



TTSEC-EXEC-21034-CH-5/6/2023

June 6, 2023

Circular re: Broker-Dealers, Investment Advisers, Underwriters and Self-Regulatory Organizations (SRO)
Registered Under The Securities Act, Chap 83:02 Of The Laws Of The Republic Of Trinidad And Tobago

Dear Registrants/SRO's,

Amendments to the Micro and Macro-Prudential Reporting Framework (MMRF) forms for information on Client Assets Managed

The Trinidad and Tobago Securities and Exchange Commission (“the Commission”) has amended the Clients Assets Managed fields of the Micro and Macro-Prudential Reporting Framework (MMRF) forms. These changes were necessary to provide a clear distinction between Clients Assets managed on behalf of Collective Investment Schemes, Private Wealth Clients and Other Clients in the securities market.

Amendments to the Client Assets Managed fields were incorporated within the **Cover Sheet** and **Balance Sheet (MMRF01) only** and are as follows:

1. Cover Sheet:

Line item amended:

- Number of Clients (exclusive of Private Wealth Clients)

Additional line item:

- Number of Private Wealth Clients

Trinidad and Tobago Securities and Exchange Commission

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2. Balance Sheet (MMRF 01):

Additional line items:

- 1600 Client Assets Managed for Private Wealth Clients (ref #1601-1613 are subcategories under this field)
- 1614 Total Client Assets Managed for Private Wealth Clients
- 1620 Total Client Assets Managed for Collective Investment Schemes
- 1630 Total Client Assets Managed for Other Clients
- 1640 Total Clients Assets Managed

The Commission will implement the amended MMRF forms for the **quarter ending June 30, 2023**. Should you have any further questions or feedback, please contact the MMRF team at **mmrf@ttsec.org.tt**.

Please be guided accordingly.

Yours sincerely,

Lystra Lucillio
Chief Executive Officer (Ag.)

Trinidad and Tobago Securities and Exchange Commission

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