



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

**In the Matter of the Contravention of Section 136(2) of the Securities Act Chapter 83:02 of
the Laws of the Republic of Trinidad and Tobago**

By

Elliot G. Warner

ORDER OF THE COMMISSION

Dated this 17th day of August, 2021

WHEREAS Section 136(2) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) imposes certain obligations on persons connected to Reporting Issuers;

AND WHEREAS Elliot G. Warner (“**the Respondent**”), being a person connected to Massy Holdings Limited, filed two (2) Form No. 22 Notifications with the Trinidad and Tobago Securities and Exchange Commission (“the Commission”) past the due dates of June 15, 2020 and June 17, 2020;

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that he was in contravention of Section 136(2) of the Act by failing to file the aforementioned documents with the Commission within the prescribed timeframes;

AND WHEREAS the Respondent acknowledged that he was in contravention of Section 136(2) of the Act by filing the two (2) Form No. 22 Notification with the Commission past the aforementioned due dates;

AND WHEREAS the Respondent entered into a settlement agreement with the Staff (“the Settlement Agreement”) and the Settlement Agreement was approved by the Settlement Panel and the Board of Commissioners;

AND WHEREAS pursuant to the Settlement Agreement the Respondent shall pay to the Commission the sum of Twenty Three Thousand, Four Hundred Trinidad and Tobago Dollars (TT\$23,400.00) within twenty-eight days of the making of this Order;

AND UPON the Board of Commissioners considering the submissions in the Settlement Agreement dated May 24, 2021, 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. Elliot G. Warner (“the Respondent”) has contravened Section 136(2) of the Act;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the sum of Twenty-Three Thousand, Four Hundred Trinidad and Tobago Dollars (TT\$23,400.00) 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