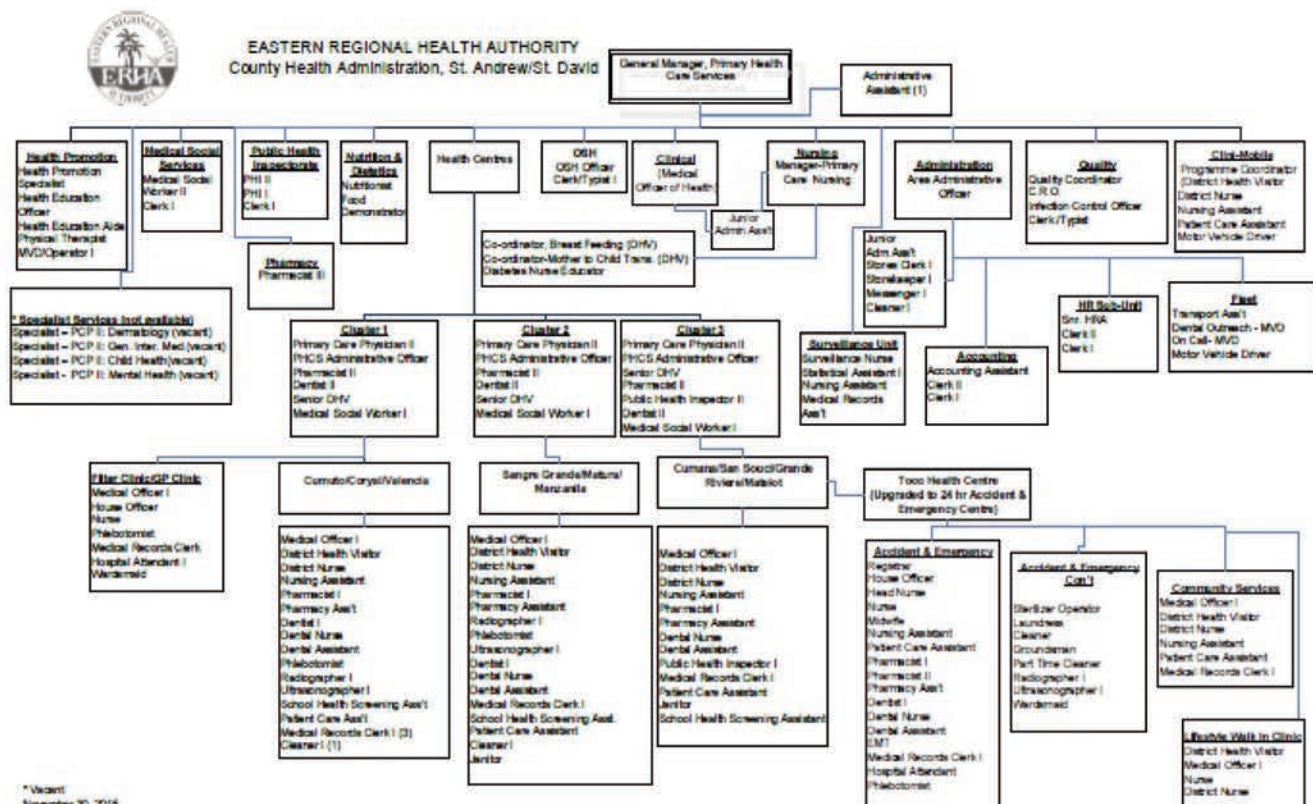
Administrative Office

County Health Administration, St. Andrew/St. David
Damarie Hill, Guaico

Health Facilities in County St. Andrew/St. David

- Coryal Outreach Centre
- Cumana Outreach Centre
- Cumuto Outreach Centre
- Grande Riviere Outreach Centre
- Manzanilla Outreach Centre
- Matelot Outreach Centre
- Matura Outreach Centre
- San Souci Outreach Centre
- Sangre Grande Enhanced Health Centre
- Toco Health Centre
- Valencia Outreach Centre

Organisational Structure – County St. Andrew/St. David



The 2022 Updated Public Statement of the ERHA in compliance with Sections 7, 8 and 9 of the Freedom of Information Act (FOIA) 1999

County Nariva/Mayaro comprises an Administrative Office, Learning Resource Centre and five (5) health facilities. The aim of the ERHA is to provide primary healthcare to all the 35,000 persons who live in County Nariva/Mayaro. These services include among others clinical services such as antenatal, post-natal, vaccination, School Health, Social Works, Family Planning, Pharmacy Services, Nutritionist, HIV/AIDS testing, dressings as well as Chronic Disease Support Groups and Wellness Centres.

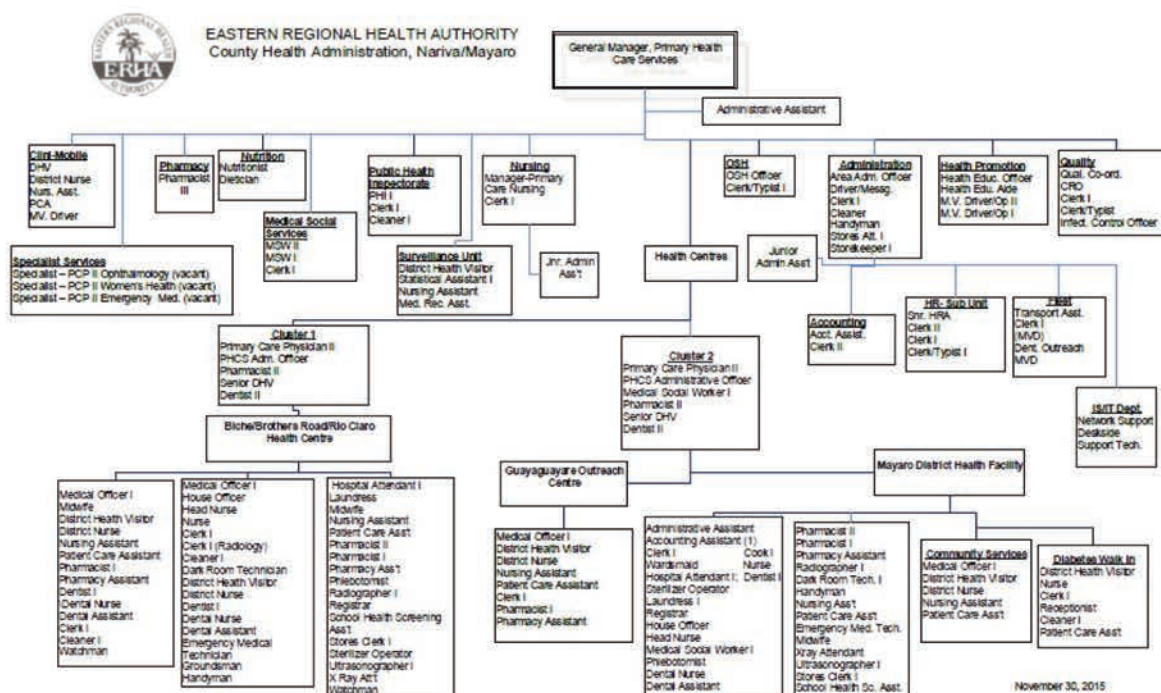
Administrative Office

- County Health Administration, Nariva/Mayaro, Narine Ramrattan Building, Naparima Mayaro Road, Rio Claro
- Celinox Building, Tabaquite Road, Rio Claro
- Learning Resource Centre, Pierreville, Mayaro

