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**CIRCULAR LETTER ISSUED TO**

*BROKER DEALERS, UNDERWRITERS, INVESTMENT ADVISERS  
REGISTERED UNDER SECTION 51(1) OF THE SECURITIES ACT, CHAP 83:02*

Further to publication of Trinidad and Tobago's 3<sup>rd</sup> National Risk Assessment Report ("3<sup>rd</sup> NRA") the Trinidad and Tobago Securities and Exchange Commission ("the Commission"), this is to advise that the Government of the Republic of Trinidad and Tobago has published the National AML/CFT/CPF Policy & Strategy ("NP&S").

The NP&S considers the risks identified in the 3<sup>rd</sup> NRA and sets out the country's 2026-2029 strategic objectives and establishes a risk-based, coordinated structure for combatting money laundering ("ML"), terrorist financing ("TF"), and proliferation financing ("PF") risks. Registrants are advised that the NP&S be read in conjunction with the 3<sup>rd</sup> NRA and used as guidance to ensure AML/CFT/CPF risk management frameworks are aligned with the strategic objectives of the NP&S, to mitigate the ML/TF/PF risks identified in the NP&S.

In this regard, and where applicable, registrants are required to table and discuss the NP&S at its next meeting of the Board of Directors, after which, the Corporate Secretary must submit to the Commission, within one (1) week of the Board meeting, a signed certification confirming this was completed.

The NP&S can be accessed on the Commission's website: [TT-National-AML.CFT\\_.CPF-Policy- and-Strategy\\_updated-Dec-2025.pdf](#).

Thank you for your cooperation.

Yours sincerely,

**Kester Guy**  
**Chief Executive Officer**

Trinidad and Tobago Securities and Exchange Commission