



TRINIDAD AND TOBAGO GAZETTE

(EXTRAORDINARY)

VOL. 64

Caroni, Trinidad, Tuesday 29th April, 2025—Price \$1.00

No. 67

626

SUPPLEMENT TO THIS ISSUE

THE DOCUMENTS detailed hereunder have been issued and are published as a Supplement to this issue of the *Trinidad and Tobago Gazette*:

Legal Supplement Part B—

Land Acquisition (Possession of Land prior to Formal Vesting in the State) (No. 3) Order, 2025—(Legal Notice No. 205 of 2025).

Public Festivals (Point Fortin Borough Day) Order, 2025—(Legal Notice No. 206 of 2025).

Point Fortin Borough Day (Prohibition of Glass Bottles) Regulations, 2025—(Legal Notice No. 207 of 2025).

627

OFFICE OF THE PRIME MINISTER

SEPARATIONS

IN ACCORDANCE with the Director of Personnel Administration's Circular Memorandum No. E: 26/06 dated 25th August, 2006, the undermentioned notice is published for general information:

Retirement

Name	Rank of Officer	Ministry/Department	Date	Remarks
Ms. Claire Greaves	Cabinet Affairs Officer I ...	Office of the Prime Minister	16th August, 2025	Compulsory Retirement
Ms. Charlene Mischier	Executive Secretary ...	do.	9th October, 2025	Voluntary Retirement
Ms. Violet Sutherland	Receptionist/Telephone Operator	do.	8th November, 2025	Compulsory Retirement

628

REPUBLIC OF TRINIDAD AND TOBAGO

IN THE ESTATE OF

Notice to Heirs and Personal Representatives of BERYL SHIELDS—Deceased
of 36, Eastern Main Road, Laventille, Trinidad
who died on the 24th day of February, 2020

NOTICE is hereby given that Solicitors acting on behalf of the Executors of the Estate of Erma Elizabeth Hazel, deceased are seeking to locate the personal representatives, children, heirs or next of kin of Beryl Shields, deceased, for estate administration purposes. Anyone with information regarding the Estate of Beryl Shields, or who believes they may be entitled to act as a personal representative or beneficiary, is requested to make contact within 28 days from the date of this notice. All persons asserting entitlement must provide supporting documentation, including but not limited to official identifications, birth certificates and/or Probate documents, to verify their relationship to Beryl Shields and their right to act or inherit under the estate.

This notice is issued strictly for the purpose of estate administration. The Executors of the Estate of Erma Elizabeth Hazel shall not be liable to any person who fails to respond within the specified period, nor shall they be responsible for any claims made after the Estate has been lawfully distributed based on the information available at the time.

RIA MANKEE-SOOKRAM
Attorney-at-law, Mankee Advisory
Email: mankeeadvisory@gmail.com
Telephone: 1-868-476-0079

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

The Trinidad and Tobago Securities and Exchange Commission (“the Commission”) is responsible for the oversight of the securities industry ensuring that it operates in a fair, transparent and efficient manner in order to protect the rights of investors.

The Commission regulates the securities market by registering all securities that are distributed to the public, all issuers of those securities, and market intermediaries directly involved in the issuance, offering and sale of those securities e.g., *Broker-Dealers, Investment Advisers, Underwriters, and Self-Regulatory Organisations*. Certain employees or officers of Broker-Dealers, Investment Advisers and Underwriters are also required to be registered with the Commission as Registered Representatives.

HOW DOES REGISTERING WITH THE COMMISSION PROTECT INVESTORS?

The registration process requires all registrants (issuers of securities as well as market intermediaries such as *Broker-Dealers, Investment Advisers, and Underwriters*) to provide the Commission with pertinent information regarding the registrant itself (such as background information on its operations, management and financial position) as well as any securities that the registrant intends to distribute. **The Commission ensures that the information meets the requirements of the law and is available to the public.**

Firms and individuals are registered by category – each registration category attracts different educational, experience, and financial requirements, and permits the registrant to conduct different activities. **The Commission ensures that the companies are genuine entities with a registered office, staffed by qualified professionals who possess the knowledge, skills and experience to conduct the class of business for which the companies are being registered.**

WHAT ARE THE QUALIFICATIONS FOR REGISTRATION?

Registration will not be granted unless the Commission is satisfied that an applicant is fit and proper, meets the requirement of the law with respect to capital and educational qualifications, and discloses any information that may affect the conduct and integrity of the applicant’s business. This information is also available for public viewing at the Commission.

The provision of information does not end after the initial registration. Registrants are required to continuously provide the Commission, as well as investors, with information inclusive of changes which may positively or negatively impact the performance of their business and the securities available to investors.

IS REGISTRATION AN ENDORSEMENT?

While we advise investors to deal only with registrants that are registered with the Commission, **registration with the Commission is NOT an endorsement of the registrant or of any security. The Commission provides neither guarantee nor opinion on the performance of a registrant or security.**

Always remember, even though you are dealing with someone who is registered with the Commission, you should evaluate the registrant and the securities being offered and if necessary, seek independent financial advice before making an investment decision.

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025**DEFINITION OF TERMS**

- ***Broker-Dealer***
A firm acting as an intermediary between a buyer and a seller of securities, usually for a fee or a commission. When acting as a broker, a Broker-Dealer executes orders on behalf of their client. When acting as a dealer, a Broker-Dealer executes trades for the firm's own account. Broker-Dealers may also be permitted to discharge the functions of an Underwriter and/or the Manager of a Collective Investment Scheme.
- ***Investment Adviser***
An individual or firm that advises clients on investment in, or the purchase or sale of securities on a professional basis.
- ***Underwriter***
A company that arranges for the issuance or distribution of securities and/or agrees to purchase any unsold securities thereby guaranteeing subscription either in full or in part.
- ***Registered Representative***
An employee or officer of a registered Broker-Dealer, Investment Adviser or Underwriter who liaises with members of the public on behalf of their employers further to the offering, distribution or sale of securities.
- ***Sponsored Broker-Dealer or Sponsored Investment Adviser***
An individual who is employed by a Brokerage or Investment firm from a foreign jurisdiction. This individual aligns with a local Broker-Dealer or Investment Adviser who sponsors that individual's registration with the Commission. A Sponsored Broker-Dealer or Sponsored Investment Adviser that is registered with the Commission can conduct securities business in Trinidad and Tobago for a maximum of ninety (90) days in a calendar year.
- ***Reporting Issuer***
A corporation that has distributed or proposes to distribute securities to the public and is subject to the continuous disclosure requirements of the Commission.
- ***Self-Regulatory Organisation***
A non-governmental organisation that has the power to create and enforce industry regulations and standards. The priority is to protect investors through the establishment of rules that promote ethics and equality.

In accordance with the requirements of Section 52(8) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago, the Commission provides the undermentioned list of its Registrants and Self-Regulatory Organisations as at 31st March 2024.

WANT TO KNOW MORE?

For additional information, you are invited to contact, the Trinidad and Tobago Securities and Exchange Commission, at (868) 624-2991, or visit our website at www.ttsec.org.tt.

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

<u>BROKER-DEALERS</u>	
1.	Admiral Limited
2.	Ansa Merchant Bank Limited
3.	ANSA Wealth Management Limited
4.	B3V Holdings Limited
5.	Bourse Brokers Limited
6.	Bourse Securities Limited
7.	Capital Markets Elite Group (Trinidad and Tobago) Limited
8.	Caribbean Stockbrokers Limited
9.	CIBC Caribbean Bank (Trinidad & Tobago) Limited
10.	Citicorp Merchant Bank Limited
11.	Development Finance Limited
12.	FigTree Financial (T&T) Limited
13.	First Citizens Bank Limited
14.	First Citizens Brokerage and Advisory Services Limited
15.	First Citizens Depository Services Limited
16.	First Citizens Investment Services Limited
17.	First Citizens Portfolio and Investment Management Services Limited
18.	Firstline Securities Limited
19.	Guardian Asset Management and Investment Services Limited
20.	Guardian Group Trust Limited
21.	JMMB Bank (T&T) Limited
22.	JMMB Investments (Trinidad and Tobago) Limited
23.	JMMB Securities (T&T) Limited
24.	KCL Capital Market Brokers Limited
25.	KSBM Asset Management Limited
26.	Maritime Capital Limited
27.	Massy Finance GFC Ltd.
28.	Murphy Clarke Financial Limited
29.	NCB Merchant Bank (Trinidad and Tobago) Limited
30.	RBC Investment Management (Caribbean) Limited
31.	RBC Royal Bank (Trinidad and Tobago) Limited
32.	Republic Bank Limited
33.	Republic Wealth Management Limited
34.	Sagicor Investments Trinidad & Tobago Limited
35.	Sagicor Life Incorporated
36.	Scotia Investments (Trinidad and Tobago) Limited
37.	Scotiabank Trinidad and Tobago Limited
38.	Sheppard Securities Limited
39.	Sheppard Stockbrokers Limited
40.	The Home Mortgage Bank
41.	Trinidad and Tobago Unit Trust Corporation
42.	Waterloo Capital Advisors Limited
43.	West Indies Stockbrokers Limited

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

INVESTMENT ADVISERS	
1.	Aspire Fund Management Company Limited
2.	Burris, Stephen
3.	Guardian Life of the Caribbean Limited
4.	Mondial (Trinidad) Limited
5.	SEAF Caribbean Management LLC
6.	SHBL Investments Company Limited
7.	Williams, Aldon Philip

UNDERWRITERS	
1.	RBC Merchant Bank (Caribbean) Limited

REGISTERED REPRESENTATIVES			
	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER- DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
1.	Abdool, Amani	First Citizens Portfolio and Investment Management Services Limited	Advising
2.	Abraham, Jasmin	West Indies Stockbrokers Limited	Associate
3.	Achong, Sean	Ansa Merchant Bank Limited	Brokering
4.	Achong, Sean	ANSA Wealth Management Limited	Brokering
5.	Adam, Karen	Sagicor Investments Trinidad & Tobago Limited	Associate
6.	Akan, Myrnelle	SHBL Investments Company Limited	Advising
7.	Albert, Joanne	First Citizens Investment Services Limited	Advising
8.	Alexander, Liesel	KCL Capital Market Brokers Limited	Advising, Brokering and Underwriting
9.	Alexander, Liesel	Aspire Fund Management Company Limited	Advising
10.	Alexander, Ria	Scotiabank Trinidad and Tobago Limited	Brokering
11.	Alexander, Sharon	First Citizens Bank Limited	Brokering
12.	Alfred-Pierre, Annissa	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
13.	Ali, Christopher	First Citizens Bank Limited	Brokering
14.	Ali, Salahudeen	Maritime Capital Limited	Brokering
15.	Ali, Salma	West Indies Stockbrokers Limited	Brokering
16.	Ali, Sarfraz	Scotiabank Trinidad and Tobago Limited	Associate

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

REGISTERED REPRESENTATIVES			
	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER-DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
17.	Ali-Manoo, Anisha	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
18.	Alleyne, Candice	Scotiabank Trinidad and Tobago Limited	Associate
19.	Alleyne, Harold	Caribbean Stockbrokers Limited	Advising, Brokering and Underwriting
20.	Alleyne, Joshua	Sheppard Securities Limited	Associate
21.	Alleyne, Joshua	Sheppard Stockbrokers Limited	Associate
22.	Alleyne, Tevaughn	Firstline Securities Limited	Advising and Brokering
23.	Alli, Tariq	Massy Finance GFC Ltd.	Advising, Brokering and Underwriting
24.	Andrews Kent, Susan	Guardian Asset Management and Investment Services Limited	Associate
25.	Andrews, Schubert	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
26.	Aparicio-Owen, Talia	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
27.	Assing, Ryan	Scotiabank Trinidad and Tobago Limited	Brokering
28.	Atwell, Amrika	First Citizens Bank Limited	Brokering
29.	Atwell, Gabrielle	First Citizens Bank Limited	Brokering
30.	Austin, Kirby	JMMB Investments (Trinidad and Tobago) Limited	Advising
31.	Austin, Marsha	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
32.	Awai, Gary	Development Finance Limited	Advising, Brokering and Underwriting
33.	Baal, Rima	First Citizens Bank Limited	Brokering
34.	Badall, Kavita	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
35.	Baiju, Kirsten	Sheppard Securities Limited	Associate
36.	Baiju, Kirsten	Sheppard Stockbrokers Limited	Associate
37.	Balgobin, Robert	KSBM Asset Management Limited	Advising and Brokering
38.	Ballantyne-Pascall, Keisha	RBC Investment Management (Caribbean) Limited	Advising and Brokering
39.	Balliram-Harripersad, Sharda	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
40.	Balraj, Ronnie	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
41.	Bando-Collins, Judith	Republic Bank Limited	Brokering and Underwriting