Health Facilities in County Nariva/ Mayaro

- Biche Outreach Centre
- Brothers Road Outreach Centre
- Guayaguayare Outreach Centre
- Mayaro District Health Facility
- Rio Claro Health Centre
- Nariva/Mayaro Satellite Dialysis Unit
- Old Public Health Inspectorate

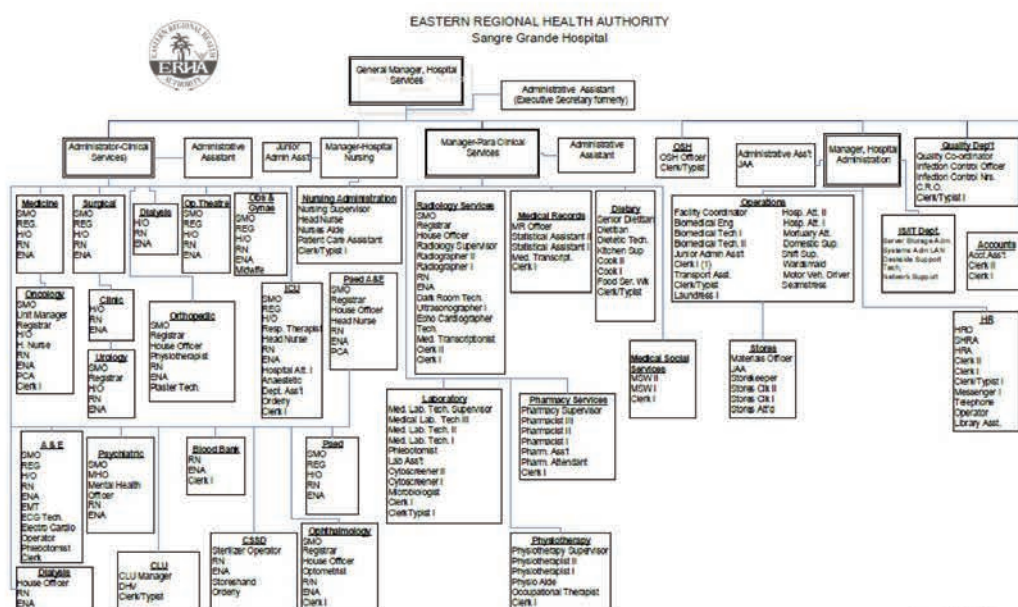
Organisational Structure – County Nariva/Mayaro



The 2022 Updated Public Statement of the ERHA in compliance with Sections 7, 8 and 9 of the Freedom of Information Act (FOIA) 1999

The Sangre Grande Hospital, located at Ojoe Road, Sangre Grande, is the only facility with in-patient services in the Eastern Regional Health Authority. The facility currently has 147 beds and provides secondary care for the Counties of St. Andrew/St. David and Nariva/Mayaro with an estimated population of 130,000 persons. Some of the services provided include Oncology, Accident and Emergency, Orthopaedics, Ophthalmology, Radiology, Blood Bank, a Poison Information Centre and Computed Tomography Suite.

Organisational Structure – Sangre Grande Hospital



Section 7 (1) (a) (ii)

Categories of Documents in the possession of the ERHA

The ERHA has the following categories of documents in its possession:

1. Complaints, compliments and suggestion files
2. Contracts, agreements, leases, deeds, concessions and licenses
3. Files dealing with the general administrative support for the operations of the ERHA
4. Files dealing with official functions, conferences and events hosted by the ERHA
5. Files dealing with the accounting, procurement and financial management function of the ERHA
6. Human Resource files
7. Legal opinions and related matters
8. Legislation (especially health-related) and Legal Instruments

The 2022 Updated Public Statement of the ERHA in compliance with Sections 7, 8 and 9 of the Freedom of Information Act (FOIA) 1999

9. Media Releases, advertisements, tender notices, public notices and speeches originating in the ERHA
10. Minutes of Board Meetings, Sub-committee Meetings, Executive Management Meetings and Management Team Meetings
11. Monthly, quarterly and yearly statistical utilisation of services reports.
12. Policy and Procedure documents
13. Records and documents relating to the strategic review of the ERHA, its Divisions and Units
14. Report on Indoor Air Quality Monitoring at the Dental Clinic Rio Claro Health Centre
15. Report on Indoor Air Quality Monitoring at the Pharmacy Department Rio Claro Health Centre
16. Reports on research initiatives conducted within the Authority (i.e. Health Systems, Epidemiology, Public Health, General, etc.)
17. Weekly summary reports of COVID-19 vaccines administered in the ERHA
18. Medical Social Works National Case Record – Intake Form for clients seen by the Medical Social Works Department
19. Referral Form – Clients referrals from medical doctors
20. Guidelines on Patients and Visitors

Section 7 (1) (a) (iii)

Material prepared for publication or inspection

The public may inspect and/or obtain copies of the material that is permitted to be released under the Freedom of Information Act between the hours of **9:00 a.m. and 3:00 p.m.** at:

Conference Room, Human Resources Department, ERHA Administrative Building,
121 Eastern Main Road, Sangre Grande
and
Conference Room, County Health Administration, Nariva/Mayaro
Narine Ramrattan Building, Naparima Mayaro Road, Rio Claro

Section 7 (1) (a) (iv)

Literature available by subscription

The ERHA does not have any documents or literature available by subscription.

Section 7 (1) (a) (v)

Procedure to be followed when accessing a document from the Eastern Regional Health Authority

The 2022 Updated Public Statement of the ERHA in compliance with Sections 7, 8 and 9 of the Freedom of Information Act (FOIA) 1999

How to Request Information

General Procedure

In order to have the rights given to applicants by the FOIA (for example the right to challenge a decision if the request for information is refused), **the applicant must make their request in writing**. The *Request for Access to Official Documents* form is available for download on the ERHA's website under the Resources link or in the Reception Areas of our Head Office and our administrative offices (described above).

The relevant information that **must be** provided to the ERHA includes:

- Name of Applicant (full name preferred);
- Contact information;
- Information requested and format to provide the information;
- Date of request;
- Signature of applicant;
- Applications should be addressed to the Designated Officer of the ERHA (**see Section 7 (1) (a) (vi)**).

Applicants should provide details that will allow for ready identification and location of the records that are being requested. If insufficient information is provided, clarification will be sought from the applicant. If the applicant is not sure how to prepare their request or what details to include, they should communicate with the Designated Officer. The applicant will be contacted **within thirty (30) days** of the receipt of the request by the ERHA (that is, the received stamp date) and the applicant will be notified by the Designated Officer that the request has been received and is being considered. After determining if the request can be made available to the applicant (approval), the applicant will be informed and given a time period in which the information will be disclosed. If it is determined that the request cannot be disclosed (refusal) then the applicant will be informed of the refusal and the rights of the applicant according to Section 38A and 39 of the FOIA.

