



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

**In the Matter of the Contravention of Section 66(1) of the Securities Act Chapter 83:02 of
the Laws of the Republic of Trinidad and Tobago**

By

First Citizens Investment Services Limited

ORDER OF THE COMMISSION

Dated this 2nd day of August, 2022

WHEREAS Section 66(1) of the Securities Act Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) requires a reporting issuer to file its Interim Financial Statements with the Commission, within the prescribed time frame;

AND WHEREAS First Citizens Investment Services Limited (“the Respondent”), filed its Interim Financial Statements for the period ended December 31, 2020, with the Commission, past the due date;

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Section 66(1) of the Act by failing to file the aforementioned document with the Commission, within the prescribed timeframes;

AND WHEREAS the Respondent acknowledged that it was in contravention of Section 66(1) of the Act by filing the aforementioned document with the Commission past the said due date;

AND UPON the Board of Commissioners considering the submissions by the Staff of the Commission 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. First Citizens Investment Services Limited (“the Respondent”) has contravened Section 66(1) of the Act;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the total sum of One Thousand Trinidad and Tobago Dollars (TT\$1,000.00) 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