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

REGISTERED REPRESENTATIVES			
	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER-DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
42.	Baptiste, Jason	JMMB Bank (T&T) Limited	Advising, Brokering and Underwriting
43.	Baptiste, Tamara	RBC Merchant Bank (Caribbean) Limited	Underwriting
44.	Basdeo, Anderson	Citicorp Merchant Bank Limited	Brokering
45.	Basdeo, Roshan	JMMB Securities (T&T) Limited	Brokering
46.	Bassant, Terrence	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
47.	Bayne, Ryan	Sheppard Securities Limited	Advising
48.	Beachoo, Dana	Waterloo Capital Advisors Limited	Brokering
49.	Beharrylal, Roshni	Scotiabank Trinidad and Tobago Limited	Associate
50.	Belmontes, Jesse	Scotiabank Trinidad and Tobago Limited	Associate
51.	Bernard, Rachel	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
52.	Bhagan, Candice	West Indies Stockbrokers Limited	Brokering
53.	Bhagwandeem-Ramdhania, Samantha	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
54.	Bhagwandin, Chrysse	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
55.	Bharat, Renata	Bourse Brokers Limited	Advising
56.	Bhattan-Jones, Susan	First Citizens Bank Limited	Brokering
57.	Bisnath, Julia	The Home Mortgage Bank	Advising, Brokering and Underwriting
58.	Bissessar, Avinash	First Citizens Investment Services Limited	Brokering
59.	Bissessar, Avinash	First Citizens Brokerage and Advisory Services Limited	Brokering
60.	Bissessar, Avinash	First Citizens Portfolio and Investment Management Services Limited	Brokering
61.	Blackman, Javan	First Citizens Bank Limited	Brokering
62.	Blake, Lee-Ann	First Citizens Bank Limited	Associate
63.	Bleasdel, Erica	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
64.	Bleasdel, Jason	KCL Capital Market Brokers Limited	Associate
65.	Bobb, Sheldon	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
66.	Boodram, Bheeshma	Republic Wealth Management Limited	Advising and Brokering

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

REGISTERED REPRESENTATIVES			
	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER- DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
67.	Boodram, Rodney Ajit	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
68.	Boodram, Sheryl	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
69.	Boodram, Winston	CIBC Caribbean Bank (Trinidad & Tobago) Limited	Brokering and Underwriting
70.	Borde-Ferreira, Sabrina	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
71.	Bosland, Dirk	First Citizens Depository Services Limited	Brokering
72.	Bourne, Talibah	First Citizens Bank Limited	Associate
73.	Bovell, Khadine	Firstline Securities Limited	Advising and Brokering
74.	Bowen, Garth	Guardian Asset Management and Investment Services Limited	Advising
75.	Bowen, Wendell	First Citizens Bank Limited	Brokering
76.	Bridgelal, Judy	Sagicor Investments Trinidad & Tobago Limited	Associate
77.	Bridglal, Alvin	B3V Holdings Limited	Brokering
78.	Bridglal, Bradley	Republic Bank Limited	Brokering and Underwriting
79.	Brown, Ryan	Guardian Asset Management and Investment Services Limited	Advising and Brokering
80.	Budrie, Leanna	Bourse Securities Limited	Associate
81.	Cabral, Kassann	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
82.	Campbell, Brent	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
83.	Cassim, Marc	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
84.	Cedenio, Claude	Firstline Securities Limited	Advising and Brokering
85.	Chamely, Anna	Murphy Clarke Financial Limited	Advising
86.	Charles Jnr, Andrew	Murphy Clarke Financial Limited	Brokering
87.	Charles, Latoya	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
88.	Charles, Leosha	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
89.	Charles, Ray	Scotiabank Trinidad and Tobago Limited	Associate
90.	Chen, Nicholas	First Citizens Bank Limited	Brokering
91.	Chester, Ryan	RBC Royal Bank (Trinidad and Tobago) Limited	Associate

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

REGISTERED REPRESENTATIVES			
	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER-DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
92.	Chin, Ian	Ansa Merchant Bank Limited	Advising, Brokering and Underwriting
93.	Chin, Ian	ANSA Wealth Management Limited	Advising and Brokering
94.	Clarke, John Peter	Republic Bank Limited	Advising and Brokering
95.	Clarke, Leslie	Murphy Clarke Financial Limited	Brokering and Underwriting
96.	Clarke-Mohan, Narda	First Citizens Depository Services Limited	Brokering
97.	Clifton, Emile	Guardian Asset Management and Investment Services Limited	Advising and Brokering
98.	Coonai, Ryan	Capital Markets Elite Group (Trinidad and Tobago) Limited	Advising and Brokering
99.	Cooper, Michael	Firstline Securities Limited	Associate
100.	Crawford, Shaun	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
101.	Creese, Marli	NCB Merchant Bank (Trinidad and Tobago) Limited	Advising, Brokering and Underwriting
102.	Crooks, Victoria Marie	Sheppard Securities Limited	Brokering
103.	Crooks, Victoria Marie	Sheppard Stockbrokers Limited	Brokering
104.	Cruickshank-Hosam, Candice	KSBM Asset Management Limited	Advising
105.	Cruickshank-Simon, Lesa	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
106.	Cudjoe-Bowen, Nadine	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
107.	Da Silva, Michael	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
108.	Daniel, Adrian	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
109.	Darbasie, Karen	First Citizens Bank Limited	Brokering and Underwriting
110.	Darbasie, Karen	First Citizens Brokerage and Advisory Services Limited	Brokering
111.	Dasrathsingh, Jamie	JMMB Bank (T&T) Limited	Advising, Brokering and Underwriting
112.	Davis, Christie	First Citizens Investment Services Limited	Associate
113.	De Boulet, Krysel	RBC Royal Bank (Trinidad and Tobago) Limited	Associate

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

REGISTERED REPRESENTATIVES			
	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER-DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
114.	De Castro, Marlon	Republic Bank Limited	Advising, Brokering and Underwriting
115.	De Graff, Dunovan	Sagicor Investments Trinidad & Tobago Limited	Underwriting
116.	De Nobriga, Lisa	First Citizens Bank Limited	Brokering
117.	De Sormeaux, Candice	Scotiabank Trinidad and Tobago Limited	Brokering
118.	De Souza, Javan	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
119.	Deonarine, Dravid	Republic Wealth Management Limited	Advising
120.	Deonarinesingh, Deanish	Scotiabank Trinidad and Tobago Limited	Brokering
121.	Dillon, Genevieve	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
122.	Dindial, Leanna	Guardian Asset Management and Investment Services Limited	Associate
123.	Donaldson, Graham Duff	Mondial (Trinidad) Limited	Advising
124.	Donaldson-Jeffrey, Amril	First Citizens Portfolio and Investment Management Services Limited	Brokering
125.	Dookie, Dave	Waterloo Capital Advisors Limited	Advising and Brokering
126.	Douglas, Alana	West Indies Stockbrokers Limited	Associate
127.	Drakes, Candice	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
128.	Drayton, Amichai	The Home Mortgage Bank	Advising, Brokering and Underwriting
129.	Dukharan, Nirvana	NCB Merchant Bank (Trinidad and Tobago) Limited	Advising and Brokering
130.	Edoo, Richard	Scotiabank Trinidad and Tobago Limited	Associate
131.	Edwards, Belinda	First Citizens Bank Limited	Brokering
132.	Edwards, Stacyann	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
133.	Eligon, Michelle	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
134.	Ellis, Rory	Capital Markets Elite Group (Trinidad and Tobago) Limited	Advising and Brokering
135.	Emmanuel, Shayne	Ansa Merchant Bank Limited	Associate
136.	Emmanuel, Shayne	ANSA Wealth Management Limited	Associate

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

REGISTERED REPRESENTATIVES			
	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER-DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
137.	Evans, Richard	Trinidad and Tobago Unit Trust Corporation	Brokering
138.	Fadahunsi, Lai	SHBL Investments Company Limited	Advising
139.	Fahey, Desmond	First Citizens Bank Limited	Associate
140.	Farmer, Karen	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
141.	Ferdinand, Jean-Maurice	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
142.	Ferdinand, Jean-Maurice	RBC Investment Management (Caribbean) Limited	Associate
143.	Ferguson, Andrew	Maritime Capital Limited	Advising and Brokering
144.	Ferreira, Greg	First Citizens Investment Services Limited	Brokering
145.	Ferreira, Shauna	Bourse Securities Limited	Advising
146.	Forde, Maria	Trinidad and Tobago Unit Trust Corporation	Advising
147.	Francis, Sparkle Sally	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
148.	Francis, Ulyn-Ann	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
149.	Frank-Baboolal, Adelaine	The Home Mortgage Bank	Advising, Brokering and Underwriting
150.	Gabriel, Norlann	First Citizens Investment Services Limited	Brokering
151.	Gabriel, Norlann	First Citizens Brokerage and Advisory Services Limited	Brokering
152.	Gabriel, Norlann	First Citizens Portfolio and Investment Management Services Limited	Brokering
153.	Gadraj-Baboolal, Neena	First Citizens Bank Limited	Brokering
154.	Gajadhar, Kerry	Caribbean Stockbrokers Limited	Associate
155.	Gajadhar, Usha	The Home Mortgage Bank	Brokering and Underwriting
156.	Gangaram, Radica	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
157.	Garcia, Edmund	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
158.	Garcia-David, Apphia	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
159.	Gatt, Gordon Anthony	Sheppard Securities Limited	Associate

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

REGISTERED REPRESENTATIVES			
	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER-DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
160.	Gayapersad, Camille	First Citizens Investment Services Limited	Associate
161.	George, Alicia	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
162.	George, Carlene	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
163.	George, Jahmai	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
164.	George, Trevelon	First Citizens Bank Limited	Brokering
165.	Gill, Sherwin M.	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
166.	Girod, Renata	JMMB Investments (Trinidad and Tobago) Limited	Advising
167.	Gittens, Richard	Sagicor Investments Trinidad & Tobago Limited	Associate
168.	Gokool, Kavita	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
169.	Gonzales, Adesha	Scotiabank Trinidad and Tobago Limited	Brokering
170.	Gonzales, Alloysius	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
171.	Goolcharan, Viveka	Guardian Life of the Caribbean Limited	Advising
172.	Goptar, Jerome	Guardian Asset Management and Investment Services Limited	Advising, Brokering and Underwriting
173.	Gopaul, Teneil	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
174.	Gosine, Ishan	NCB Merchant Bank (Trinidad and Tobago) Limited	Advising and Brokering
175.	Gregory, Christopher Andre	FigTree Financial (T&T) Limited	Brokering
176.	Guevara, Joshua	Capital Markets Elite Group (Trinidad and Tobago) Limited	Associate
177.	Guyadeen-Gosine, Karen	Trinidad and Tobago Unit Trust Corporation	Advising
178.	Hackett-Murray, Desiree	Trinidad and Tobago Unit Trust Corporation	Advising
179.	Hagley, Simone	Guardian Asset Management and Investment Services Limited	Associate
180.	Hamel-Smith, Shane	Sheppard Securities Limited	Advising
181.	Hanooman, Rodney	Scotiabank Trinidad and Tobago Limited	Brokering