Requests not handled under the FOIA

In accordance with Section 12 of the FOI Act, requests under the FOIA that will not be processed are as follows:

- a. Documents which contain information which is open to public access, as part of a public register;
- b. Documents which contain information that is available for purchase by the public;
- c. Documents that are available for public inspection in a registry maintained by the Registrar General or other public authority; and
- d. Documents which are stored for preservation or safe custody

The 2022 Updated Public Statement of the ERHA in compliance with Sections 7, 8 and 9 of the Freedom of Information Act (FOIA) 1999

Section 7 (1) (a) (vi)**Officers in the Public Authority responsible for:**

- 1) The initial receipt of and action upon notices under Section 10,
- 2) Requests for access to documents under Section 13 and
- 3) Applications for corrections of Personal Documents under Section 36 of the FOIA

The Designated Officer is:

Manager - Corporate Communications

Mrs. Lisa Daniel-Charles

Tel: 226-9112

Email: lisa.daniel-charles@erha.co.tt

The Alternate Designated Officer is:

General Manager-Quality & Risk Management

Ms. Michelle Ramnarine

Tel: 226-9158

Email: michelle.ramnarine@erha.co.tt

Section 7 (1) (a) (vii)**Advisory Boards, Councils, Committees, and other bodies (Where meetings/minutes are open to the public)**

- Ethics and Research Committee
- Board Sub-Committees (Finance, Tenders, Quality & Risk Management, Human Resource)
- Safety Committee
- Infection Prevention and Control Committee
- Regional Drug Committee
- Medical Records Committee
- Training Advisory Committee
- Board Sub- Committees – Tenders Committee no longer in existence
- The Procurement & Disposal Advisory Committee

Section 7 (1) (a) (viii)**Reading Room Facilities**

Information in the public domain can be accessed at our offices. General enquiries should be directed to the Junior Administrative Assistant (Corporate Communications) at **226-9119** or Administrative Assistant (Quality) at **226-9159**.

The 2022 Updated Public Statement of the ERHA in compliance with Sections 7, 8 and
9 of the Freedom of Information Act (FOIA) 1999

The Reading Rooms in the ERHA are located at the following locations:

1. Conference Room, Human Resources Department, ERHA Administrative Building, 121 Eastern Main Road, Sangre Grande
And
2. Conference Room, County Health Administration, Nariva/Mayaro Narine Ramrattan Building, Naparima Mayaro Road, Rio Claro

The Reading Rooms are open, by appointment, to the public from Mondays to Fridays between the hours of **9:00 a.m. and 3:00 p.m.** and may be used to make FOI requests or inspect printed material. Members of the public are required to comply with security and OSH guidelines for utilizing the reading rooms at the respective buildings as it pertains to access control (the signing In and Out of Visitors Registers) as well as adherence to fire alarms/evacuation directives.

Policy of the Public Authority for provision of copies of documents held in the public domain

- Provision of certain documents may be subject to a charge to cover administrative costs.
- No smoking, eating or drinking is allowed in the Reading Rooms.
- No phones are allowed in the Reading Rooms.
- No photography is allowed in the Reading Rooms.
- Access for use of the Reading Rooms is by appointment only. Persons are required to liaise with the Designated Officer or Alternate Designated Officer to schedule an appointment (see Section 7 (1) (a) (vi)).

Section 8 Statements

Section 8 (1) (a) (i)

Documents containing interpretations or particulars of written laws or schemes administered by the public authority, not being particulars contained in another written law:

- Regional Health Authorities Act, Chapter 29:05 and all Regulations made under it;
- Occupational Safety and Health Act, Chapter 88:08 and all Regulations made under it;
- Nursing Personnel Act, Chapter 29:53 and all Regulations made under it;
- Medical Board Act, Chapter 29:50;
- Freedom of Information Act, 1999;
- Workmen's Compensation Act;
- Ministry of Health – Health and Safety Management Policy;
- Ministry of Health Infection Control Manual;
- Occupational Safety & Health Act 2004,
- Antibiotics Act Chapter 30:02
- Pharmacy Board Act Chapter 29:52

The 2022 Updated Public Statement of the ERHA in compliance with Sections 7, 8 and 9 of the Freedom of Information Act (FOIA) 1999

- Food and Drugs Act Chapter 30:01
- Dangerous Drugs Act Chapter 11:25
- Maternity Protection Act, Pension Act, Industrial Relations Act
- The Public Procurement & Disposal of Property Act (2015) as amended

These documents are available for purchase at the Government Printery or for download at the Registrar General Department of the Ministry of Legal Affairs website: <http://rgd.legalaffairs.gov.tt/>

Section 8 (1) (a) (ii)

Manuals, rules of procedure, statements of policy, records of decisions, letters of advice to persons outside the public authority, or similar documents containing rules, policies, guidelines, practices or precedents.

The following are the approved policies and guidelines of the Eastern Regional Health Authority:

- Human Resources Policies;
- Occupational Health & Safety Policies;
 - Accident Incident Policy
 - SOP for Chemical and Disinfecting Agents used within the ERHA
 - Personal Protective Equipment use within the ERHA
 - Fleet Operating Manual
 - SOP for Contractor Safety
- Clinical Policies
- Quality Policies
- Finance Policies
- Information Technology Policies

Section 8 (1) (b)

In enforcing written laws or schemes administered by the public authority where a member of the public might be directly affected by that enforcement, being documents containing information on the procedures to be employed or the objectives to be pursued in the enforcement of, the written laws or schemes.

- There are no statements to be published under this subsection at this time.

The 2022 Updated Public Statement of the ERHA in compliance with Sections 7, 8 and 9 of the Freedom of Information Act (FOIA) 1999

Section 9 Statements

Section 9 (1) (a)

A report, or a statement containing the advice or recommendations, of a body or entity established within the public authority.

- Chronic Disease Support Group Terms of Reference;
- Wellness Centre By-Laws.

Section 9 (1) (b)

A report, or a statement containing the advice or recommendations, (1) of a body or entity established outside the public authority by or under a written law, (2) or by a Minister of Government or other public authority for the purpose of submitting a report or reports, providing advice or making recommendations to the public authority or to the responsible Minister of that public authority.

- At this time, the Authority does not have any such reports or statements.

Section 9 (1) (c)

A report or a statement containing the advice or recommendations, of an Interdepartmental Committee whose membership includes an officer of the public authority.

- At this time, the Authority does not have any such reports or statements.

Section 9 (1) (d)

A report, or a statement containing the advice or recommendations, of a committee established within the public authority to submit a report, provide advice or make recommendations to the responsible Minister of that public authority or to another officer of the public authority who is not a member of the committee.

- Request to Minister of Health for approval of Eastern Regional Health Business Plans 2021/2022
- Reports from Board Sub-Committees.
- Annual Client Satisfaction Surveys
- Annual Client Feedback Reports
- Adverse Events Reports

Section 9 (1) (e)

A report (including a report concerning the results of studies, surveys or tests) prepared for the public authority by a scientific or technical expert, whether employed within the public authority or not, including a report expressing the opinion of such an expert on scientific or technical matters.

- A Study to Delineate Factors Contributing To Multiple Multi Drug Resistant Organism (Mdro) Outbreak: A Case Control Study - 2015
- Community Profile Summaries - 2017

The 2022 Updated Public Statement of the ERHA in compliance with Sections 7, 8 and
9 of the Freedom of Information Act (FOIA) 1999

