



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

**In the Matter of the Contravention of Section 63(a) of the Securities Act Chapter 83:02
of the Laws of the Republic of Trinidad and Tobago
and By-Law 47(c) of the Securities (General) By-Laws, 2015**

By

L.J. Williams Limited

ORDER OF THE COMMISSION

Dated this 5th day of April, 2022

WHEREAS Section 63(a) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) and By-Law 47(c) of the Securities (General) By-Laws 2015 (“the By-Laws”), impose certain obligations on Reporting Issuers;

AND WHEREAS L.J. Williams Limited (“the Respondent”), filed its Annual Report for the financial year ended March 31, 2021 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 63(a) of the Act and By-Law 47(c) of the By-Laws, by failing to file the said Annual Report within the prescribed timeframe;

AND WHEREAS the Respondent acknowledged that it was in contravention of Section 63(a) of the Act and By-Law 47(c) 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 to the Commission the sum of Eleven Thousand Two Hundred Trinidad and Tobago Dollars (TT\$11,200.00) within twenty-eight (28) days of the making of this Order;

AND UPON the Board of Commissioners considering the terms of the Settlement Agreement dated February 10, 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. L.J. Williams Limited (“the Respondent”) has contravened Section 63(a) of the Act and By-Law 47(c) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the sum of Eleven Thousand Two Hundred Trinidad and Tobago Dollars (TT\$11,200.00), 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