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

REGISTERED REPRESENTATIVES			
	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER- DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
182.	Hansraj, Richard	First Citizens Bank Limited	Associate
183.	Hardeo, Avin	Republic Bank Limited	Advising, Brokering and Underwriting
184.	Harrilal, Tanelle	First Citizens Bank Limited	Brokering
185.	Hector-Orr, Kamala	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
186.	Henry, Lester	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
187.	Hernandez, Alicia	Firstline Securities Limited	Advising, Brokering and Underwriting
188.	Herrera, Mikael	First Citizens Bank Limited	Associate
189.	Hills, Nikesha	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
190.	Holder, Omar	Trinidad and Tobago Unit Trust Corporation	Advising
191.	Hosein, Ahamad	Firstline Securities Limited	Advising, Brokering and Underwriting
192.	Hosein, Areo	Guardian Asset Management and Investment Services Limited	Associate
193.	Hosein, Chelsea	Guardian Asset Management and Investment Services Limited	Associate
194.	Hosein, Narisa	Guardian Asset Management and Investment Services Limited	Advising, Brokering and Underwriting
195.	Hosein, Sean	Bourse Brokers Limited	Advising and Brokering
196.	Hosein, Sean	Bourse Securities Limited	Advising and Brokering
197.	Hosin, Eric	Guardian Life of the Caribbean Limited	Advising
198.	Hosten, Farrah	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
199.	Howell, Brendon	Guardian Asset Management and Investment Services Limited	Advising and Brokering
200.	Ible, Isabelle	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
201.	Inglefield, Geoffrey	Ansa Merchant Bank Limited	Associate
202.	Inglefield, Geoffrey	ANSA Wealth Management Limited	Associate
203.	Isahack-Paul, Naadira	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
204.	Israel, Stacy	First Citizens Investment Services Limited	Associate
205.	Jackman, Ihsan	Guardian Group Trust Limited	Advising, Brokering and Underwriting

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

REGISTERED REPRESENTATIVES			
	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER- DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
206.	Jackman, Janice	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
207.	Jackson, Mikkel	First Citizens Bank Limited	Brokering
208.	Jackson, Mikkel	First Citizens Investment Services Limited	Brokering
209.	Jacobie, Natalie	Scotiabank Trinidad and Tobago Limited	Associate
210.	Jagbirsingh, Candace	RBC Merchant Bank (Caribbean) Limited	Underwriting
211.	Jagdeosingh, Veronica	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
212.	Jagroop, Subash	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
213.	James, Kerron	Republic Bank Limited	Advising, Brokering and Underwriting
214.	James, Michael	JMMB Bank (T&T) Limited	Advising, Brokering and Underwriting
215.	Jan, Nizea	Scotiabank Trinidad and Tobago Limited	Associate
216.	Jasper, Jodé	Scotiabank Trinidad and Tobago Limited	Associate
217.	Jenkins, Paul	CIBC Caribbean Bank (Trinidad & Tobago) Limited	Brokering
218.	Joefield-Victor, Camille	First Citizens Bank Limited	Brokering
219.	John, Marisa Elisabeth	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
220.	John, Trevor	Guardian Asset Management and Investment Services Limited	Advising and Brokering
221.	Johnson, Carolyn	Caribbean Stockbrokers Limited	Brokering
222.	Jones, Brithney	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
223.	Joseph, Davina	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
224.	Joseph, Kyle	Scotiabank Trinidad and Tobago Limited	Associate
225.	Joseph, Nikeisha	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
226.	Joseph, Ru-Ann	First Citizens Investment Services Limited	Advising
227.	Joseph, Terri-Ann	RBC Royal Bank (Trinidad and Tobago) Limited	Associate

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

REGISTERED REPRESENTATIVES			
	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER- DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
228.	Joseph-Seerattan, Carlene	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
229.	Julien, Jason	First Citizens Bank Limited	Brokering and Underwriting
230.	Julien-Jack, Maxime	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
231.	Juman, Neil	First Citizens Bank Limited	Brokering
232.	Juman, Rachael	First Citizens Bank Limited	Brokering
233.	Kadir, Amanda	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
234.	Kalicharan, Ramcharan	KSBM Asset Management Limited	Advising and Brokering
235.	Kerr, Candace	Guardian Asset Management and Investment Services Limited	Advising
236.	Kesar, Curley	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
237.	Khafra, Jeremy	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
238.	Khan, Christa	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
239.	Khan, Marsha	Republic Wealth Management Limited	Associate
240.	Khan, Marsha	Republic Bank Limited	Associate
241.	Khan, Meera	Scotiabank Trinidad and Tobago Limited	Associate
242.	Khan, Michael Vaughn	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
243.	Khan, Tishara	Guardian Asset Management and Investment Services Limited	Advising
244.	Khan-Abdool, Amirah	Guardian Group Trust Limited	Advising, Brokering and Underwriting
245.	King, Dalia Patrice	Firstline Securities Limited	Advising, Brokering and Underwriting
246.	King, Keith Michael	Firstline Securities Limited	Advising, Brokering and Underwriting
247.	King, Mary	Mondial (Trinidad) Limited	Advising
248.	King, Maxine Cheryl	Firstline Securities Limited	Advising, Brokering and Underwriting
249.	Kirpaul-Mohammed, Natasha	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
250.	Kishore, Rory	First Citizens Bank Limited	Brokering

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

REGISTERED REPRESENTATIVES			
	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER- DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
251.	Kissoon, Tricia	RBC Investment Management (Caribbean) Limited	Advising and Brokering
252.	Kissoondath Singh, Lollita	ANSA Wealth Management Limited	Advising
253.	La Borde, Kevin	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
254.	La Motte, Allicia	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
255.	Lackan, Rajesh	Guardian Asset Management and Investment Services Limited	Associate
256.	Lakhan, Jagdesh	Waterloo Capital Advisors Limited	Advising and Brokering
257.	Lal Maharaj, Avindra	Ansa Merchant Bank Limited	Advising
258.	Lal Maharaj, Avindra	ANSA Wealth Management Limited	Advising
259.	Lala, Salisha	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
260.	Lall, Sarah	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
261.	Lalla Maharajh, Rianna	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
262.	Lalla, Jeremy	JMMB Investments (Trinidad and Tobago) Limited	Brokering and Underwriting
263.	Lalla, Jeremy	JMMB Securities (T&T) Limited	Brokering and Underwriting
264.	Lawrence, Melanie	West Indies Stockbrokers Limited	Associate
265.	Le Gendre-Thompson, Chala	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
266.	Leach, Keron	The Home Mortgage Bank	Advising, Brokering and Underwriting
267.	Leggard, Kaffi	Sheppard Securities Limited	Advising
268.	Leggard, Kaffi	Sheppard Stockbrokers Limited	Brokering
269.	Leong Poi, Lezanne	Murphy Clarke Financial Limited	Associate
270.	Leons, Keron	First Citizens Investment Services Limited	Associate
271.	Lequay, Marc	Republic Bank Limited	Advising, Brokering and Underwriting
272.	Lewis, Lumecha	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
273.	Lewis-Best, Leah	KCL Capital Market Brokers Limited	Associate
274.	Logan, Nigel	Bourse Brokers Limited	Associate

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

REGISTERED REPRESENTATIVES			
	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER-DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
275.	London, Terrence	Scotiabank Trinidad and Tobago Limited	Brokering
276.	Loney, Tineal	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
277.	Lucie-Smith, Kristina	Sagcor Investments Trinidad & Tobago Limited	Associate
278.	Lum Sang-De Silva, Gina	West Indies Stockbrokers Limited	Brokering
279.	Lum Sang-De Silva, Gina	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
280.	Lum Sang-De Silva, Gina	RBC Investment Management (Caribbean) Limited	Advising and Brokering
281.	Lutchman, Khadeen	Scotiabank Trinidad and Tobago Limited	Brokering
282.	Ma Kuan, Christopher	Republic Wealth Management Limited	Associate
283.	Ma Kuan, Christopher	Republic Bank Limited	Associate
284.	Mac Quan, Keisha	First Citizens Investment Services Limited	Advising
285.	Mackoon, Darlene	Scotiabank Trinidad and Tobago Limited	Brokering
286.	Mahabir, Keshala	Maritime Capital Limited	Brokering
287.	Mahabir, Shival	Ansa Merchant Bank Limited	Advising and Brokering
288.	Mahabir, Shival	ANSA Wealth Management Limited	Advising and Brokering
289.	Mahaboob-Selvon, Afiesha	First Citizens Bank Limited	Associate
290.	Maharaj, Geerevan	Republic Bank Limited	Advising, Brokering and Underwriting
291.	Maharaj, Nadya	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
292.	Maharaj, Sally	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
293.	Maharaj, Varun	Maritime Capital Limited	Brokering
294.	Maharaj-Ramnarine, Laura	Scotiabank Trinidad and Tobago Limited	Associate
295.	Maingot, Danielle	Murphy Clarke Financial Limited	Brokering
296.	Majid, Fareesha	Murphy Clarke Financial Limited	Brokering
297.	Manmohan, Adrian	West Indies Stockbrokers Limited	Brokering
298.	Mannah, Shivanand	JMMB Investments (Trinidad and Tobago) Limited	Associate
299.	Mansoor, Natalie	Ansa Merchant Bank Limited	Advising and Brokering

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

REGISTERED REPRESENTATIVES			
	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER-DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
300.	Mansoor, Natalie	ANSA Wealth Management Limited	Advising and Brokering
301.	Marcano, Annalee	KCL Capital Market Brokers Limited	Associate
302.	Mark, Terrel	The Home Mortgage Bank	Associate
303.	Marlow, Marissa	Ansa Merchant Bank Limited	Associate
304.	Marlow, Marissa	ANSA Wealth Management Limited	Associate
305.	Martinez, Miguel	Guardian Asset Management and Investment Services Limited	Advising, Brokering and Underwriting
306.	Martinez, Miguel	Guardian Group Trust Limited	Advising, Brokering and Underwriting
307.	Matthews, Christopher	The Home Mortgage Bank	Associate
308.	Mc Donald Kalloo, Candice	Guardian Asset Management and Investment Services Limited	Associate
309.	Mc Donald, Anika	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
310.	Mc Dougall, Kalifa	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
311.	Mc Kenzie, Racine	Scotia Investments (Trinidad and Tobago) Limited	Brokering
312.	Mc Quilkin, Michael	Republic Bank Limited	Advising, Brokering and Underwriting
313.	McKell, Romesh	First Citizens Investment Services Limited	Advising
314.	Melville, Adalene	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
315.	Merritt, Thandi	Guardian Group Trust Limited	Advising, Brokering and Underwriting
316.	Minwah-Mohammed, Balmatie	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
317.	Mitchell, Aalyssa	The Home Mortgage Bank	Associate
318.	Mitchell, Myles	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
319.	Mohamed, Christine	First Citizens Bank Limited	Brokering
320.	Mohammed, Denika	Guardian Asset Management and Investment Services Limited	Associate
321.	Mohammed, Faye	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
322.	Mohammed, Jeannine	Republic Wealth Management Limited	Associate
323.	Mohammed, Nicholas	Firstline Securities Limited	Associate