- Client Exit Survey – 2015, 2016, 2017 and 2018
- Efficiency Analysis of Bed Usage at the SGH utilizing the Pabon Lasso Model - 2016
- ERHA Blood Donation Survey - 2011
- ERHA Annual Client Feedback Report 2021
- ERHA Annual Client Feedback Report 2022
- ERHA Client Demand Study - 2012
- ERHA Client Satisfaction Survey - 2011
- ERHA Client Satisfaction Survey 2021
- ERHA Client Satisfaction Survey/Client Exit Survey 2022
- ERHA Employee Satisfaction Survey – 2013, 2016 and 2018
- ERHA Employee Assistance Programme Survey (Non-Users) - 2010
- ERHA Primary Care Needs Assessment Survey - Facility Survey - 2010
- ERHA Primary Care Needs Assessment Survey - Household Survey – 2010
- ERHA Waiting Time Analysis – SGH A&E
- ERHA Waiting Time Analysis – SGEHC A&E
- Extended Hours Utilization Analysis - 2016 and 2018
- Hand Hygiene Audit
- Health Centre Community Profiles - 2017, 2020
- Mayaro District Health Facility Radiation Survey by Jason De La Rosa & Roy Maxime, Medical Physicists - August 2021
- Mayaro District Health Facility Power Audit by Tech Engineering, June 2020 – Part 1
- Mayaro District Health Facility Power Audit by Tech Engineering, June 2020 – Part 2
- Most prevalent causes of death at the SGH 2016-18
- Purchased clinical and non-clinical equipment or replace existing equipment due to age or obsolescence
- Report of Radiation Survey at X-Ray Department, Mayaro District Hospital, by Ms. S. Mejias, Medical Physicist, National Radiotherapy Centre, St. James - September 28, 2001
- Reports of Radiation Survey at Mayaro District Health Facility and the Rio Claro Health Centre by Mr. Anthony Archibald, Physicist, Diagnostic Nuclear Medicine Limited - December 10, 2008
- Report on Ionizing Radiation Survey at the X-Ray Department, Sangre Grande Hospital - September 8, 2018
- Report on Ionizing Radiation Survey at the X-Ray Department, Rio Claro Health Centre - January 23, 2018
- Pregnancy Patterns within the ERHA - 2015
- Primary Care Disease Prevalence - 2014
- Reports on Calculation from Ministry of Finance- Evaluation Division;
- Radiation Safety Inspection and Survey Report for the new CT Department at the Sangre Grande Hospital, July 5, 2019

The 2022 Updated Public Statement of the ERHA in compliance with Sections 7, 8 and 9 of the Freedom of Information Act (FOIA) 1999

- Staff satisfaction survey - 2013, 2016, 2019, 2022
- Time & Motion Studies - 2017 and 2018

Section 9 (1) (f)

A report prepared for the public authority by a consultant who was paid for preparing the report.

- Report on conduct of a Job evaluation programme for the RHAs - Price Water House Coopers - 2008
- Report on the design of a Performance Management System - OSH LLC - 2009
- Assessment of the Security Systems and Services at the Regional Health Authorities, ERHA- Arm Specialist Ltd. Primary Consultant Col. Lyle Alexander - 2018

Section 9 (1) (g)

A report prepared within the public authority and containing the results of studies, surveys or tests carried out for the purpose of assessing, or making recommendations on, the feasibility of establishing a new or proposed Government policy, programme or project.

- At this time, the Authority does not have any such reports or statements.

Section 9 (1) (h)

A report on the performance or efficiency of the public authority, or of an office, division or branch of the public authority, whether the report is of a general nature or concerns a particular policy, programme or project administered by the public authority.

- Eastern Regional Health Authority Buy-Out Policy
- Report of Baby Friendly Initiatives by Yvonne Floyd-Davis, Baby Friendly Coordinator
- Statistics on Utilization of Services at Sangre Grande Hospital for 2003/2004 – 2014/2015
- Status Report for the Health Sector Quality Circle on the Implementation of the Revised Performance Management System at the Eastern Regional Health Authority
- Status Reports from the Eastern Regional Health Authority, its facilities and its officers from 1997 to present
- Customer Feedback Reports.

The 2022 Updated Public Statement of the ERHA in compliance with Sections 7, 8 and 9 of the Freedom of Information Act (FOIA) 1999

Section 9 (1) (i)

A report containing (1) final plans or proposals for the re-organisation of the functions of the public authority, (2) the establishment of a new policy, programme or project to be administered by the public authority, or (3) the alteration of an existing policy programme or project administered by the public authority, whether or not the plans or proposals are subject to approval by an officer of the public authority, another public authority, the responsible Minister of the Public Authority or Cabinet.

- Accreditation Standards for Health Sector of Trinidad and Tobago - Joint Commission International -2001
- Eastern Regional Health Authority Strategic Plan for 2012 – 2016
- Information Manual for Client Feedback Systems (Customer Relations/Complaints System) - Ministry of Health/Regional Health Authorities, in collaboration with the Pan American Health Organization - July 2001
- Reorganisation of Organisational Structure for the ERHA (Head Office, Sangre Grande Hospital and Community Services [St. Andrew/St. David and Nariva/Mayaro])
- Client Feedback System Manual, Revised Edition- Ministry of Health Directorate of Health Services Quality Management in collaboration with the Regional Health Authorities
- Eastern Regional Health Authority Strategic Plan 2020-24
- Sangre Grande Hospital Breastfeeding Policy – A requirement for the acquisition of Baby-friendly status at the SGH.

Section 9 (1) (j)

A statement prepared within the public authority and containing policy directions for the drafting of legislation.

- At this time, the Authority does not have any such statements.

Section 9 (1) (k)

A report of a test carried out within the public authority on a product for the purpose of purchasing equipment.

- At this time, the Authority does not have any such statements.

Section 9 (1) (l)

An environmental impact statement prepared within the public authority.

- At this time, the Authority does not have any such statements.

Section 9 (1) (m)

A valuation report prepared for the public authority by a valuator, whether or not the valuator is an officer of the public authority.

- Report on Stock Count Exercise; dated September 2021
- Reports on Stock Count and Fixed Asset Verification Exercises; 2009 – 2014
- Reports on Property Valuation by Boland Sookoo & Associates on buildings belonging to the ERHA; Dated February 2019

November 27, 2023



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

In the Matter of a Contravention of Section 63(a) of the Securities Act Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago and By-Law 47(c) of the Securities (General) by Laws 2015

By

Trinidad and Tobago NGL Limited

ORDER OF THE COMMISSION

Dated this 19th day of December, 2023

WHEREAS Section 63(a) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (**"the Act"**) and By-Law 47(c) of the Securities (General) By-Laws, (**"the By-Laws"**) impose certain obligations on registrants with respect to the filing of Annual Report;

AND WHEREAS Trinidad and Tobago NGL Limited (**"the Respondent"**) filed its Annual Report for the financial year ended December 31, 2022, with the Trinidad and Tobago Securities and Exchange Commission (**"the Commission"**) past the due date;

AND WHEREAS staff of the Commission (**"the Staff"**) advised the Respondent that it was in contravention of Section 63(a) of the Act and By-Law 47(c) of the By-Laws by failing to file the aforementioned document within the prescribed timeframe;

AND WHEREAS the Respondent acknowledged that it was in contravention of Section 63(a) of the Act and By-Law 47(c) of the By-Laws and entered into a settlement agreement with the Staff (**"the Settlement Agreement"**);

AND WHEREAS pursuant to the Settlement Agreement which was approved by the Settlement Panel and the Board of Commissioner the Respondent shall pay the sum of Ninety-Six Thousand Nine Hundred Trinidad and Tobago Dollars (\$96,900.00) to the Commission within twenty-eight (28) days of the making of this Order;

Settlement Agreement Between the Commission and The National Gas Company of Trinidad and Tobago Limited /In The Matter of Rule 61 and Rule 62 of Securities Industry (Hearings And Settlements) Practice Rules, 2008

AND UPON the Board of Commissioners considering the submissions in the Settlement Agreement dated the September 29, 2023 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. Trinidad and Tobago NGL Limited ("**the Respondent**") has contravened Section 63(a) of the Act and By-Law 47(c) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay an administrative fine in the total sum of Ninety-Six Thousand Nine Hundred Trinidad and Tobago Dollars (\$96,900.00) to the Commission within twenty-eight (28) days of the making of this Order; and
3. 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.



