

77 Hill, Gregory

78 Hill, Gregory

Ansa Merchant Bank Limited

evelopment Finance Limited

Ansa Securities Limited

Advising, Brokering and Underwriting

Advising, Brokering and Underwriting

Advising and Brokering

156 Ramkhelawan, Subhas

157 Ramkissoon, Baldath

Bourse Brokers Limited

Republic Bank Limited

Infinity Financial Engineering Limited

# TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

# **LIST OF REGISTRANTS AS AT 31ST MARCH 2017**

The Trinidad and Tobago Securities and Exchange Commission ("the Commission") is responsible for ensuring that the securities industry 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 Organizations.** 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?

Registration 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 the securities being distributed. **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 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 his/her business. This information is also available for public viewing at the Commission.

However, the provision of information does not end after the initial registration. Reg-

istrants 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.

# **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 his/her client. When acting as a dealer, a Broker-Dealer executes for his/her firm's own account

#### Investment Advise

An individual or firm that advises clients on investment in, or the purchase or sale of securities on a professional basis.

# · Registered Representative

The Home Mortgage Bank

West Indies Stockbrokers Limited

Trinidad and Tobago Unit Trust Corporation

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.

### Reporting Issuer

A corporation that has issued or proposes to distribute securities to the public and is subject to the continuous disclosure requirements of the Commission.

# Self-Regulatory Organization

A non-governmental organization 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.

# Sponsored Broker-Dealer

An individual who is employed by a Brokerage firm from a foreign jurisdiction. This individual aligns himself/ herself with a local Broker-Dealer who sponsors his/her registration with the Commission. A Sponsored Broker-Dealer that is registered with the Commission can conduct securities business in Trinidad and Tobago for a maximum of 90 days in a calendar year.

#### Underwrite

A company that arranges for the issuance or distribution of securities and/or agrees to purchase any unsold securities thereby guaranteeing full subscription.

In accordance with the requirements of Section 52(8) of the Securities Act, 2012, the Commission has provided a listing of its Broker-Dealers, Investment Advisers, Underwriters, Self-Regulatory Organizations and Reporting Issuers as at March 31st, 2017 as indicated on the following pages.