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

REGISTERED REPRESENTATIVES			
	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER- DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
324.	Mohammed, Reshard	Scotia Investments (Trinidad and Tobago) Limited	Brokering
325.	Mohammed, Ronald	Bourse Securities Limited	Associate
326.	Mohammed, Salisha	Guardian Asset Management and Investment Services Limited	Associate
327.	Mohammed, Shaun	First Citizens Brokerage and Advisory Services Limited	Associate
328.	Mohammed, Shyam	First Citizens Bank Limited	Brokering
329.	Mohammed, Xoceketzal	First Citizens Portfolio and Investment Management Services Limited	Brokering
330.	Mohammed, Xoceketzal	First Citizens Brokerage and Advisory Services Limited	Brokering
331.	Mohammed, Xoceketzal	First Citizens Investment Services Limited	Brokering
332.	Mohammed, Zinora	KCL Capital Market Brokers Limited	Advising
333.	Mohammed-Dass, Shazeema	Trinidad and Tobago Unit Trust Corporation	Advising
334.	Mohan, Justin	Republic Bank Limited	Advising and Brokering
335.	Mohess, Stephanie	Guardian Asset Management and Investment Services Limited	Advising and Brokering
336.	Moonan, Videsh	B3V Holdings Limited	Brokering
337.	Moonsammy, Vishwadai	The Home Mortgage Bank	Associate
338.	Moses, Shawn	JMMB Investments (Trinidad and Tobago) Limited	Brokering and Underwriting
339.	Moses, Shawn	JMMB Securities (T&T) Limited	Brokering and Underwriting
340.	Moses, Shawn	JMMB Bank (T&T) Limited	Advising, Brokering and Underwriting
341.	Moses-Rodriguez, Geneil	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
342.	Mungal, Denise	Guardian Life of the Caribbean Limited	Advising
343.	Murray, Otis	KCL Capital Market Brokers Limited	Advising
344.	Murrell, Cherise	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
345.	Murrell-Richardson, Neisha	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

REGISTERED REPRESENTATIVES			
	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER- DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
346.	Nagassar, Nigel	Guardian Asset Management and Investment Services Limited	Advising and Brokering
347.	Narine, Estelle	Scotiabank Trinidad and Tobago Limited	Brokering
348.	Nelson, Avalon	Scotiabank Trinidad and Tobago Limited	Associate
349.	Newallo, Melanie	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
350.	Nuzum, Adrian	Sheppard Securities Limited	Associate
351.	Nuzum, Adrian	Sheppard Stockbrokers Limited	Associate
352.	O'Neill, Shiloh K.	Republic Wealth Management Limited	Associate
353.	O'Neill, Shiloh K.	Republic Bank Limited	Associate
354.	Ochoa, Rhea	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
355.	Olliviera, David	First Citizens Bank Limited	Associate
356.	Pagee, Gillian	First Citizens Investment Services Limited	Advising
357.	Pardais, Maria	First Citizens Portfolio and Investment Management Services Limited	Advising
358.	Parker, Michael	Guardian Life of the Caribbean Limited	Advising
359.	Parrage, Ryan	Waterloo Capital Advisors Limited	Brokering
360.	Pasea, Christian	Sagicor Life Incorporated	Brokering
361.	Passee, Ashia	Firstline Securities Limited	Associate
362.	Passee, Johann	Firstline Securities Limited	Advising and Brokering
363.	Patrick, Cole	Firstline Securities Limited	Advising, Brokering and Underwriting
364.	Patrovani, Mikhail	First Citizens Bank Limited	Associate
365.	Patterson, Denese	First Citizens Bank Limited	Brokering
366.	Patterson, Rodney	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
367.	Pemberton, Tiffany	Development Finance Limited	Advising, Brokering and Underwriting
368.	Pereira, Marc Richard	Sheppard Securities Limited	Associate
369.	Perez, Adrian	KCL Capital Market Brokers Limited	Advising
370.	Perryman, Jarod	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
371.	Persad, Anuradha	First Citizens Bank Limited	Advising
372.	Persad, Darius	First Citizens Bank Limited	Brokering

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

REGISTERED REPRESENTATIVES			
	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER- DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
373.	Persadie, Ginelle	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
374.	Persad-Joseph, Aneisha	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
375.	Persad-Lewis, Cherry-Ann	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
376.	Phelps, Alesha	Sagicor Life Incorporated	Underwriting
377.	Phelps, Alesha	Sagicor Investments Trinidad & Tobago Limited	Brokering
378.	Phillips, Myles	Citicorp Merchant Bank Limited	Underwriting
379.	Pierre, Jabari	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
380.	Pilgrim, Jonathan	Republic Wealth Management Limited	Associate
381.	Pirali, Aamir	Scotiabank Trinidad and Tobago Limited	Associate
382.	Piralli, Charles	JMMB Investments (Trinidad and Tobago) Limited	Brokering
383.	Piralli, Charles	JMMB Securities (T&T) Limited	Brokering
384.	Pollard Jnr., Duke	Capital Markets Elite Group (Trinidad and Tobago) Limited	Advising and Brokering
385.	Pollidore, Jaeden	Guardian Asset Management and Investment Services Limited	Associate
386.	Pounder, Giselle	Republic Wealth Management Limited	Brokering
387.	Prince, Jamila	Guardian Asset Management and Investment Services Limited	Associate
388.	Racha, Delano	Scotiabank Trinidad and Tobago Limited	Brokering
389.	Rackal, Cindy	First Citizens Bank Limited	Brokering
390.	Ragbirsingh, Diandra	Republic Bank Limited	Advising and Brokering
391.	Raghunanansingh, Laura	Sagicor Investments Trinidad & Tobago Limited	Associate
392.	Ragoonath, Randy	Scotiabank Trinidad and Tobago Limited	Associate
393.	Rajkumar, Keisha	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
394.	Rajmoolie, Cathy	First Citizens Brokerage and Advisory Services Limited	Associate
395.	Rambharack, Kerryann	Scotiabank Trinidad and Tobago Limited	Advising and Brokering

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

REGISTERED REPRESENTATIVES			
	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER- DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
396.	Ramcharan, Diana	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
397.	Ramcharitar, Amar	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
398.	Ramdass, Pamela	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
399.	Ramdeen, Avinash	Republic Wealth Management Limited	Advising and Brokering
400.	Ramdhania, Timmel	First Citizens Bank Limited	Brokering
401.	Ramdhania-Sultan, Sita	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
402.	Ramgoolie, Videsh	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
403.	Ramirez, Roberto	Scotiabank Trinidad and Tobago Limited	Underwriting
404.	Ramjattan, Stacey	Guardian Asset Management and Investment Services Limited	Advising
405.	Ramjit, Shivani	Scotiabank Trinidad and Tobago Limited	Brokering
406.	Ramkhelawan, Sarodh	Bourse Securities Limited	Advising, Brokering and Underwriting
407.	Ramkhelawan, Sarodh	Bourse Brokers Limited	Advising, Brokering and Underwriting
408.	Ramkhelawan, Subhas	Bourse Securities Limited	Advising, Brokering and Underwriting
409.	Ramkhelawan, Subhas	Bourse Brokers Limited	Advising, Brokering and Underwriting
410.	Ramkissoo, Baldath	Republic Bank Limited	Advising and Brokering
411.	Ramkissoo, Dana	First Citizens Investment Services Limited	Associate
412.	Ramkissoo, Fahreena	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
413.	Ramkissoo-Joseph, Shivana	Republic Bank Limited	Advising and Brokering
414.	Ramkripaul, Rachel	KCL Capital Market Brokers Limited	Associate
415.	Ramlal, Charanjit	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
416.	Ramlal, Dereck	First Citizens Bank Limited	Brokering
417.	Ramlochan, Gideon	Scotiabank Trinidad and Tobago Limited	Advising and Brokering

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

REGISTERED REPRESENTATIVES			
	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER- DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
418.	Ramlogan, Riad	Scotiabank Trinidad and Tobago Limited	Brokering
419.	Ramlogan, Tamara	First Citizens Bank Limited	Brokering
420.	Ramnarine, Sasha	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
421.	Ramnath, Christian	Sheppard Securities Limited	Associate
422.	Ramnath, Daniel	First Citizens Bank Limited	Brokering
423.	Ramnath, Rachel	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
424.	Ramnath-Singh, Gail	Caribbean Stockbrokers Limited	Associate
425.	Ramoutar, Emily	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
426.	Ramoutar, Rush	Republic Wealth Management Limited	Advising and Brokering
427.	Ramoutar, Rush	Republic Bank Limited	Advising, Brokering and Underwriting
428.	Rampartap, Rondel	JMMB Investments (Trinidad and Tobago) Limited	Associate
429.	Rampersad, Reshma	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
430.	Rampersad, Travis	First Citizens Investment Services Limited	Brokering
431.	Rampersad-Sookah, Annecia	Scotiabank Trinidad and Tobago Limited	Associate
432.	Ramroop, Rajesh	First Citizens Investment Services Limited	Associate
433.	Ramsamooj, Giselle	First Citizens Bank Limited	Brokering
434.	Ramsaran, Anrika	West Indies Stockbrokers Limited	Associate
435.	Ramsaroop, Onilla	Scotiabank Trinidad and Tobago Limited	Associate
436.	Ramsaroop, Veeresh	Sheppard Securities Limited	Associate
437.	Ramsingh, Chanelle	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
438.	Ramsumair-Mahabir, Nadia	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
439.	Ramsumair-Mohammed, Shivana	First Citizens Investment Services Limited	Advising
440.	Ramsundarsingh-Gopaul, Rhonda	Ansa Merchant Bank Limited	Advising
441.	Ramsundarsingh-Gopaul, Rhonda	ANSA Wealth Management Limited	Advising

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

REGISTERED REPRESENTATIVES			
	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER- DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
442.	Ransome, Diann	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
443.	Rattan, Basdai	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
444.	Rattan, Kimberly	First Citizens Bank Limited	Brokering
445.	Rattansingh, Prasanna	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
446.	Redhead, Eric	Murphy Clarke Financial Limited	Associate
447.	Reid, Stefan	Guardian Asset Management and Investment Services Limited	Associate
448.	Remy, Crystal	First Citizens Bank Limited	Brokering
449.	Reyes, Erfan	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
450.	Richards, Annastacia	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
451.	Roberts, Pernel	Republic Wealth Management Limited	Advising and Brokering
452.	Robinson, David	Republic Bank Limited	Advising and Brokering
453.	Rodrigues, Herman	Mondial (Trinidad) Limited	Advising
454.	Rodrigues, Matthew	Firstline Securities Limited	Associate
455.	Rodriguez-Greaves, Crystal	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
456.	Romain, Germeel-Amir	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
457.	Romilly-Raymah, Selene	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
458.	Roopchand, Alicia	JMMB Investments (Trinidad and Tobago) Limited	Advising
459.	Ruiz, Carol-Ann	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
460.	Sa Gomes, Chip	Admiral Limited	Advising and Brokering
461.	Sabga, Nigel Anthony	Ansa Merchant Bank Limited	Advising and Brokering
462.	Sadoo, Mark	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
463.	Salandy, Crystal-Marie	The Home Mortgage Bank	Advising, Brokering and Underwriting
464.	Salazar, Krystal	Scotia Investments (Trinidad and Tobago) Limited	Brokering
465.	Salloum Clarke, Christiane Michelle	FigTree Financial (T&T) Limited	Brokering
466.	Salvary, Brent	KSBM Asset Management Limited	Advising and Brokering