Imtiaz Hosein
Chairman



Ayanna Sylvester-Antoine
Corporate Secretary



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

In The Matter of a Contravention of Section 65(1) of the Securities Act Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago and By-Law 48(1) of the Securities (General) by Laws 2015

By

Trinidad and Tobago NGL Limited

ORDER OF THE COMMISSION

Dated this 19th day of December, 2023

WHEREAS of Section 65(1) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (**“the Act”**) and By-Law 48(1) of the Securities (General) By-Laws 2015 (**“the By-Laws”**) impose certain obligations on registrants with respect to the filing of Audited Annual Comparative Financial Statements (**“AACFS”**);

AND WHEREAS Trinidad and Tobago NGL Limited (**“the Respondent”**) filed its AACFS for the financial year ended December 31, 2022, with the Trinidad and Tobago Securities and Exchange Commission (**“the Commission”**) past the due date;

AND WHEREAS staff of the Commission (**“the Staff”**) advised the Respondent that it was in contravention of Section 65(1) of the Act and By-Law 48(1) By-Laws by failing to file the aforementioned document within the prescribed timeframe;

AND WHEREAS the Respondent acknowledged that it was in contravention of Section 65(1) of the Act and By-Law 48(1) By-Laws and entered into a settlement agreement with the Staff (**“the Settlement Agreement”**);

AND WHEREAS pursuant to the Settlement Agreement which was approved by the Settlement Panel and the Board of Commissioners, the Respondent shall pay the sum of One Hundred Thirteen Thousand and Fifty Trinidad and Tobago Dollars (\$113,050.00) to the Commission within twenty-eight (28) days of the making of this Order;

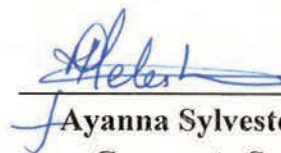
AND UPON the Board of Commissioners considering the submissions in the Settlement Agreement dated September 29, 2023, and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.

IT IS HEREBY ORDERED THAT:

1. Trinidad and Tobago NGL Limited (“**the Respondent**”) has contravened Section 65(1) of the Act and By-Law 48(1) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay an administrative fine in the total sum of One Hundred Thirteen Thousand and Fifty Trinidad and Tobago Dollars (\$113,050.00) to the Commission within twenty-eight (28) days of the making of this Order; and
3. 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.



Imtiaz Hosein
Chairman



Jayanna Sylvester-Antoine
Corporate Secretary



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

**In the Matter of the Contravention of Section 65(1) of the Securities Act Chapter 83:02 and
By-Law 48(1) of the Securities (General) By-Laws, 2015 of the Laws of the Republic of
Trinidad and Tobago**

By

Capital Markets Elite Group (Trinidad and Tobago) Limited

ORDER OF THE COMMISSION

Dated this 18th day of December, 2023

WHEREAS Section 65(1) of Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“**the Act**”) and By-Law 48(1) of the By-Laws of the Securities (General) By-Laws, (“**the By-Laws**”) impose certain obligations on registrants with respect to the filing of Audited Annual Comparative Financial Statements (“**AACFS**”);

AND WHEREAS Capital Markets Elite Group (Trinidad and Tobago) Limited (“**the Respondent**”) filed its AACFS for the period ended May 31, 2023, with the Commission past the due date of September 14, 2023;

AND WHEREAS staff of the Commission (“**the Staff**”) advised the Respondent that it was in contravention of Section 65(1) of the Act and By-Law 48(1) of the By-Laws by failing to file the aforementioned AACFS with the Commission, within the prescribed timeframe;

AND WHEREAS the Respondent acknowledged that it was in contravention of Section 65(1) of the Act and By-Law 48(1) of the By-Laws by filing the aforementioned AACFS with the Commission past the said due date and agreed to pay the consequential administrative fine;

AND UPON the Board of Commissioners considering the submissions in this matter and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159(10)(a) of the Act.

IT IS HEREBY ORDERED THAT:

1. Capital Markets Elite Group (Trinidad and Tobago) Limited (“the Respondent”) has contravened Section 65(1) of the Act and By-Law 48(1) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the sum of Sixteen Thousand Trinidad and Tobago dollars (TT\$16,000.00) within twenty-eight days of making this Order; and
3. 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.



Imtiaz Hosein
Chairman



Ayanna Sylvester-Antoine
Corporate Secretary



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

**In The Matter of the Contravention of Section 67(1) of the Securities Act Chapter 83:02
of the Laws of the Republic of Trinidad and Tobago**

By

Endeavour Holdings Limited

ORDER OF THE COMMISSION

Dated this 18th day of December, 2023

WHEREAS Section 67(1) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) require a Reporting Issuer to obtain approval from the Trinidad and Tobago Securities and Exchange Commission (“the Commission”) before publishing a Notice in the newspapers advising holders of its securities of the availability on its website of any document or report or statement;

AND WHEREAS Endeavour Holdings Limited (“the Respondent”), published a Notice in the Trinidad Guardian and the Trinidad and Tobago Newsday newspapers on July 2, 2022, advising its Security Holders of the availability of its Audited Financial Statements for the year ended April 30, 2022, without obtaining approval from the Commission prior to the publication;

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Section 67(1) of the Act by publishing a Notice in the newspapers on July 2, 2022, without the prior approval of the Commission pursuant to Section 67(2)(c) of the Act;

AND WHEREAS the Respondent acknowledged that it was in contravention Section 67(1) of the Act and entered into a settlement agreement with the Staff (“the Settlement Agreement”);

AND WHEREAS pursuant to the Settlement Agreement, which was approved by the Settlement Panel and the Board of Commissioners, the Respondent shall pay to the Commission the sum of Forty-Five Thousand Trinidad and Tobago Dollars (TT\$45,000.00) within twenty-eight (28) days of the making of this Order;

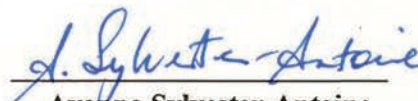
AND UPON the Board of Commissioners considering the terms of the Settlement Agreement dated August 29, 2023 and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.

IT IS HEREBY ORDERED THAT:

1. Endeavour Holdings Limited (“the Respondent”) has contravened Section 67(1) of the Act;
2. Pursuant to Section 156(1) of the Act, the Respondent shall pay to the Commission an administrative fine in the sum of Forty-Five Thousand Trinidad and Tobago Dollars (TT\$45,000.00) within twenty-eight (28) days of the making of this Order; and
3. 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 (2) daily newspapers of general circulation in Trinidad and Tobago.



Imtiaz Hosein
Chairman



Ayanna Sylvester-Antoine
Corporate Secretary



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

**In The Matter of a Contravention of Section 64(1)(a) of the Securities Act Chapter
83:02 of the Laws of the Republic of Trinidad and Tobago
By**

Endeavour Holdings Limited

ORDER OF THE COMMISSION

Dated this 18th day of December, 2023

WHEREAS Section 64(1)(a) of the Securities Act Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago, ("the Act"), imposes certain obligations on a Reporting Issuer with respect to material changes;;

AND WHEREAS Endeavour Holdings Limited ("the Respondent"), following a decision by the Respondent's Board for the amalgamation of two of its entities, effective September 14, 2023, filed a Form No. 10 – Material Change Report with the Trinidad and Tobago Securities and Exchange Commission ("the Commission") past the respective due date;

AND WHEREAS staff of the Commission ("the Staff") advised the Respondent that it was in contravention of Section 64(1)(a) of the Act by failing to file the aforementioned document with the Commission within the prescribed timeframe;

AND WHEREAS the Respondent acknowledged that it was in contravention of Section 64(1)(a) of the Act by filing the aforementioned document with the Commission past the due date and agreed to pay the consequential administrative fine;

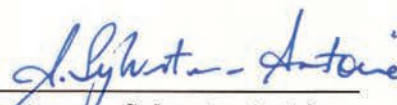
AND UPON the Board of Commissioners considering the submissions in this matter and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.