ment and financial position) as well as the securities being distributed. The Commission ensures that However, the provision of information does not end after the initial registration. Reg- ment decision.											
REGISTERED REPRESENTATIVES			REGISTERED REPRESENTATIVES			REGISTERED REPRESENTATIVES				INVESTMENT ADVISERS	
NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER-DEALER	TYPE OF REGISTERED REPRESENTATIVE	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER-DEALER	TYPE OF REGISTERED REPRESENTATIVE	NAME OF REGISTERED REPRESENTATIVE			TYPE OF REGISTERED REPRESENTATIVE	1 Burris, Stephen 2 Clewett, Nigel 3 FCL Financial Limited	
	Guardian Asset Management and Investment Services Limited		80 Ho Sing Loy, Ameen	RBC Merchant Bank (Caribbean) Limited	Brokering	159 Ramlal, Dereck	First Citizens Bank Limited		Advising	4 Guardian Life of the Caribbean Limited	
2 Agostini, Chantal 3 Akan, Myrnelle	Guardian Asset Management and Investment Services Limited SHBL Investments Company Limited	Advising and Brokering	81 Holder, Omar 82 Hosam-Israel, Stacv	Trinidad and Tobago Unit Trust Corporation Guardian Asset Management and Investment Services Limited	Advising and Brokering	160 Ramlogan, Rawle 161 Ramnath-Singh, Gail	The Home Mortgage Bank Caribbean Stockbrokers Limited		Advising, Brokering and Underwriting Associate	5 Infinity Financial Engineering Limited 6 Marguis Portfolio Managers Limited	
	KCL Capital Market Brokers Limited	Advising Advising, Brokering and Underwriting	83 Hosein, Narisa	Guardian Asset Management and Investment Services Limited		162 Ramroop, Diana	First Citizens Investment Services I	Limited	Advising	7 Mondial (Trinidad) Limited	
	JMMB Investments (Trinidad and Tobago) Limited	Brokering	84 Howell, Brendon	Republic Bank Limited	Brokering	163 Ramsahai, Rickhi	West Indies Stockbrokers Limited	2	Brokering	8 Narine, Ian Saleem	
6 Ali, Christopher	Guardian Asset Management and Investment Services Limited		85 Hunte, Ricardo	Guardian Asset Management and Investment Services Limited		164 Rawlins Bethel, Avionne	Guardian Asset Management and I		Associate	9 RBC Investment Management (Caribbean) Limited	
7 Ali, Salma 8 Alleyne, Harold	West Indies Stockbrokers Limited Caribbean Stockbrokers Limited	Brokering Brokering and Underwriting	86 Inniss-Bernard, Judy Charis 87 Jackman, Janice	Republic Securities Limited Trinidad and Tobago Unit Trust Corporation	Associate Advising and Brokering	165 Roberts, Steve 166 Rochard, Wayne	Republic Wealth Management Limi First Citizens Bank Limited		Advising Associate	10   Republic Wealth Management Limited   11   SHBL Investments Company Limited	
9 Antoine. Ru Ann	First Citizens Investment Services Limited	Advising	88 Jackman-Slater, Ihsan	Ansa Merchant Bank Limited	Brokering	167 Roopchand, Alicia	JMMB Investments (Trinidad and To		Advising	, ,	
10 Avey, Richard	Guardian Life of the Caribbean Limited	Advising	89 Jagbirsingh, Candace	RBC Merchant Bank (Caribbean) Limited	Underwriting	168 Sabga, Anthony Nigel	Ansa Merchant Bank Limited	0 /	Associate	SPONSORED BROKER-DEALERS	
11 Awai, Gary	Development Finance Limited	Advising, Brokering and Underwriting	90 Jagroop, Vishwatee	First Citizens Investment Services Limited	Brokering	169 Salazar, Krystal	Scotia Investments (Trinidad and To	Tobago) Limited	Brokering	NO. NAME OF SPONSORED BROKER-DEALER	ACCCULATED DROWED DEALER
12 Babb, Tammie 13 Bain, Asha	FCL Financial Limited Guardian Asset Management and Investment Services Limited	Advising d Associate	91 James, Carolyn 92 James, Michael	Bourse Securities Limited Guardian Asset Management and Investment Services Limited	Brokering Associate	170 Salloum, Christiane Michelle 171 Salvary, Brent	Sheppard Securities Limited KSBM Asset Management Limited	1	Advising Advising and Brokering	NO. NAME OF SPONSORED BROKER-DEALER	ASSOCIATED BROKER-DEALER