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

REGISTERED REPRESENTATIVES			
	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER- DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
467.	Samaroo, Lawrence	Scotiabank Trinidad and Tobago Limited	Brokering
468.	Samodee, Keisha	Guardian Asset Management and Investment Services Limited	Associate
469.	Samuel-James, Natasha	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
470.	Sanasie-Ali, Renee	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
471.	Sanderson, Daniell	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
472.	Sandy, Dexter	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
473.	Sankar, Shane	Republic Wealth Management Limited	Brokering
474.	Sankar-Cassie, Liandra	Sagcor Investments Trinidad & Tobago Limited	Brokering
475.	Santoo, Barry	First Citizens Bank Limited	Brokering
476.	Saugh, Samanta	Guardian Life of the Caribbean Limited	Advising
477.	Sawh, Vasudev	Massy Finance GFC Ltd.	Advising, Brokering and Underwriting
478.	Scott, Deyson	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
479.	Sealey, Garette	Firstline Securities Limited	Associate
480.	Seebaran, Madree	Bourse Brokers Limited	Advising and Brokering
481.	Seedhan, Annette	Citicorp Merchant Bank Limited	Brokering
482.	Seedial, Yuri	First Citizens Brokerage and Advisory Services Limited	Brokering
483.	Seenath, Liz	Scotiabank Trinidad and Tobago Limited	Associate
484.	Seenath, Shushilla	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
485.	Seepaul, Diana	First Citizens Bank Limited	Advising
486.	Seepersad Singh, Ornella	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
487.	Seepersad, Shane	Republic Bank Limited	Advising and Brokering
488.	Seepersad, Shani	Republic Wealth Management Limited	Advising and Brokering
489.	Seepersadsingh, Sheldon	Scotiabank Trinidad and Tobago Limited	Associate
490.	Seepersad-Valdez, Stacey	RBC Royal Bank (Trinidad and Tobago) Limited	Associate

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

REGISTERED REPRESENTATIVES			
	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER- DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
491.	Sharma-Kamaludin, Adita	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
492.	Sheppard, Alan Michael	Sheppard Securities Limited	Advising
493.	Sheppard, George David	Sheppard Securities Limited	Brokering
494.	Silva, Loise	Guardian Asset Management and Investment Services Limited	Associate
495.	Simeon, Simone	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
496.	Simmons, Dhaana	Scotiabank Trinidad and Tobago Limited	Associate
497.	Sinanan-Seepersad, Sally	Republic Wealth Management Limited	Associate
498.	Sinanan-Seepersad, Sally	Republic Bank Limited	Associate
499.	Singh, Amrit	West Indies Stockbrokers Limited	Associate
500.	Singh, Dianne	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
501.	Singh, Gia	Sheppard Securities Limited	Advising
502.	Singh, Lillian	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
503.	Singh, Mario	KSBM Asset Management Limited	Advising
504.	Singh, Roshnie	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
505.	Singh, Shyermarlene	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
506.	Singh, Vishana	JMMB Investments (Trinidad and Tobago) Limited	Associate
507.	Slater, Sue-Ann	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
508.	Smith, Cortlyn	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
509.	Smith, Kamlis	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
510.	Somair, Sean Gregory	RBC Investment Management (Caribbean) Limited	Advising and Brokering
511.	Sookdeo, Natasha	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
512.	Sookdeo, Shivanand	Republic Bank Limited	Advising and Brokering
513.	Sookhan, Sheba	RBC Royal Bank (Trinidad and Tobago) Limited	Associate

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

REGISTERED REPRESENTATIVES			
	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER- DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
514.	Sookoo, Anganie	JMMB Investments (Trinidad and Tobago) Limited	Brokering
515.	Sookoo, Anganie	JMMB Securities (T&T) Limited	Brokering
516.	Sookoo, Jennifer	JMMB Investments (Trinidad and Tobago) Limited	Advising
517.	Sookram-Bridgelal, Nadia	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
518.	St. Clair, Dirk	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
519.	Stafford, Terri	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
520.	Stanford, Dahlia	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
521.	Stephen, Chrissie	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
522.	Stone, Frank	Murphy Clarke Financial Limited	Associate
523.	Sudama, Neeta	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
524.	Sui, Peter	Guardian Asset Management and Investment Services Limited	Associate
525.	Sukhu, Rochelle	First Citizens Bank Limited	Advising
526.	Sund-Olton, Angelique	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
527.	Sutherland, Damian	First Citizens Bank Limited	Brokering
528.	Sylvester, Kristopher	Capital Markets Elite Group (Trinidad and Tobago) Limited	Advising and Brokering
529.	Syne, Sacha	First Citizens Bank Limited	Brokering and Underwriting
530.	Tannis, Rudy-Ann	First Citizens Bank Limited	Brokering
531.	Telesford-Pierre, Trudie	KCL Capital Market Brokers Limited	Advising
532.	Thomas, Alvin	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
533.	Thomas, Gary	Bourse Securities Limited	Advising and Brokering
534.	Thomas, Marquis	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
535.	Thomas, Rowland Marc	Guardian Asset Management and Investment Services Limited	Advising, Brokering and Underwriting
536.	Thompson, Cedric	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
537.	Thompson, Shauna	Guardian Group Trust Limited	Associate
538.	Tirbany, Lena	First Citizens Bank Limited	Brokering

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

REGISTERED REPRESENTATIVES			
	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER-DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
539.	Tittil, Daniel	Admiral Limited	Advising and Brokering
540.	Titus, Heather	CIBC Caribbean Bank (Trinidad & Tobago) Limited	Brokering and Underwriting
541.	Tom Yew, Brad	Republic Wealth Management Limited	Advising and Brokering
542.	Tom Yew, Brad	Republic Bank Limited	Advising, Brokering and Underwriting
543.	Tom Yew, Katrine	Guardian Asset Management and Investment Services Limited	Advising and Brokering
544.	Toney-Gooding, Marcia	First Citizens Depository Services Limited	Brokering
545.	Toolsee, Jayde	Bourse Brokers Limited	Advising
546.	Trestrail, Robert	Sagicor Life Incorporated	Brokering
547.	Trigg, Denise	Guardian Asset Management and Investment Services Limited	Associate
548.	Turpin-Carrington, Kelsey	Scotiabank Trinidad and Tobago Limited	Associate
549.	Valentine, Selene	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
550.	Valley, Kerwyn	KCL Capital Market Brokers Limited	Advising, Brokering and Underwriting
551.	Valley, Kerwyn	Aspire Fund Management Company Limited	Advising
552.	van der Vaart, Hubertus Jan	SEAF Caribbean Management LLC	Advising
553.	Vieira, Lisa	SHBL Investments Company Limited	Advising
554.	Vincent, Trisha	First Citizens Investment Services Limited	Advising
555.	Walcott, Chelsey	CIBC Caribbean Bank (Trinidad & Tobago) Limited	Advising
556.	Walker-Huggins, Tricia	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
557.	Wallace, Wilfred Gregory	Mondial (Trinidad) Limited	Advising
558.	Webster, Natalie	Republic Bank Limited	Advising, Brokering and Underwriting
559.	Webster-Villafana, Akisha	Trinidad and Tobago Unit Trust Corporation	Associate
560.	Welch, Luke	Sheppard Securities Limited	Associate
561.	Wells-Fraser, Bernadette	JMMB Securities (T&T) Limited	Associate

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

REGISTERED REPRESENTATIVES			
	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER- DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
562.	Westfield, Vanessa	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
563.	Whiskey, Tennille	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
564.	White, Marlon	Scotiabank Trinidad and Tobago Limited	Associate
565.	Whiteman, Sharon	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
566.	Williams, Aldon Philip	Trinidad and Tobago Unit Trust Corporation	Advising
567.	Williams, Beverly	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
568.	Williams, Leo	SEAF Caribbean Management LLC	Advising
569.	Williams, Marlon	First Citizens Bank Limited	Associate
570.	Williams, Rawlena	Scotiabank Trinidad and Tobago Limited	Associate
571.	Williams, Reynold	Ansa Merchant Bank Limited	Advising and Brokering
572.	Williams, Reynold	ANSA Wealth Management Limited	Advising and Brokering
573.	Williams-Samlal, Kerry Ann	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
574.	Wilson-Mano, Linda	Trinidad and Tobago Unit Trust Corporation	Advising
575.	Wright, Christopher	Ansa Merchant Bank Limited	Advising
576.	Wright, Christopher	ANSA Wealth Management Limited	Advising
577.	Wynter, Paul	Guardian Asset Management and Investment Services Limited	Advising and Brokering
578.	Yearwood, Patricia	First Citizens Bank Limited	Brokering
579.	Young, Angus Peter	NCB Merchant Bank (Trinidad and Tobago) Limited	Advising, Brokering and Underwriting
580.	Youseff, Daniel	First Citizens Investment Services Limited	Advising and Underwriting

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

<u>SPONSORED BROKER-DEALERS</u>		
	NAME OF SPONSORED BROKER-DEALER	ASSOCIATED BROKER-DEALER
1.	Cusimano, Paul	Scotia Investments (Trinidad and Tobago) Limited
2.	Guedez, Arnaldo Jose	Scotia Investments (Trinidad and Tobago) Limited
3.	Juarez, Yuly	Scotia Investments (Trinidad and Tobago) Limited
4.	Stollmeyer, Scott	Scotia Investments (Trinidad and Tobago) Limited
5.	Vandewater, Thomas	Scotia Investments (Trinidad and Tobago) Limited
6.	Ylagan, Carlo	Scotia Investments (Trinidad and Tobago) Limited

<u>REPORTING ISSUERS</u>	
1.	A.S. Bryden & Sons Holdings Limited
2.	Add Venture Capital Fund Limited
3.	Agostini Limited
4.	Airports Authority of Trinidad and Tobago
5.	Angostura Holdings Limited
6.	ANSA McAL Limited
7.	Ansa Merchant Bank Limited
8.	Ansa Money Market Funds
9.	BWIA West Indies Airways Limited
10.	Capital Markets Elite Group (Trinidad and Tobago) Limited
11.	CIBC Caribbean Bank Limited
12.	CinemaONE Limited
13.	Citibank (Trinidad and Tobago) Limited
14.	Citicorp Merchant Bank Limited
15.	Dynamic Equity Fund II Limited
16.	Education Facilities Company Limited
17.	Endeavour Holdings Limited
18.	Eppley Caribbean Property Fund Limited SCC
19.	Eric Solis Marketing Limited
20.	First Citizens Bank Limited
21.	First Citizens Depository Services Limited
22.	First Citizens Group Financial Holdings Limited
23.	First Citizens Investment Services Limited
24.	First Money Market Fund
25.	Flavorite Foods Limited
26.	FNCU Venture Capital Company Limited
27.	Furness Trinidad Limited
28.	GraceKennedy Limited
29.	Guardian Asset Management and Investment Services Limited
30.	Guardian Caribbean Equity Fund
31.	Guardian Fixed Income Fund
32.	Guardian Holdings Limited
33.	Guardian Media Limited

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

REPORTING ISSUERS	
34.	JMMB Bank (T&T) Limited
35.	JMMB Group Limited
36.	JMMB Life Goal Funds S2
37.	L.J. Williams Limited
38.	Mack Investment Business Corporation Limited
39.	Maritime Group of Mutual Funds
40.	Massy Holdings Limited
41.	Medcorp Limited
42.	Mora Ven Holdings Limited
43.	Mortgage Participation Fund
44.	MPC Caribbean Clean Energy Limited
45.	National Enterprises Limited
46.	National Flour Mills Limited
47.	National Infrastructure Development Company Limited
48.	National Insurance Property Development Company Limited
49.	National Investment Fund Holding Company Limited
50.	National Maintenance Training and Security Company Limited
51.	NCB Financial Group Limited
52.	Nestle Trinidad and Tobago Limited
53.	One Caribbean Media Limited
54.	Point Lisas Industrial Port Development Corporation Limited
55.	Port Authority of Trinidad and Tobago
56.	Prestige Holdings Limited
57.	Public Transport Service Corporation
58.	RBC Merchant Bank (Caribbean) Limited
59.	RBC Royal Bank (Trinidad and Tobago) Limited
60.	Republic Bank Limited
61.	Republic Financial Holdings Limited
62.	Republic TT\$ Fixed Income Securities Fund
63.	RGM Property Fund
64.	Royal Bank of Canada
65.	Sagicor Financial Company Limited
66.	Sagicor Funds Incorporated
67.	Sagicor Go-Mutual Funds
68.	Samaan Tree Fund
69.	Savinvest India Asia Fund
70.	Scotia Canadian Equity Fund
71.	Scotia Caribbean Income Fund Inc.
72.	Scotia Global Equity Fund
73.	Scotia Money Market Fund
74.	Scotia Trinidad and Tobago Fixed Income Fund
75.	Scotia Trinidad and Tobago Growth and Income Fund
76.	Scotia Trinidad and Tobago Short Term Income Fund
77.	Scotia US Dollar Bond Fund