IT IS HEREBY ORDERED THAT:

1. Endeavour Holdings Limited (“**the Respondent**”) has contravened Section 64(1)(a) of the Act;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the sum of One Thousand Trinidad and Tobago Dollars (TT\$1,000.00) within twenty-eight (28) days of the making of this Order; and
3. 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.



Imtiaz Hosein
Chairman



Ayanna Sylvester-Antoine
Corporate Secretary



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

**In the Matter of the Contravention of Section 63(a) of the Securities Act Chapter 83:02 and
By-Law 47(c) of the Securities (General) By-Laws, 2015**

By

JMMB Group Limited

ORDER OF THE COMMISSION

Dated this 18th day of December, 2023

WHEREAS Section 63(a) of the Securities Act Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) and By-Law 47(c) of the Securities (General) By-Laws, 2015 (“the By-Laws”) impose certain obligations on registrants with respect to the filing of an Annual Report;

AND WHEREAS JMMB Group Limited (“the Respondent”), filed its Annual Report for the period ended March 31, 2023, with the Trinidad and Tobago Securities and Exchange Commission (“the Commission”) past the due date;

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Section 63(a) of the Act and By-Law 47(c) of the By-Laws by failing to file the aforementioned document with the Commission, within the prescribed timeframe;

AND WHEREAS the Respondent acknowledged that it was in contravention of Section 63(a) of the Act and By-Law 47(c) of the By-Laws by filing the aforementioned documents with the Commission past the said due date and agreed to pay the consequential administrative fine;

AND UPON the Board of Commissioners considering the submissions in this matter and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159(10)(a) of the Act.

IT IS HEREBY ORDERED THAT:

1. JMMB Group Limited (“the Respondent”) has contravened Section 63(a) of the Act and By-Law 47(c) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the sum of Thirty-Two Thousand Trinidad and Tobago Dollars (TT\$32,000.00) within twenty-eight days of making this Order; and
3. 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.



Imtiaz Hosein
Chairman



Ayanna Sylvester-Antoine
Corporate Secretary



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

In the Matter of the Contravention of Section 65(1) of the Securities Act Chapter 83:02 of the Laws of the Republic of Trinidad and By-Law 48(1) of the Securities (General) By-Laws 2015

By

L.J. Williams Limited

ORDER OF THE COMMISSION

Dated this 18th day of December, 2023

WHEREAS Section 65(1) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) and By-Law 48(1) of the Securities (General) By-Laws 2015 (“the By-Laws”) requires a Reporting Issuer to file its Audited Annual Comparative Financial Statements (“AACFS”) with the Commission, within the prescribed time frame;

AND WHEREAS L.J. Williams Limited (“the Respondent”), filed its AACFS for the financial year ended March 31, 2023, with the Trinidad and Tobago Securities and Exchange Commission (“the Commission”), past the due date;

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Section 65(1) of the Act and By-Law 48(1) of the By-Laws by failing to file the aforementioned document within the prescribed timeframe;

AND WHEREAS the Respondent acknowledged that it was in contravention of Section 65(1) of the Act and By-Law 48(1) of the By-Laws and entered into a settlement agreement with the Staff (“the Settlement Agreement”);

AND WHEREAS pursuant to the Settlement Agreement which was approved by the Settlement Panel and the Board of Commissioners, the Respondent shall pay the sum of Nine Thousand Nine Hundred Trinidad and Tobago Dollars (TT\$9,900.00) to the Commission within twenty-eight (28) days of the making of this Order;

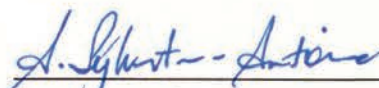
AND UPON the Board of Commissioners considering the submissions in the Settlement Agreement dated the October 2, 2023, and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.

IT IS HEREBY ORDERED THAT:

1. L.J. Williams Limited (“the Respondent”) has contravened Section 65(1) of the Act and By-Law 48(1) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay an administrative fine in the total sum of Nine Thousand Nine Hundred Trinidad and Tobago Dollars (TT\$9,900.00) to the Commission within twenty-eight days of the making of this Order; and
3. 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.



Imtiaz Hosein
Chairman



Ayanna Sylvester-Antoine
Corporate Secretary



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

In the Matter of Section 40 of the Securities Act, 2012

AND

In the Matter of an Application by the Trinidad and Tobago Stock Exchange Limited ("the TTSE") for the amendment of Rule 203 [Ex-condition Dealing] and Rule 212 [Dealing and Account Periods] of the TTSE Rules

ORDER OF THE COMMISSION

Dated this ^{18th} day of *December* 2023.

WHEREAS the Trinidad and Tobago Stock Exchange Limited ("the Exchange" or "the TTSE") applied to the Trinidad and Tobago Securities and Exchange Commission ("the Commission") for approval to amend Rule 203 [Ex-condition Dealing] and Rule 212 [Dealing and Account Periods] of the TTSE Rules.

AND WHEREAS the Commission completed the process of inviting public comment on the proposed amendments pursuant to section 40 of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago ("the Act");

AND WHEREAS the Commission determined that it was in the public interest to conduct a Hearing concerning the proposed amendments.

AND UPON:

1. This Matter being heard by the Commission's Hearing Panel on the 6th June 2023.

2. The Staff of the TTSE and the Staff of the Commission making oral representations to the Hearing Panel.
3. The Hearing Panel being satisfied that it was not contrary to the public interest and otherwise there was no basis for refusing to approve the requested amendments pursuant to section 40 of the Act.

IT IS HEREBY ORDERED THAT the amendments to **Rule 203 and Rule 212** of the TTSE Rules are hereby approved with effect from the 4th July 2023.



Imtiaz Hosein
Chairman



Ayanna Sylvester-Antoine
Corporate Secretary



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

**In The Matter of the Contravention of By-Law 39(1) of the
Securities (General) By-Laws, 2015**

By

FCL Financial Limited

ORDER OF THE COMMISSION

Dated this th21 day of February, 2024

WHEREAS By-Law 39(1) of the Securities (General) By-Laws, 2015 (“the By-Laws”), requires an Investment Adviser to file its Audited Annual Comparative Financial Statements (“Audited Financials”) with the Trinidad and Tobago Securities and Exchange Commission (“the Commission”), within the prescribed time frame,

AND WHEREAS FCL Financial Limited (“the Respondent”), filed its Audited Financials for the financial year ended October 31, 2022, with the Commission, past the due date of January 30 2023;

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of By-Law 39(1) of the By-Laws, by failing to file the aforementioned document within the prescribed timeframe;

AND WHEREAS the Respondent acknowledged that it was in contravention of By-Law 39(1) of the By-Laws and agreed to pay the consequential administrative fine;

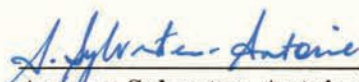
AND UPON the Board of Commissioners considering the submissions by the Staff and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.