14 Balgobin, Robert	KSBM Asset Management Limited		93 Jogie, Andy	RBC Merchant Bank (Caribbean) Limited	Brokering and Underwriting	172 Samodee, Keisha	First Citizens Investment Services I		Associate	1 Cusimano, Paul	Scotia Investments (Trinidad and Tobago) Limited
15 Balroop, Meera		Brokering	94 Johnson, Alvin	Caribbean Stockbrokers Limited	Brokering and Underwriting	173 Samuel, Joanne	First Citizens Asset Management L		Advising	2 George, Christopher	Scotia Investments (Trinidad and Tobago) Limited
	Citicorp Merchant Bank Limited JMMB Securities (T&T) Limited	Brokering Associate	95 Julien, Jason 96 Kalicharan, Ramcharan	First Citizens Bank Limited KSBM Asset Management Limited	Brokering Advising and Brokering	174 Saunders, Sean 175 Scott, Deyson	Trinidad and Tobago Unit Trust Cor Trinidad and Tobago Unit Trust Cor		Brokering Advising	3 Jenkins, Paul 4 Juarez, Yuly	Scotia Investments (Trinidad and Tobago) Limited Scotia Investments (Trinidad and Tobago) Limited
18 Bell-Smythe, Nicholas	Development Finance Limited	Associate	97 King, Dalia Patrice	Firstline Securities Limited	Advising and Brokering Advising, Brokering and Underwriting	176 Seebrath, Shawnee	Guardian Asset Management and I		Associate	5 Stollmeyer, Scott	Scotia Investments (Trinidad and Tobago) Limited Scotia Investments (Trinidad and Tobago) Limited
19 Bharath, Renata	Bourse Brokers Limited	Associate	98 King, Keith Michael	Firstline Securities Limited	Advising, Brokering and Underwriting	177 Seepaul, Diana	First Citizens Bank Limited	invocation convioco Emitod	Advising	6 Vandewater, Thomas	Scotia Investments (Trinidad and Tobago) Limited
20 Bhimull, Chenise	Sheppard Securities Limited	Associate	99 King, Maxine Cheryl	Firstline Securities Limited	Brokering and Advising	178 Seepersad, Bliss	Guardian Asset Management and I		Advising and Brokering		NO
21 Boissiere, Andrew 22 Boodram, Rodnev	RBC Merchant Bank (Caribbean) Limited Guardian Asset Management and Investment Services Limited	Underwriting  d Advising and Brokering	100 Lakhan, Jagdesh 101 Lalla, Jeremy	Infinity Financial Engineering Limited Guardian Asset Management and Investment Services Limited	Advising Advising and Brokering	179 Seepersad, Shane 180 Shah, Reaaz	First Citizens Investment Services I JMMB Bank (T&T) Limited		Brokering Advising, Brokering and Underwriting	SELF-REGULATORY ORGANIZATIO	NS
23 Bridgewater, Joanne Cheryl	Republic Securities Limited	Brokering	102 Lambert, Daniel	FCL Financial Limited	Advising	181 Sheppard, Alan Michael	Sheppard Securities Limited		Advising	1 The Trinidad and Tobago Central Depository Limited	
24 Bridglal, Anuradha	First Citizens Bank Limited	Advising	103 Law, Shinelle	First Citizens Investment Services Limited	Associate	182 Sheppard, George David	Sheppard Securities Limited		Brokering	2 The Trinidad and Tobago Stock Exchange Limited	
25 Camacho, James	Sagicor Life Incorporated	Underwriting	104 Law, Suein	Republic Wealth Management Limited	Advising	183 Silva,Loise	Guardian Asset Management and I		Associate		
26   Carter, Ronald 27   Carter, Ronald	JMMB Investments (Trinidad and Tobago) Limited JMMB Securities (T&T) Limited	Brokering and Underwriting Brokering and Underwriting	105 Leggard, Kaffi 106 Leons, Keron	Sheppard Securities Limited First Citizens Investment Services Limited	Associate Associate	184 Singh, Gia 185 Smith, Karen	First Citizens Investment Services I		Advising Advising	REPORTING ISSUERS	
