



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

**In the Matter of the Contravention of By-Law 40
of the Securities (General) By-Laws, 2015**

By

B3V Holdings Limited

ORDER OF THE COMMISSION

Dated this 19th day of December, 2022

WHEREAS By-Law 40 of the Securities (General) By-Laws, 2015 (“the By-Laws”) requires a Broker-Dealer to file its Interim Financial Statement with the Commission within the prescribed timeframe;

AND WHEREAS B3V Holdings Limited (“the Respondent”) filed its Interim Financial Statement for the financial period ended June 30, 2022, with the Commission past the due date;

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of By-Law 40 of the By-Laws by failing to file the aforementioned document within the prescribed timeframe;

AND WHEREAS the Respondent acknowledged that it was in contravention of By-Law 40 of the By-Laws and entered into a Settlement Agreement with the Staff (“the Settlement Agreement”);

AND WHEREAS pursuant to the Settlement Agreement, which was approved by the Settlement Panel and the Board of Commissioners, the Respondent shall pay the total sum of Six Thousand Four Hundred Trinidad and Tobago Dollars (TT\$6,400.00) to the Commission within twenty-eight (28) days of the making of this Order;

AND UPON the Board of Commissioners considering the submissions in the Settlement Agreement dated the 2nd November 2022, and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.

IT IS HEREBY ORDERED THAT:

1. B3V Holdings Limited (“the Respondent”) has contravened By-Law 40 of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay an administrative fine in the total sum of Six Thousand, Four Hundred Trinidad and Tobago Dollars (TT\$6,400.00) to the Commission, within twenty-eight (28) days of the making of this Order; and
3. This Order shall be published in the Trinidad and Tobago Gazette and posted on the Commission’s website. A notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.

BY ORDER OF THE COMMISSION