LIST OF REGISTRANTS AS AT 31ST MARCH, 2025

<u>REPORTING ISSUERS</u>	
78.	Scotia US Equity Fund
79.	Scotiabank Trinidad and Tobago Limited
80.	St. Christopher Air and Sea Ports Authority
81.	St. Kitts Urban Development Corporation Limited
82.	Telecommunications Services of Trinidad and Tobago Limited
83.	The Home Mortgage Bank
84.	The Sports Company of Trinidad and Tobago Limited
85.	The West Indian Tobacco Company Limited
86.	Tourism & Industrial Development Company of Trinidad & Tobago Limited
87.	Trinidad and Tobago Housing Development Corporation
88.	Trinidad and Tobago Mortgage Bank Limited
89.	Trinidad and Tobago NGL Limited
90.	Trinidad and Tobago Unit Trust Corporation
91.	Trinidad Cement Limited
92.	Unilever Caribbean Limited
93.	Urban Development Corporation of Trinidad & Tobago Limited
94.	UTC (Cayman) SPC Ltd
95.	Utmost International Isle of Man Limited
96.	Water & Sewerage Authority

<u>SELF-REGULATORY ORGANISATIONS</u>	
1.	The Trinidad and Tobago Central Depository Limited
2.	The Trinidad and Tobago Stock Exchange Limited



**PUBLIC STATEMENT OF THE TRINIDAD AND TOBAGO SECURITIES AND
EXCHANGE COMMISSION**

UPDATED 2025

**FREEDOM OF INFORMATION ACT, CHAPTER 22:02 OF THE LAWS OF THE
REPUBLIC OF TRINIDAD AND TOBAGO**

PUBLISHED WITH THE APPROVAL OF THE HONOURABLE MINISTER OF FINANCE

In compliance with Sections 7, 8 and 9 of the Freedom of Information Act (the “FOIA”).

In accordance with Sections 7, 8 and 9 of the Freedom of Information Act (the “FOIA”) the Trinidad and Tobago Securities and Exchange Commission (the “*Commission*”) is required by law to publish the following statements, which list the documents and information generally available for public scrutiny.

The FOIA gives members of the public a legal right:

1. A legal right for each person to access information held by the Commission;
2. A legal right for each person to have official information relating to himself/herself amended where it is incomplete, incorrect or misleading;
3. A legal right to obtain reasons for adverse decisions made by the Commission regarding an applicant’s request for information under the FOIA; and
4. Upon a Notice of Refusal, a legal right to complain in writing to the Ombudsman and to apply to the High Court for Judicial Review to decisions made under the FOIA.

SECTION 7 STATEMENTS

SECTION 7(1) (a) (i)

Functions and Organisation of the Commission

Mission

To protect investors, promote and enable the growth and development of the securities industry by nurturing fair, efficient and transparent securities markets, cooperating with other regulators and mitigating systemic risk.

UPDATED PUBLIC STATEMENT OF THE TRINIDAD AND TOBAGO SECURITIES AND
EXCHANGE COMMISSION 2025—CONTINUED

Vision

To be an innovative regulator of a thriving securities market, enabling economic development for the benefit of all.

Core Values

Instilling confidence in the securities market by protecting investors, promoting sustainable market growth, and reducing systemic risk, through collaboration and innovation.

Functions of the Commission

The Commission was first established, by the Securities Industry Act, 1995 (“*SIA 1995*”) in 1997 and continued under the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“*SA*”) as a body corporate to regulate the securities market in Trinidad and Tobago.

The Commission’s main functions, as outlined in Section 6 of the SA are to:

- advise the Minister of Finance on matters relating to the securities industry;
- maintain surveillance over the securities industry and ensure orderly, fair and equitable dealings in securities;
- register, authorise or regulate, in accordance with the SA, self-regulatory organisations, broker-dealers, registered representatives, underwriters, issuers and investment advisers; and control and supervise their activities with a view to maintaining proper standards of conduct, and professionalism in the securities industry;
- regulate and supervise the timely, accurate, fair and efficient disclosure of information to the securities industry and investing public;
- conduct such inspections, reviews and examinations of self-regulatory organisations, broker-dealers, registered representatives, underwriters, issuers and investment advisers as may be necessary for giving full effect to the SA;
- protect the integrity of the securities market against any abuses arising from market manipulating practices, insider trading, conflicts of interest, and other unfair or improper practices;
- educate and promote an understanding by the public of the securities industry and the benefits, risks, and liabilities associated with investing in securities;
- co-operate with, and provide assistance to other regulatory authorities in Trinidad and Tobago, or elsewhere;
- ensure compliance with the Proceeds of Crime Act, any other written law in relation to the prevention of money laundering and combating the financing of terrorism or any other written law that is administered or supervised by the Commission;

UPDATED PUBLIC STATEMENT OF THE TRINIDAD AND TOBAGO SECURITIES AND
EXCHANGE COMMISSION 2025—CONTINUED

- create and promote such conditions in the securities industry as may seem to it necessary, advisable or appropriate to ensure the orderly growth and development of the securities industry and to further the purposes of the SA;
- co-operate with other jurisdictions in the development of a fair and efficient securities industry; and
- assess, measure and evaluate risk exposure in the securities industry.

Powers of the Commission

- 7 (1) For the purpose of the discharge of its functions, the Commission has power pursuant to Section 7 of the SA to:
- (a) formulate principles for the guidance of the securities industry;
 - (b) treat with such matters as may be referred to it by any person from time to time;
 - (c) register and regulate market actors in accordance with this Act;
 - (d) monitor the solvency of registrants that are entities, securities markets and self-regulatory organisations and take measures to protect the interest of investors where the solvency of any such person is in doubt;
 - (e) adopt measures to supervise and minimise any conflict of interest that may arise in the case of registrants or self-regulatory organisations and where appropriate other market actors;
 - (f) review, approve and regulate takeovers, amalgamations and all forms of business combinations in accordance with this Act or any other written law in all cases in which it considers it expedient or appropriate to do so;
 - (g) review the contents of prospectuses and issue receipts therefor, and review any form of solicitation, advertisement or announcement by which securities are proposed to be distributed;
 - (h) take enforcement action against any person for failing to comply with this Act;
 - (i) recommend Bye-laws to the Minister;
 - (j) formulate, prepare and publish notices, guidelines, bulletins and policies describing the views of the Commission regarding the interpretation, application, or enforcement of this Act;
 - (ja) formulate, prepare and publish guidelines in respect of declared agreements;
 - (k) make orders;
 - (l) monitor the risk exposure of registrants and self-regulatory organisations and take measures to protect the interest of investors, clients, members and the securities industry;
 - (m) undertake such other activities as are necessary or expedient for giving full effect to this Act; and
 - (n) do all things, and take all actions, which may be necessary, expedient, incidental or conducive to the discharge of any of its functions and the exercise of its powers under this Act.
- (2) The Commission may, in writing require any market actor to furnish it with such information as it may require for the exercise of its functions within such time and verified in such manner as it may specify.
- (3) A market actor that is required to furnish information to the Commission in accordance with subsection (2) shall furnish the required information, within the time specified and verified in the manner specified by the Commission.

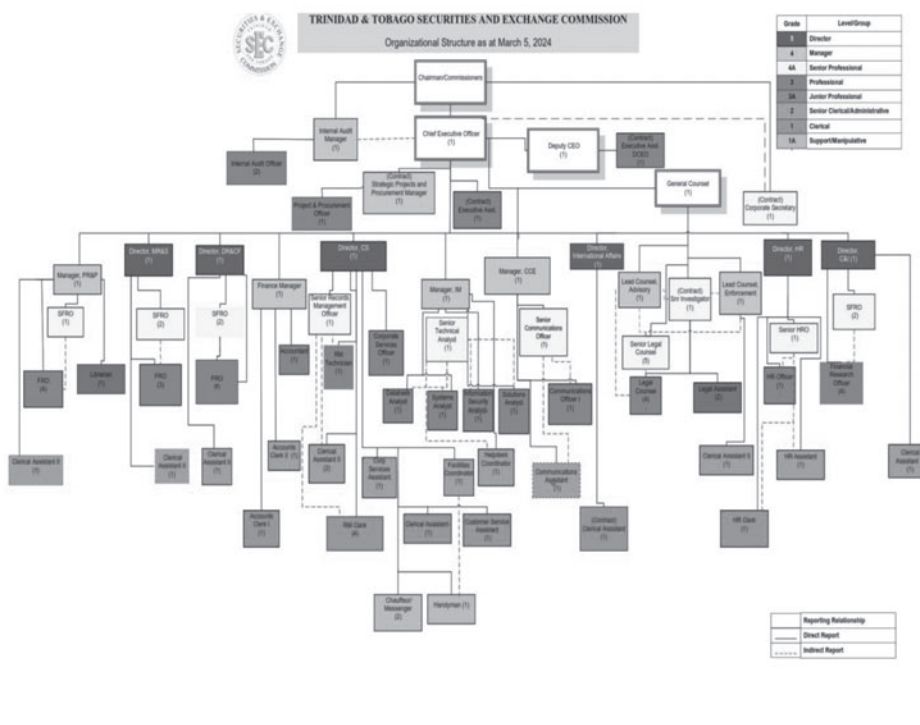
UPDATED PUBLIC STATEMENT OF THE TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION 2025—CONTINUED

Structure of the Commission

The SA provides for the appointment of no less than five and no more than nine Commissioners to the Board of the Commission.

The Commissioners are drawn from amongst persons with expertise in legal, financial, business or administrative matters.

Approved Organizational Chart



Staff of the Commission

The Staff is appointed by the Commission and includes the Chief Executive Officer, Deputy Chief Executive Officer, General Counsel, the Heads of the existing Divisions and support staff.

UPDATED PUBLIC STATEMENT OF THE TRINIDAD AND TOBAGO SECURITIES AND
EXCHANGE COMMISSION 2025—CONTINUED

Organisational Structure of the Commission

Board of Commissioners

The role of the Board of Commissioners of the Trinidad and Tobago Securities and Exchange Commission is to:-

- Approve registration applications;
- Issue prospectus receipts;
- Take enforcement action against any person for failing to comply with the Act;
- Investor protection;
- Recommend By-Laws to the Minister of Finance;
- Authorising Investigations;
- Holding administrative hearings; and
- Make Orders – including exemption orders.

The Board's responsibilities include:-

- supervising the financial affairs of the organization and approving procurement above a certain level (\$250,000.00)
- ensuring statutory compliance with all applicable laws and monitoring risks;
- overseeing the strategic planning process; and
- ensuring the organization is adequately staffed and monitoring the performance of the CEO.

Members of the Executive Team:

Chief Executive Officer

The Office of the Chief Executive Officer leads the Commission in creating an enabling environment for the growth and development of the local capital market, while establishing frameworks for minimizing systemic risk, promoting confidence within the market, and enhancing regulatory and enforcement cooperation with its local, regional and international regulatory counterparts. The Office of the Chief Executive Officer supports the Board in articulating and promoting a vision of what the Commission will achieve in line with its purpose, powers, authority, functions, deliverables and reporting and compliance requirements as conferred by the Securities Act, 2012 (the Act).