28 Castagne, John Paul C	Sheppard Securities Limited	Associate	107 Lewis, Phillip Andrew	First Cluzens investment Services Limited Firstline Securities Limited	Brokering and Underwriting	186 Somair, Sean	RBC Investment Management (Car		Advising		
29 Castillo-Simeon, Natalie	Trinidad and Tobago Unit Trust Corporation	Advising	108 Mac Quan, Keisha	First Citizens Investment Services Limited	Advising	187 Sookdeosingh, Vicky	Guardian Asset Management and I		Advising and Brokering	1 Add Venture Capital Fund Limited	43 National Maintenance Training and Security Company Limited
30 Chamely, Anna	Guardian Asset Management and Investment Services Limited		109 Mahabirsingh, Margaret	First Citizens Investment Services Limited	Advising	188 Sooknanan, Rishi	Citicorp Merchant Bank Limited		Brokering	2   Agostini's Limited 3   Airports Authority of Trinidad and Tobago	44 NCB Financial Group Limited 45 Nestle Trinidad and Tobago Limited
31 Chang, Andrew 32 Chen, Nancy		Brokering Brokering	110 Mahabirsingh, Sherma 111 Maharaj, Aneela	First Citizens Investment Services Limited Guardian Asset Management and Investment Services Limited	Brokering Associate	189 Sookoo, Anganie 190 Sookoo, Jennifer	JMMB Investments (Trinidad and To JMMB Investments (Trinidad and To		Brokering Advising	4 Angostura Holdings Limited	46 One Caribbean Media Limited
33 Chen, Nicholas	First Citizens Bank Limited	Associate	112 Maingot, Danielle	Murphy Clarke Financial Limited	Advising	191 St. Louis, Leslie	First Citizens Brokerage and Advisor		Brokering	5 Angostura Limited	47 Point Lisas Industrial Port Development Corporation Limited
34 Chin Wing, Deneika	First Citizens Investment Services Limited	Advising	113 Majid, Fareesha	Murphy Clarke Financial Limited	Brokering	192 Stephens, Gerard	JMMB Investments (Trinidad and To	Tobago) Limited	Brokering	6 ANSA McAL Limited	48 Port Authority of Trinidad and Tobago
35 Chin, lan	Ansa Merchant Bank Limited	Advising and Brokering	114 Manmohan, Adrian	West Indies Stockbrokers Limited	Brokering	193 Sukhu, Rochelle	First Citizens Bank Limited		Advising	7 Ansa Merchant Bank Limited 8 Berger Paints Trinidad Limited	49 Prestige Holdings Limited 50 Public Transport Service Corporation
36   Chin, Ian 37   Clarke, Andre	Ansa Securities Limited Trinidad and Tobago Unit Trust Corporation	Advising and Brokering Advising and Brokering	115 Manohar, Seema 116 Mansoor, Natalie Marie	Bourse Brokers Limited RBC Investment Management (Caribbean) Limited	Associate Advising	194 Tang Nian, Stephen 195 Telesford-Pierre, Trudie	RBC Merchant Bank (Caribbean) L KCL Capital Market Brokers Limited		Brokering Advising	9 BWIA West Indies Airways Limited	51 RBC Financial (Caribbean) Limited
38 Clarke, John Peter	Republic Bank Limited	Underwriting	117 Marajh, Adita	Guardian Asset Management and Investment Services Limited	1 3	196 Thomas, Rowland Marc	Guardian Asset Management and I		Advising Brokering and Underwriting	10 Caroni (1975) Limited	52 RBC Merchant Bank (Caribbean) Limited
39 Clarke, Leslie	Murphy Clarke Financial Limited	Brokering and Underwriting	118 Marcus, Kriss	Development Finance Limited	Advising, Brokering and Underwriting	197 Thomas, Stephen	Citicorp Merchant Bank Limited		Brokering and Underwriting	11 CIBC Private Client Fund Limited	53 RBC Royal Bank (Trinidad and Tobago) Limited
40 Clement, Esmond	Guardian Asset Management and Investment Services Limited	d Advising and Brokering	119 Mark, Sekou 120 Martinez, Miguel	Trinidad and Tobago Unit Trust Corporation	Advising	198 Thompson, Leah Kimberley 199 Titus, Heather	Sheppard Securities Limited	/Trinided 0 Taberra \ 1 insited	Brokering	12 Citibank (Trinidad and Tobago) Limited 13 Citicorp Merchant Bank Limited	54 RBTT Finance Limited 55 Readymix (West Indies) Limited
