



**TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION**

**In the Matter of the Contravention of Section 65(1) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago and By-Law 48(1) of the Securities (General) By-Laws, 2015**

**By**

**L.J. Williams Limited**

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**ORDER OF THE COMMISSION**

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Dated this 16<sup>th</sup> day of November, 2022

**WHEREAS** Section 65(1) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) and By-Law 48(1) of the Securities (General) By-Laws, 2015 (“the By-Laws”), impose certain obligations on a reporting issuer registered under Section 61(1) of the Act;

**AND WHEREAS** L.J. Williams Limited (“the Respondent”), filed its Audited Annual Comparative Financial Statements (“Audited Financials”) for the financial year ended March 31, 2022, with the Trinidad and Tobago Securities and Exchange Commission (“the Commission”), past the due date;

**AND WHEREAS** staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Section 65(1) of the Act and By-Law 48(1) of the By-Laws, by failing to file the said Audited Financials within the prescribed timeframe;

**AND WHEREAS** the Respondent acknowledged that it was in contravention of Section 65(1) of the Act and By-Law 48(1) of the By-Laws and agreed to pay the consequential administrative fine;

**AND WHEREAS** the Respondent shall pay the sum of One Thousand Trinidad and Tobago Dollars (TT\$1,000.00) to the Commission within twenty-eight days of the making of this Order;

**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. L.J. Williams Limited (“the Respondent”) has contravened Section 65(1) of the Act and By-Law 48(1) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay an administrative fine in the sum of One Thousand Trinidad and Tobago Dollars (TT\$1,000.00) 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**