Deputy Chief Executive Officer

The Deputy Chief Executive Officer reports directly to the Office of the Chief Executive Officer. The Deputy Chief Executive Officer works closely with the Chief Executive Officer and provides support by assisting in the regulation of the securities industry to ensure the stability of the financial system and the protection of investors, and the overall management and performance of the Commission Office of the General Counsel

UPDATED PUBLIC STATEMENT OF THE TRINIDAD AND TOBAGO SECURITIES AND
EXCHANGE COMMISSION 2025—CONTINUED

General Counsel

The General Counsel Heads Legal Division and the Legislative Review Team which has as one of its main functions, to draft/review all legislation, policies, and guidelines that fall within the ambit of the Commission.

Divisions/Departments:

(1) Compliance and Inspections

This is the newest Division of the Commission, which was established in 2014 as a result of the passage of the Securities Act 2012. Its main responsibilities are to:

- Conduct on-site inspections of registrants and self-regulatory organizations, whether routine, for cause or sweep inspections (*registrants include: self-regulatory organizations and persons registered under Part IV of the Act, i.e. broker-dealer, investment adviser, reporting issuer and underwriter*);
- Issue compliance directions, thus directing a registrant to take measures that are necessary to remedy any course of conduct that is contrary to generally accepted standards of conduct or prudent operation and behaviour; and
- Refer matters for legal enforcement in instances where a person fails to take measures as directed in a compliance direction.

In furtherance of its responsibilities, the Division's major objectives are to:

- Ensure that registrants are operating in compliance with the legislation;
- Help identify compliance problems and areas of emerging risk, which if they occur can adversely affect investors; and
- Review allegations of improper practices

(2) Corporate Services

The Corporate Services Division is responsible for managing and executing the following functions: administration, property management, procurement, records management, health and safety, fleet management and security services for the Commission.

(3) Corporate Communications and Education

The Department gets its mandate from Section 6 of the Securities Act 2012 and its goal is to educate and promote an understanding by the public of the securities industry and the benefits, risks, and liabilities associated with investing in securities.

The Department's mission is to promote informed investor decisions and the TTSEC's role as regulator, through all aspects of Corporate Communication, inclusive of Public Education and External Communication. The Division is also responsible for performing the Commission's Public Relations, protocol and Crisis Communication functions. In accordance with the IOSCO principles, the Department coordinates a multi-faceted Investor Education programme designed to provide investors and potential investors with suitable information to guide informed decisions.

UPDATED PUBLIC STATEMENT OF THE TRINIDAD AND TOBAGO SECURITIES AND
EXCHANGE COMMISSION 2025—CONTINUED

(4) Disclosure, Registration and Corporate Finance

The Securities Act 2012 (“the Act”) entrusts the Commission with the responsibility to ensure that the requirements of Section 62 (1) of the Act are duly executed and that “no security shall be distributed or listed with any self-regulatory organization unless it is registered with the Commission”. DR&CF is responsible for the registration of all self-regulatory organisations, broker-dealers, reporting issuers and investment advisers as well as the securities that they provide. This Division:

- Reviews and processes applications of registrants and self-regulatory organizations.
- Reviews documentation to ensure compliance with the law and best practice.
- Approves the contents of prospectuses, offering circulars or any form of solicitation, advertisement or announcement by which securities are offered for sale to the public.
- Reviews filings by all registrants and self-regulatory organizations and assesses among other things the financial solvency of registrants and self-regulatory organizations.
- Maintains a register of securities registered by the Commission.
- Makes recommendations to the Commission for the suspension/revocation of registration when persons no longer satisfy the registration requirements.
- Identifies trends and issues that are likely to have an impact on the securities industry and makes appropriate policy recommendations.

(5) Finance

The finance department is responsible for both internal and external financial reporting, as well as annual budgeting. It is also responsible for the receipt and depositing of fees and penalties received from market registrants. Additionally, the department is also responsible for all disbursements made by the Commission. This includes

- Payroll and other staff related amounts.
- Disbursements to vendors, the comptroller of accounts and other third parties.

(6) Human Resource Management

The Human Resource Department is responsible for planning and executing a range of human resource strategies with line managers and plans, co-ordinates and implements the human resource management infrastructure that mutually satisfies the corporate objectives and employee needs.

(7) Information Management

The Information Management Division assesses, develops, manages and supports the technological and data requirements of the Commission’s internal and external users by establishing performance measures, business processes, business continuity planning and support, digital and online communications, telecommunications, enterprise resource planning and project management.

(8) International Affairs

This Division plays a key role in driving and supporting the development of policies and strategies to engage with regional, international and other key stakeholders in the securities markets.

UPDATED PUBLIC STATEMENT OF THE TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION 2025—CONTINUED

(9) Internal Audit

Internal Audit is responsible for assessing the design and the effectiveness of the Commission's system of Internal Controls. This activity is also responsible for reporting compliance issues to the Executive Management and to the Board. The Internal Audit activity provides independent, objective assurance and consulting services that add value and improve the Commission's operations. It helps the Commission to accomplish its objectives by bringing a systematic, disciplined approach to the evaluation and improvement of risk management, controls and governance processes. The Commission's Internal Audit activity is guided by the Department's Charter and reports functionally to the Chairman of the Audit Committee and administratively to the CEO. Further, the Internal Auditors have no authority over, nor responsibility for, the activities they audit.

(10) Legal Division

This Division's key functions include a focus on the corporate strategic and tactical legal initiatives as well as the management of the Commission's legal function.

The Legal Division:

- Provides continuing counsel and guidance on legal matters and on legal implications of all matters.
- Serves as key lawyer/legal advisor on all major business transactions, including acquisitions, divestitures and joint ventures.
- Decides on selection, retention, management and evaluation of all external counsel.
- Organises and manages the company's internal legal function and staff.
- Assumes ultimate responsibility for ensuring that the Commission conducts its business in compliance with applicable laws and regulations.
- Recommends the commencement of investigations of securities law violations, by the Commission.
- Conducts investigations pursuant to Section 150 of the SA 2012 as amended, into market abuse, market manipulation, insider trading and other securities market contraventions.

(11) Market Regulation and Surveillance

The mandate of the Market Regulation & Surveillance Division is derived from the wider functions of the Commission as contained in Section 6 of the Securities Act, 2012, as amended ("the Act"). This Division:

- Maintains surveillance over the local, regional and international financial sector, (especially in the securities market).
- Ensures that market participants comply with their continuous disclosure obligations and reviews compliance with prudential and reporting standards.
- Conducts inquiries into suspected illegal market manipulation and/or brokerage activities.
- Monitors the operations of all Self-Regulatory Organizations registered by the Commission in order to determine their compliance with the applicable Acts and Rules that govern their participation in the Trinidad and Tobago capital market.
- This Division's purpose is to monitor the local capital market with a view to fostering compliance with the Securities Act, 2012 as amended and relevant provisions of other subsidiary legislation.

In broad terms, the activities of the Division are geared towards monitoring and evaluating the actions of registered or non-registered entities/persons with a view to determining whether such actions contravened, is contravening or may contravene the Act, any By-laws or other guidance issued by the Commission.

UPDATED PUBLIC STATEMENT OF THE TRINIDAD AND TOBAGO SECURITIES AND
EXCHANGE COMMISSION 2025—CONTINUED

(12) Policy, Research and Planning

The Policy, Research and Planning Department is a centralised function which performs the following:

- Conducts research on matters related to the local and international securities markets;
- Collect and collates financial and statistical data on market activities;
- Utilises data intelligence to analyse and report on the economic and financial issues;
- Monitors the performance of market players and segments;
- Assesses the potential risks posed to the financial system stemming from activities;
- Provides planning and policy formulation capabilities to strengthen the Commission's capacity to discharge its functions.

The Department has a library that is considered a "Special Library" which houses a collection of books, materials and non-confidential information resources, physical and electronic, on the securities industry and related environments.

The Commission's Organisational Chart is readily available for public viewing on its website at <https://www.ttsec.org.tt/about-us/divisional-profiles/>

SECTION 7 (1) (a) (ii)

Categories of documents in the possession of the Commission

Files in respect of the following:

- (1) General administrative documents for the routine functions of the Commission
- (2) Personnel records on staff appointments etc.
- (3) Accounting and financial management
- (4) Financial records (cheques, vouchers, receipts etc.)
- (5) The procurement of supplies, services and equipment
- (6) Correspondence
- (7) Circular Letters
- (8) Legislation including the SA, By-Laws and Guidelines
- (9) Legal opinions and related matters, legal instruments
- (10) Minutes of Commission meetings
- (11) Annual reports
- (12) Prospectuses
- (13) Registers
- (14) Documents required to be filed by Registrants under the SA
- (15) Books, journals, pamphlets and brochures
- (16) Newspaper clippings

UPDATED PUBLIC STATEMENT OF THE TRINIDAD AND TOBAGO SECURITIES AND
EXCHANGE COMMISSION 2025—CONTINUED

- (17) Periodicals including the Securities Market Bulletin
- (18) Conferences hosted by the Commission
- (19) Approved list of Designated Foreign Jurisdictions (up-dated quarterly).
- (20) Commission policies and procedures
- (21) Customer Complaints
- (22) Customer-related policies, procedures reports and files
- (23) Regulatory Audits
- (24) News Releases, Public Statements etc

SECTION 7 (1) (a) (iii)

Materials prepared for public inspection

- (1) The Securities Act Chap. 83:02 of the Laws of the Republic of Trinidad and Tobago
- (2) Securities (General) By-Laws, 2015
- (3) The Securities Industry Act, 1995 and Securities Industry By-Laws, 1997
- (4) The Securities Industry (Take-Over) By-Laws, 2005
- (5) Guidelines to the market on specific matters concerning the securities industry
- (6) Annual Reports of Reporting Issuers
- (7) Annual Reports of the Commission
- (8) Prospectuses receipted by the Commission
- (9) Papers for public comment on:
 - Information Memorandum Guidelines
 - The regulatory treatment of Deferred Tax Annuity/Savings plans
- (10) Securities Industry (Hearing and Settlements) Practice Rules, 2008
- (11) Register of registrants
- (12) Register of securities
- (13) Inception, Interim and Final report of *Stikeman Elliott LLP* in respect of the review and revision of the SIA 1995 and related by-laws and associated legislation
- (14) Collective Investment Schemes (CIS) data and statistics
- (15) CIS By-Laws
- (16) Annual Procurement Plan

Materials may be inspected or obtained at the Commission's Library which is located at: Level 22, Tower D, International Waterfront Centre, 1 Wrightson Road, Port of Spain or through our website. You can also make inquiries by contacting us via:-

Telephone: 624-2991
Fax: 624-2995
E-mail: ttsec@ttsec.org.tt
Website: www.ttsec.org.tt

The library is opened from 8:00 a.m. – 4 p.m. with an hour closure between the hours of 11:00 a.m. to 12:00 p.m.

UPDATED PUBLIC STATEMENT OF THE TRINIDAD AND TOBAGO SECURITIES AND
EXCHANGE COMMISSION 2025—CONTINUED

SECTION 7 (1) (a) (iv)

Literature available by subscription: -

1. Annual Reports of the Commission; and
2. Legislation (SA and the Securities (General) By-Laws)

SECTION 7 (1) (a) (v)

Procedure to be followed for accessing documents from the Commission, when a Freedom of Information (“*FOI*”) request is made.

How to request information

- *General procedure*

Our policy is to answer all requests for information whether made orally or in writing. However, to have rights given to you by the FOIA, *you must make your request in writing*. The applicant must therefore complete the “**Request for access to official documents**” form, available at our reception desk, for information that is not readily available to the public.

Addressing Requests

To facilitate prompt handling of your request, please address it to the Designated Officer of the Commission (see **Section 7 (1) (a) (vi)** of the FOIA).

- *Details to be included in the request*

Applicants should provide details that will allow for ready identification and location of requested records. If you are not sure of how you should write your requests or what details to include, communicate with our Designated Officer.