41   Clifton, R. Emile 42   Coonai, Rvan	Trinidad and Tobago Unit Trust Corporation West Indies Stockbrokers Limited	Advising and Brokering Brokering	120 Martinez, Miguel 121 McKell, Romesh	Citicorp Merchant Bank Limited First Citizens Investment Services Limited	Underwriting Advising	200 Tom Yew. Katrine	FirstCaribbean International Bank ( Guardian Asset Management and I			14 Development Finance Limited	56 Republic Bank Limited
43 Crooks, Victoria Marie		Brokering	122 Mohammed, Amani	First Citizens Investment Services Limited	Associate	201 Trestrail, Robert	Sagicor Life Incorporated	invocation convioco Emitod	Brokering	15 Dynamic Equity Fund II Limited	57 Republic Financial Holdings Limited
44 Darbasie, Karen	First Citizens Bank Limited	Brokering	123 Mohammed, Camille	First Citizens Investment Services Limited	Associate	202 Valley, Kerwyn	KCL Capital Market Brokers Limited		Advising, Brokering and Underwriting	16 Dynamic Equity Venture Fund Limited 17 Education Facilities Company Limited	58 Royal Bank of Canada 59 Royal Skandia Life Assurance Limited
45   Dasrathsingh, Jamie 46   De Gale-Harry, Ijeoma	JMMB Bank (T&T) Limited Trinidad and Tobago Unit Trust Corporation	Advising, Brokering and Underwriting	124 Mohammed, Nisha 125 Mohammed, Reshard	FirstCaribbean International Bank (Trinidad & Tobago) Limited Scotia Investments (Trinidad and Tobago) Limited	Brokering and Underwriting Brokering	203 Valley, Kurt 204 Van Lowe, Amoy	First Citizens Asset Management L Trinidad and Tobago Unit Trust Cor		Brokering Advising	18 First Citizens Asset Management Limited	60 Sagicor Financial Corporation Limited
47 De Montrichard-Carter, Tracy	Marguis Portfolio Managers Limited	Advising and Brokering Advising	126 Mohammed, Ronald	Bourse Securities Limited	Associate	205 Verguet, Thomas	Firstline Securities Limited	orporation	Advising Brokering and Underwriting	19 First Citizens Bank Limited	61 Sagicor Funds Incorporated
		Brokering	127 Mohammed, Salisha	Guardian Asset Management and Investment Services Limited		206 Vieira, Lisa	SHBL Investments Company Limite	ted	Associate	20 First Citizens Investment Services Limited	62 Scotia Caribbean Income Fund Inc.
49 Dillon, Genevieve	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering	128 Mohammed, Shaun	First Citizens Brokerage and Advisory Services Limited	Brokering	207 Vincent, Trisha	First Citizens Asset Management L		Advising	21 FirstCaribbean International Bank Limited 22 Flavorite Foods Limited	63 Scotia Investments Jamaica Limited 64 Scotiabank Short-Term Income Fund Inc.
50 Dindial, Leanna 51 Dookie, Dave	Guardian Asset Management and Investment Services Limited First Citizens Investment Services Limited	d Associate Underwriting	129 Mongroo, Nirmala 130 Monsegue, Tyron	First Citizens Investment Services Limited Capital Markets Elite Group Limited	Advising Brokering	208 Wears, Jacqueline 209 Webster-Villafana, Akisha	KCL Capital Market Brokers Limited Trinidad and Tobago Unit Trust Cor		Advising Associate	23 FNCU Venture Capital Company Limited	65 Scotiabank Trinidad and Tobago Fixed Income Fund Inc.
52 Edwards, Desmond	Trinidad and Tobago Unit Trust Corporation	Advising	131 Montrichard, Gene	Marquis Portfolio Managers Limited	Advising	210 Wells-Fraser, Bernadette	JMMB Securities (T&T) Limited		Brokering	24 Fortress Caribbean High Interest Fund Limited	66 Scotiabank Trinidad and Tobago Growth Fund Inc.