IT IS HEREBY ORDERED THAT:

1. FCL Financial Limited (“the Respondent”) has contravened By-Law 39(1) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the sum of One Thousand Trinidad and Tobago Dollars (TT\$1,000.00), within twenty-eight (28) days of the making of this Order; and
3. 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.



Imtiaz Hosein
Chairman



Ayanna Sylvester- Antoine
Corporate Secretary



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

In the Matter of the Contravention of By-Law 39(1) of the Securities (General) By-Laws 2015

By

Fig Tree Financial (T&T) Limited

ORDER OF THE COMMISSION

Dated this 27th day of February, 2024

WHEREAS By-Law 39(1) of the Securities (General) By-Laws, 2015 (“the By-Laws”) requires a broker-dealer to file its Audited Annual Comparative Financial Statements (“**Audited Financials**”) with the Trinidad and Tobago Securities and Exchange Commission (“the Commission”), within the prescribed timeframe;

AND WHEREAS Fig Tree Financial (T&T) Limited (“the Respondent”) filed its Audited Financials for the financial year ended March 31, 2023, with the Commission past the due date of June 29, 2023;

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of By-Law 39(1) of the By-Laws by failing to file the aforementioned document within the prescribed timeframe;

AND WHEREAS the Respondent acknowledged that it was in contravention of By-Law 39(1) of the By-Laws and agreed to pay the consequential administrative fine;

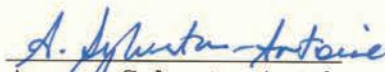
AND UPON the Board of Commissioners considering the submissions by the Staff and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.

IT IS HEREBY ORDERED THAT:

1. Fig Tree Financial (T&T) Limited (“the Respondent”) has contravened By-Law 39(1) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the total sum of One Thousand Trinidad and Tobago Dollars (TT\$1,000.00) within twenty-eight (28) days of the making of this Order; and
3. 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.



Imtiaz Hosein
Chairman



Ayanna Sylvester-Antoine
Corporate Secretary



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

**In The Matter of the Contravention of Section 65(1) of the Securities Act Chapter 83:02
of the Laws of the Republic of Trinidad and Tobago and By-Law 48(1) of the
Securities (General) By-Laws, 2015**

By

JMMB Group Limited

ORDER OF THE COMMISSION

Dated this 27th day of February, 2024

WHEREAS Section 65(1) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) and By-Law 48(1) of the Securities (General) By-Laws, 2015 (“the By-Laws”), require a Reporting Issuer to file its Audited Annual Comparative Financial Statements (“Audited Financials”) with the Trinidad and Tobago Securities and Exchange Commission (“the Commission”), within the prescribed timeframe;

AND WHEREAS JMMB Group (“the Respondent”), filed its Audited Financials for the financial year ended March 31, 2023, with the Commission, past the due date June 29, 2023;

AND WHEREAS staff of the Commission advised the Respondent that it was in contravention of Section 65(1) of the Act and By-Law 48(1) of the By-Laws, by failing to file the aforementioned document within the prescribed timeframe;

AND WHEREAS the Respondent acknowledged that it was in contravention of Section 65(1) of the Act and By-Law 48(1) of the By-Laws and agreed to pay the consequential administrative fine;

AND UPON the Board of Commissioners considering the 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. JMMB Group Limited (“the Respondent”) has contravened Section 65(1) of the Act and By-Law 48(1) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the sum of Eleven Thousand Trinidad and Tobago Dollars (TT\$11,000.00), within twenty-eight (28) days of the making of this Order; and
3. 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.



Imtiaz Hosein
Chairman



Ayanna Sylvester- Antoine
Corporate Secretary



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

In the Matter of the Contravention of Section 66(1) of the Securities Act Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago

By

National Maintenance Training and Security Company Limited

ORDER OF THE COMMISSION

Dated this 27th day of February, 2024

WHEREAS Section 66(1) of the Securities Act Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) requires a Reporting Issuer to file its Interim Financial Statement with the Trinidad and Tobago Securities and Exchange Commission (“the Commission”), within the prescribed timeframe;

AND WHEREAS National Maintenance Training and Security Company Limited (“the Respondent”), filed its Interim Financial Statement for the period ended September 30, 2023, with the Commission past the due date of November 29, 2023;

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Section 66(1) of the Act by failing to file the aforementioned document with the Commission, within the prescribed timeframe;

AND WHEREAS the Respondent acknowledged that it was in contravention of Section 66(1) of the Act and agreed to pay the consequential administrative fine;

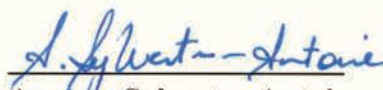
AND UPON the Board of Commissioners considering the submissions in the matter and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.

IT IS HEREBY ORDERED THAT:

1. National Maintenance Training and Security Company Limited (“the Respondent”) has contravened Section 66(1) of the Act;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the sum of One Thousand Trinidad and Tobago Dollars (TT\$1,000.00) within twenty-eight days of making this Order; and
3. 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.



Imtiaz Hosein
Chairman



Ayanna Sylvester-Antoine
Corporate Secretary



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

**In the Matter of a Contravention of Section 65(1) of the Securities Act Chapter 83:02 of the
Laws of the Republic of Trinidad and Tobago and By-Law 48(1) of the
Securities (General) By-Laws, 2015**

By

Nestle Trinidad and Tobago Limited

ORDER OF THE COMMISSION

Dated this 27th day of February, 2024

WHEREAS Section 65(1) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) and By-Law 48(1) of the Securities (General) By-Laws, 2015 (“the By-Laws”), require a Reporting Issuer to file its Audited Annual Comparative Financial Statements (“Audited Financials”) with the Trinidad and Tobago Securities and Exchange Commission (“the Commission”), within the prescribed timeframe;

AND WHEREAS Nestle Trinidad and Tobago Limited (“the Respondent”), filed its Audited Financials for the financial year ended December 31, 2022, with the Commission past the due date of March 31, 2023;

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Section 65(1) of the Act and By-Law 48(1) of the By-Laws by failing to file the aforementioned document within the prescribed timeframe;

AND WHEREAS the Respondent acknowledged that it was in contravention of Section 65(1) of the Act and By-Law 48(1) of the By-Laws and agreed to pay the consequential administrative fine;

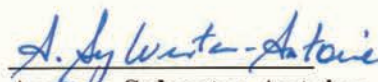
AND UPON the Board of Commissioners considering the submissions made by the Staff and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.

IT IS HEREBY ORDERED THAT:

1. Nestle Trinidad and Tobago Limited (“the Respondent”) has contravened Section 65(1) of the Act and By-Law 48(1) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the sum of Twenty-Five Thousand Trinidad and Tobago Dollars (TT\$25,000.00) within twenty-eight days of making this Order; and
3. 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.



Imtiaz Hosein
Chairman



Ayanna Sylvester-Antoine
Corporate Secretary



NOTICE

NAMES OF PAYEES OF UNCASHED CHEQUES ISSUED IN 2022/2023

The Office of the Parliament wishes to advise all persons who hold cheques which were issued by this Department during the accounting period October 1, 2022 to September 30, 2023 that such cheques will become **void on March 31, 2024**.

Cheques dated within the last six months should be cashed immediately. However, cheques that are stale dated (i.e. more than six months have elapsed since the date of issue) should be brought immediately to **the Financial Management Unit, Office of the Parliament** for revalidation.