Right of Access to Information – Except

In accordance with Section 12 of the FOIA, a person is not entitled to obtain, in accordance with the procedure provided for this Part, access to –

- (a) a document which contains information that is open to public access, as part of a public register or otherwise, in accordance with another written law, where that access is subject to a fee or other charge;
- (b) a document which contains information that is available for purchase by the public in accordance with arrangements made by the public authority;
- (c) a document that is available for public inspection in a registry maintained by the Registrar General or other public authority;
- (d) a document which is stored for preservation or safe custody, being a document which is a duplicate of a document of a public authority.

UPDATED PUBLIC STATEMENT OF THE TRINIDAD AND TOBAGO SECURITIES AND
EXCHANGE COMMISSION 2025—CONTINUED

Responding to requests

- **Retrieving documents**

The Commission is required to furnish copies of documents only when they are in our possession or we can retrieve them from storage.

- **Furnishing documents**

An applicant is entitled to copies of information in our possession, custody or power. We are required to furnish one copy of a document. If we cannot make a legible copy of a document to be released, we shall not attempt to construct it. Instead we will furnish the best copy possible and note the quality in our reply.

Please note that the Commission is not compelled to do the following:

- (a) Create new documents
- (b) Perform research for the applicant

Time Limits

- **General**

The Commission will determine whether to grant your request for access to information *as soon as practicable but no later than thirty calendar days* as required by Section 15 of the FOIA. If a decision is taken to grant access to the information requested, you will be provided with copies, or if you so request, permitted to inspect the document/s.

- **Fees and refunds**

The Freedom of Information (Fees and Charges) Regulations prescribe the fees to be incurred in making the documents available. Where such fees are payable, the applicant is entitled to receive the documents within seven days of payment of the relevant fee. If the Commission fails to provide the information within the seven day period, you are entitled to a refund of the fees paid, in addition to free access to the documents requested.

SECTION 7 (1) (a) (vi)

Officers at the Commission responsible for:

- (1) The initial receipt of an action upon notices under Section 10 of the FOIA;
- (2) Requests for access to documents under Section 13 of the FOIA; and
- (3) Applications for corrections of personal information under Section 36 of the FOIA.

UPDATED PUBLIC STATEMENT OF THE TRINIDAD AND TOBAGO SECURITIES AND
EXCHANGE COMMISSION 2025—CONTINUED

Designated Officer:

Ms. Glenis Potts

General Counsel

LEVEL 23, TOWER D

INTERNATIONAL WATERFRONT CENTRE

1 WRIGHTSON ROAD,

PORT OF SPAIN,

TRINIDAD, W.I.

Telephone: 624-2991

Fax: 624-2995

Email: Glenisp@ttsec.org.tt

Alternate:

Ms. Amala Cameron

Library Technician

LEVEL 23, TOWER D

INTERNATIONAL WATERFRONT CENTRE

1 WRIGHTSON ROAD,

PORT OF SPAIN,

TRINIDAD, W.I.

Telephone: 624-2991

Fax: 624-2995

Email: AmalaC@ttsec.org.tt

SECTION 7(1) (a) (vii)

Advisory Boards, Councils, Committees, and other bodies (where minutes/meetings are open to the public)

At this time, there are no bodies in the Commission that fall within the meaning of this Section of the FOIA.

SECTION 7 (1) (a) (viii)

Library/Reading Room Facilities

Information in the public domain can be accessed from the Commission's Library which is located at: Level 23, Tower D, International Waterfront Centre, 1 Wrightson Road, Port of Spain or via our website at www.ttsec.org.tt. You can also make enquiries by contacting us at 624-2991.

Office Hours:

8:00 am – 4:00 pm Monday to Friday.

UPDATED PUBLIC STATEMENT OF THE TRINIDAD AND TOBAGO SECURITIES AND
EXCHANGE COMMISSION 2025—CONTINUED

SECTION 8

Section 8: Certain documents to be available for inspection and purchase.

SECTION 8 (1)

Documents provided by the Commission for the use or guidance of its officers:

- (1) The Securities Act, Chap. 83:02 of the Laws of the Republic of Trinidad and Tobago;
- (2) Securities (General) By-Laws, 2015;
- (3) Securities (Collective Investment Schemes) Bye-Laws
- (4) The Securities Industry Act, 1995 and Securities Industry By-Laws, 1997;
- (5) Securities Industry (Take-Over) By-Laws, 2005;
- (6) The Securities Industry (Hearings and Settlements) Practice Rules, 2008;
- (7) Guidelines on specific matters concerning the securities industry;
- (8) Trinidad and Tobago Securities and Exchange Commission Tender Rules

Section 8 (1)(a)(i)

1. Guidelines for repurchase agreements (Repos)
2. Guidelines for disclosure of Price Sensitive information
3. Share Repurchase guidelines
4. Underwriting guidelines for issuers of Asset Backed securities
5. Prospectus Guidelines for Public Offerings
6. Amended Repurchase Agreements Guidelines
7. AML-CFT Guidelines
8. Guideline for De-Registration of Reporting Issuers and CIS
9. TTSEC Guidelines for the Tax Information Exchange Agreement (United States of America) Act
10. Material Change Guidance;
11. Market Guidance I - Contents of Constituent Documents for Collective Investment Schemes;
12. Market Guidance II- Promotion and Presentation Standards for Collective Investment Schemes;
13. Market Guidance III - Key Facts Statement for Collective Investment Schemes;
14. Market Guidance IV - Contents of The Termination Plan for Collective Investment Schemes

Section 8 (1) (a) (ii)

1. TTSEC Hearing and Settlement Rules;
2. TTSE Bond Trading Rules;
3. TTSE SME Rules;
4. Statement of Substance and Purpose Proposed Small & Medium Enterprises (SME) Mentorship Rules & Proposed Special Market Listing Requirement- SME Market Rule;

UPDATED PUBLIC STATEMENT OF THE TRINIDAD AND TOBAGO SECURITIES AND
EXCHANGE COMMISSION 2025—CONTINUED

5. Decisions / Settlements of the Commission may be obtained via the following link:
https://www.ttsec.org.tt/legal-framework/?_sft_category=decisions

Section 8 (1) (b)

The Commission is possession of no documents which meet this criteria.

SECTION 9

Section 9 – Statement of possession of certain documents to be published

Section 9 (1) (a)

A report or a statement containing the advice or recommendations, of a body or entity established within the TTSEC:

This section does not apply to the Commission at this time.

Section 9 (1) (b)

A report or statement or report containing the advice or recommendations, (1) of a body or entity established outside the TTSEC by or under 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 TTSE or to the responsible Minister of that public authority:

This section is not applicable to the Commission at this time.

Section 9 (1) 9 (c)

A report or statement containing the advice or recommendations, or an interdepartmental committee whose membership includes an officer of the TTSEC:

- *Evaluation Reports of Tenders 2020-2023*

Section 9 (1) (d)

A report or a statement containing the advice or recommendation of a committee established within the TTIFC to submit a report, provide advice, or make recommendations to the responsible Minister of the TTSEC or to another officer of the TTSEC who is not a member of the committee:

This section does not apply to the Commission at this time.

Section 9 (1) (e)

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

This section does not apply to the Commission at this time.

UPDATED PUBLIC STATEMENT OF THE TRINIDAD AND TOBAGO SECURITIES AND
EXCHANGE COMMISSION 2025—CONTINUED

Section 9 (1) (f)

A report prepared for the TTSEC by a consultant who is paid for preparing the report:

(1) Inception, Interim and Final Report of Stikeman Elliott LLP in respect of the review and revision of the SIA, 1995 and related By-Laws and associated legislation:

- (i) Inception report-November 18, 2002;
- (ii) Interim report-December 19, 2003; and
- (iii) Final report – November 30, 2004.

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.

This section is not applicable to the Commission at this time

Section 9 (1) (h):

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

- **Annual Reports – 2020-2023**
- **Strategic Plans 2020-2023**

Section 9 (1) (i)

A report containing final plans or proposals for the re-organization of the functions of the TTSEC, the establishment of a new policy, programme or project administered by the TTSEC, or the alteration of an existing policy, programme or project administered by the TTSEC, whether or not the plans or proposals are subject to approval by an officer, or the TTSEC, or another public authority, the responsible Minister of the TTSEC, or Cabinet:

- **Strategic Plans 2020-2023**

Section (9)(1)(j):

A statement prepared by the TTSEC and containing policy directions for the drafting of legislation:

This section is not applicable to the Commission at this time.

UPDATED PUBLIC STATEMENT OF THE TRINIDAD AND TOBAGO SECURITIES AND
EXCHANGE COMMISSION 2025—CONTINUED

A report of a test carried out withing the TTSEC on a product for the purpose of purchasing equipment:

This section is not applicable to the Commission at this time.

Section 9 (1) (l):

An environmental impact statement prepared within the TTSEC:

- TTSEC Indoor Air Quality Report for Levels 22 & 23 at Tower D as at September 2022; and
- TTSEC Indoor Air Quality Report for Levels 22 & 23 at Tower D as at November 2023.

Section 9 (1) (m):

A valuation report prepared for the TTSEC by a valuator, whether or not the valuator is an Officer of the TTSEC:

This section is not applicable to the Commission at this time.

631

REPUBLIC OF TRINIDAD AND TOBAGO

THE COMPANIES ACT, CHAP. 81:01

(Pursuant to section 429)

MEMBERS' WINDING UP

NOTICE OF APPOINTMENT OF LIQUIDATOR

NAME OF COMPANY: BERTRICH LIMITED

PRESENTED BY: CLIFFORD BLANCHE

To the Registrar,

I, Clifford Blanche, the undersigned hereby give you notice that I have been appointed the Liquidator of the BERTRICH LIMITED by Special Resolution of the Company, dated the 11th day of April, 2025.

CLIFFORD BLANCHE

Liquidator

632

REPUBLIC OF TRINIDAD AND TOBAGO

NOTICE OF FINAL MEETING OF

LOFTY TREES LIMITED

NOTICE IS HEREBY GIVEN that the Final Meeting of the Company will be held at 11–13, Victoria Avenue, Port-of-Spain, Trinidad and Tobago on 9th May, 2025 at 9.00 a.m. to consider the following matters:

- (i) Laying of Final accounts detailing the winding up procedure and how the assets of the Company were disposed.

Dated this 3rd day of April, 2025.

BRIAN HACKETT

Liquidator

633

REPUBLIC OF TRINIDAD AND TOBAGO

NOTICES OF FINAL MEETING OF

TENETIC LIMITED

NOTICE IS HEREBY GIVEN that the Final Meeting of the Company will be held at 11–13, Victoria Avenue, Port-of-Spain, Trinidad and Tobago on 9th May, 2025 at 9.00 a.m. to consider the following matters:

- (i) Laying of Final accounts detailing the winding up procedure and how the assets of the Company were disposed.

Dated this 3rd day of April, 2025.

BRIAN HACKETT

Liquidator

634

LIQUOR LICENSING SESSION

(Liquor Licences Act, Chap. 84:10)

BOROUGH OF ARIMA

NOTICE is hereby given that by lawful authority under the provision of the Liquor Licences Act, Chap. 84:10 (18), the Liquor Licensing Committee for the Magisterial District of Arima has appointed WEDNESDAY THE 30TH DAY OF APRIL, 2025 at 1.00 o'clock in the afternoon at the Arima District Court as the day, hour and place at which a Special Licensing Session will be held to hear and determine the application of Maynard Brassey of No. 2 Third Avenue, Oropune Gardens, Horquetta, Piarco, for a Certificate authorizing the said Maynard Brassey to carry on the trade of a Spirit Retailer in respect of premises situated at No. 1 Broadway, Arima.

Dated this 16th day of April, 2025 at the Arima District Court.

*Secretary, Licensing Committee**Borough of Arima*