53 Evans, Richard	Trinidad and Tobago Unit Trust Corporation	Brokering	132 Moore, Carlene	First Citizens Bank Limited	Advising	211 Whiskey, Tennille	Trinidad and Tobago Unit Trust Cor	orporation	Advising and Brokering	25 Fortress Caribbean Property Fund Limited SCC 26 Fortress Mutual Fund Limited	67 Scotiabank Trinidad and Tobago Limited 68 St. Christopher Air and Sea Ports Authority
54 Eve, Patricia Albertina	Republic Securities Limited	Associate	133 Morris, Akiya	First Citizens Investment Services Limited	Advising	212 Whiteman, Sharon	Trinidad and Tobago Unit Trust Cor		Advising and Brokering	27 Fortress OAM Overseas Fund Limited	69 St. Kitts Urban Development Corporation Limited
55 Fadahunsi, Lai 56 Ferguson, Andrew	SHBL Investments Company Limited Maritime Capital Limited	Advising Advising, Brokering and Underwriting	134 Mullings, Donavan 135 Mungal, Denise	Bourse Brokers Limited Guardian Asset Management and Investment Services Limited	Brokering Advising and Brokering	213 Wilson, Jonathan 214 Wilson-Mano, Linda	Firstline Securities Limited Trinidad and Tobago Unit Trust Cor		Advising, Brokering and Underwriting Advising	28 Furness Trinidad Limited	70 Telecommunications Services of Trinidad and Tobago Limited
57 Ferreira, Giselle	JMMB Investments (Trinidad and Tobago) Limited	Advising	136 Murrell, Nicole	Guardian Asset Management and Investment Services Limited		215 Woo, Brian	First Citizens Bank Limited	rporation	Underwriting	29 GraceKennedy Limited	71 The Home Mortgage Bank
58 Ferreira, Greg	First Citizens Asset Management Limited	Brokering	137 Oxley-Fullerton, Judy	First Citizens Asset Management Limited	Advising	216 Wynter, Paul	Guardian Asset Management and I		Advising and Brokering	30 Guardian Asset Management and Investment Services Limited 31 Guardian Holdings Limited	72 The National Football Stadium Company Limited 73 The Sports Company of Trinidad and Tobago Limited
59   Ford, Brent 60   Ford, Brent	Guardian Group Trust Limited	Advising, Brokering and Underwriting	138 Pagee, Gillian 139 Pascal, Anand	First Citizens Investment Services Limited Guardian Life of the Caribbean Limited	Advising Advising	217 Young, Angus Peter 218 Youseff, Daniel	NCB Global Finance Limited First Citizens Investment Services I		Advising, Brokering and Underwriting Advising	32 Guardian Media Limited	73 The Sports Company of Hillidad and Tobago Elimited 74 The West Indian Tobacco Company Limited
61 Forde, Maria	Guardian Asset Management and Investment Services Limited Trinidad and Tobago Unit Trust Corporation	Advising and Brokering	140 Pasea, Christian	Sagicor Life Incorporated	Brokering	·		s Limited	Advising	33 JMMB Bank (T&T) Limited	75 Tourism & Industrial Development Company of Trinidad & Tobago Limited
62 Frazer, Brian	Scotia Investments (Trinidad and Tobago) Limited	Brokering	141 Patrick, Cole	Firstline Securities Limited	Brokering and Underwriting	BROKER-DEALERS				34 JMMB Group Limited	76 Trinidad and Tobago Housing Development Corporation
63 Gajadhar, Kerry	Caribbean Stockbrokers Limited	Associate	142 Pemberton, Tiffany	Development Finance Limited	Associate	4 Area Manhart Dark Limited		10 IMMD Investments (To	interior and the control of	35 L.J. Williams Limited 36 Massy Holdings Limited	<ul><li>77 Trinidad and Tobago Mortgage Finance Company Limited</li><li>78 Trinidad and Tobago NGL Limited</li></ul>
64 Gajadhar, Usha 65 Gatt, Gordon Anthony	The Home Mortgage Bank Sheppard Securities Limited	Brokering and Underwriting Advising	143 Pereira, Marc Richard 144 Persad, Mitoonlal	Sheppard Securities Limited RBC Merchant Bank (Caribbean) Limited	Advising Brokering	1 Ansa Merchant Bank Limited 2 Ansa Securities Limited		18 JMMB Investments (Tr 19 JMMB Securities (T&T		37 Mora Ven Holdings Limited	79 Trinidad and Tobago Unit Trust Corporation