** Payees listed below who have already cashed their cheques are asked to kindly disregard this notice.*

- | | |
|---|--|
| • ALL TEMP LTD. (2) | • NATIONAL INSURANCE BOARD |
| • AMPLIA COMMUNICATIONS LIMITED | • NERINE PETERS, ONLY |
| • ANJAY LIMITED (2) | • MARIA DILLON-REMY, ONLY |
| • ANTHONY GITTENS, ONLY | • MARINE CONSULTANTS (T'DAD) LTD. |
| • ANTHONY RODRIGUEZ, ONLY | • MEDIA 22 LTD. (2) |
| • ANTHONY WOODROFFE, ONLY | • M & M INSURANCE BROKING SERVICES LTD |
| • AFFINITY MARKETING LIMITED | • PARADOX STUDIOS LIMITED |
| • ANSLEM JOHN, ONLY | • PRIYA SAMAROO, ONLY |
| • BANFIELD ENTERPRISES | • RAMLAGAN'S SUPERSTORE LIMITED |
| • BEN LOMOND INDUSTRIAL & SAFETY SOLUTIONS LTD. (3) | • R.B.P. LIFTS LIMITED |
| • BLIZZ CORE TECHNOLOGY LIMITED | • SAMUEL MOTTLEY, ONLY (2) |
| • BOARD OF INLAND REVENUE, P.A.Y.E. (3) | • SASHA'S CARVERY LTD |
| • BOARD OF INLAND REVENUE, H.S | • STEFAN AFFONSO, ONLY |
| • BUSY BUSINESS SYSTEMS & EQUIPMENT (RENTAL) LTD | • SUPER TECHNOLOGIES LIMITED |
| • CAFE BEAN BAKERY PRODUCTS LIMITED | • SURVIVAL SYSTEMS LTD. |
| • CARIBBEAN ASSOCIATION OF LAW LIBRARIES | • SUNRICH ENTERPRISES COMPANY LIMITED |
| • CIRCUIT ZONE LTD. (2) | • SNOWFLAKES AIR CONDITION & REFRIGERATION SERVICE |
| • COMPTROLLER OF ACCOUNTS | • STEGA ENGINEERING LTD. |
| • DIAMOND SYSTEMS & SUPPLIES LTD. | • TANGO DISTRIBUTORS LIMITED |
| • FARIA'S TRADING LIMITED | • TEC-CHEM SOLUTIONS LIMITED (2) |
| • FEDERAL EXPRESS (GRENADA) LTD. | • THE REGISTRAR, INDUSTRIAL COURT OF TRINIDAD AND TOBAGO |
| • FINICA SOLUTIONS LIMITED | • TRINIDAD SIGNS LTD |
| • FIVE 9'S SOLUTIONS LTD | • TOYOTA TRINIDAD & TOBAGO LIMITED (2) |
| • FRANK MOUTTET LIMITED | • TSTT |
| • GALLAGHER INSURANCE BROKERS LIMITED | • WORKWISE INC. LTD |
| • GREAT HANDLERS SERVICES LIMITED | • THE WIZZ COMPUTERS LTD |
| • JOSHUA RAMNARINE, ONLY | • WADE MARK, ONLY (2) |
| • JEAN-PAUL BELMAR, ONLY | • WEST INDIAN TRADERS LTD. (2) |
| • KALL PROPERTIES LIMITED | • Z. MUZAFFAR (TRINIDAD) LIMITED (4) |
| • KEITH SCOTLAND (4) | |

402

LOSS OF MARITIME LIFE (CARIBBEAN) LIMITED
POLICIES

ESTHER THOMAS having made sworn declaration that Policy Number 248958 issued by MARITIME LIFE (CARIBBEAN) LIMITED has been lost and having made application to the Company for a duplicate policy, notice is hereby given that unless objection is raised within one month of the date thereof, the duplicate policy asked for will be issued.

Dated the 19th day of February, 2024.

MARITIME LIFE (CARIBBEAN) LIMITED
No. 29 Tenth Avenue
Barataria.

403

PATRICIA ANN MODESTE having made sworn declaration that Policy Number 287011 issued by MARITIME LIFE (CARIBBEAN) LIMITED on the life of JACK AUSTIN WARNER, has been lost and having made application to the Company for a duplicate policy, notice is hereby given that unless objection is raised within one month of the date thereof, the duplicate policy asked for will be issued.

Dated the 27th day of February, 2024.

MARITIME LIFE (CARIBBEAN) LIMITED
No. 29 Tenth Avenue
Barataria.

404

PATRICIA ANN MODESTE having made sworn declaration that Policy Number 305181 issued by MARITIME LIFE (CARIBBEAN) LIMITED on the life of JACK AUSTIN WARNER, has been lost and having made application to the Company for a duplicate policy, notice is hereby given that unless objection is raised within one month of the date thereof, the duplicate policy asked for will be issued.

Dated the 27th day of February, 2024.

MARITIME LIFE (CARIBBEAN) LIMITED
No. 29 Tenth Avenue
Barataria.

405

PATRICIA ANN MODESTE having made sworn declaration that Policy Number 236852 issued by MARITIME LIFE (CARIBBEAN) LIMITED has been lost and having made application to the Company for a duplicate policy, notice is hereby given that unless objection is raised within one month of the date thereof, the duplicate policy asked for will be issued.

Dated the 27th day of February, 2024.

MARITIME LIFE (CARIBBEAN) LIMITED
No. 29 Tenth Avenue
Barataria.

406

LYSTRA KHAN-BOODRAM having made sworn declaration that Policy Number 418245 issued by MARITIME LIFE (CARIBBEAN) LIMITED has been lost and having made application to the Company for a duplicate policy, notice is hereby given that unless objection is raised within one month of the date thereof, the duplicate policy asked for will be issued.

Dated the 1st day of March, 2024.

MARITIME LIFE (CARIBBEAN) LIMITED
No. 29 Tenth Avenue
Barataria.

407

KAMLA RAMLOGAN having made sworn declaration that Policy Number 434248 issued by MARITIME LIFE (CARIBBEAN) LIMITED has been lost and having made application to the Company for a duplicate policy, notice is hereby given that unless objection is raised within one month of the date thereof, the duplicate policy asked for will be issued.

Dated the 1st day of March, 2024.

MARITIME LIFE (CARIBBEAN) LIMITED
No. 29 Tenth Avenue
Barataria.

408

CATHERINE HEIDI MURPHY having made sworn declaration that Policy Number 371776 issued by MARITIME LIFE (CARIBBEAN) LIMITED has been lost and having made application to the Company for a duplicate policy, notice is hereby given that unless objection is raised within one month of the date thereof, the duplicate policy asked for will be issued.

Dated the 12th day of March, 2024.

MARITIME LIFE (CARIBBEAN) LIMITED
No. 29 Tenth Avenue
Barataria.

409

TRANSFER OF LICENCE
(*Liquor Licences Act, Chap. 84:10*)

REGION OF MAYARO/RIO CLARO

NOTICE is hereby given that a notification in writing has this day been lodged with me the undersigned Secretary of the Licensing Committee for the Region of Mayaro/Rio Claro by Kiran Moonan of No. 2492 High Street Rio Claro, that it is his intention to apply to the Licensing Committee at the Princes Town District Court on WEDNESDAY THE 27TH DAY OF MARCH, 2024 for a transfer to him of the Licence to carry on the trade of a Spirit Retailer now held by Kishore Sundarlal Moonan, in respect of premises situate at No. 2492 High Street, Rio Claro.

Dated this 22nd day of March, 2024 at the Princes Town District Court.

S. SAMUEL
Secretary, Licensing Committee
Region of Mayaro/Rio Claro