66 Gill, Sherwin M.	Trinidad and Tobago Unit Trust Corporation	Advising	145 Phelps, Alesha	Sagicor Life Incorporated	Underwriting	3 Bourse Brokers Limited		20 KCL Capital Market Br		38 National Commercial Bank Jamaica Limited	80 Trinidad Cement Limited
67 Golikeri, Amol	First Citizens Asset Management Limited	Brokering	146 Pollard Jnr., Duke	Capital Markets Elite Group Limited	Advising and Brokering	4 Bourse Securities Limited		21 KSBM Asset Managen	ment Limited	39 National Enterprises Limited	81 Unilever Caribbean Limited
68 Gooden, Steven O'Neil	NCB Global Finance Limited	Advising, Brokering and Underwriting	147 Pounder, Danielle	Guardian Asset Management and Investment Services Limited		5 Capital Markets Elite Group Li		22 Maritime Capital Limite		40 National Flour Mills Limited 41 National Infrastructure Development Company Limited	82 Urban Development Corporation of Trinidad & Tobago Limited 83 UTC (Cayman) SPC Limited
69 Gordon, Winston Earl 70 Gosein, Godfrey Robert	Firstline Securities Limited Republic Securities Limited	Brokering and Underwriting Brokering	148 Prayman, Navita 149 Prevatt, Osmond Cleaveland	First Citizens Asset Management Limited The Home Mortgage Bank	Associate	6 Caribbean Stockbrokers Limite 7 Citicorp Merchant Bank Limite		23 Murphy Clarke Financi 24 NCB Global Finance L		42 National Insurance Property Development Company Limited	84 Water & Sewerage Authority
70 Gosein, Godfrey Robert 71 Grannum, Jonathan	Republic Securities Limited Guardian Asset Management and Investment Services Limited	1 - 3	150 Prince, Jamila	Guardian Asset Management and Investment Services Limited	Advising, Brokering and Underwriting Associate	8 Development Finance Limited		25 RBC Merchant Bank (		+ + + + + + + + + + + + + + + + + + + +	<b>V y</b>
72 Guyadeen, Michael	Firstline Securities Limited	Advising, Brokering and Underwriting	151 Rajkumar, Anil	Guardian Asset Management and Investment Services Limited	Advising and Brokering	9 First Citizens Asset Managem		26 Republic Bank Limited		WANT TO	KNOW MORE?
73 Guyadeen-Gosine, Karen	Trinidad and Tobago Unit Trust Corporation	Advising	152 Rajkumar, Keisha	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering	10 First Citizens Bank Limited		27 Republic Securities Lir 28 Sagicor Life Incorporat		WANT TO	
74   Hackett-Murray, Desiree 75   Hernandez, Alicia	Trinidad and Tobago Unit Trust Corporation Firstline Securities Limited	Advising Advising and Brokering	153 Ramdeen, Leon 154 Ramkhelawan, Sarodh	Guardian Group Trust Limited Bourse Securities Limited	Advising, Brokering and Underwriting Brokering	11   First Citizens Brokerage and A 12   First Citizens Investment Serv		28 Sagicor Life Incorporation 29 Scotia Investments (Tr			
76 Hernandez, Jody	Firstline Securities Limited	Advising	155 Ramkhelawan, Subhas	Bourse Securities Limited	Brokering and Underwriting	13 FirstCaribbean International B	Bank (Trinidad & Tobago) Limited	30 Scotiabank Trinidad ar	nd Tobago Limited ^	For additional information, you are	invited to contact, the Trinidad and Tobago
77 Hill Gregory	Ansa Merchant Bank Limited	Advising Brokering and Underwriting	156 Ramkhelawan, Suhhas	Bourse Brokers Limited	Brokering and Underwriting	14 Firstline Securities Limited		31 Sheppard Securities Li	imited	1 0	

Guardian Group Trust Limited

JMMB Bank (T&T) Limited

Guardian Asset Management and Investment Services Limited

Brokering and Underwriting

Brokerina

Advising

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

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