



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

**In the Matter of the Contravention of Section 64(1)(a) of the Securities Act, Chapter 83:02
of the Laws of the Republic of Trinidad and Tobago**

By

Quilter International Isle of Man Limited

ORDER OF THE COMMISSION

Dated this 20th day of May, 2022

WHEREAS Section 64(1)(a) 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 a Form No. 10 - Material Change Report with the Commission within the prescribed timeframe;

AND WHEREAS Quilter International Isle of Man Limited (“the Respondent”) filed its Form No. 10 – Material Change Report in respect of two material changes, 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 64(1)(a) of the Act by failing to file the said Form No. 10 – Material Change Report with the Commission, within the prescribed timeframe;

AND WHEREAS the Respondent acknowledged that it was in contravention of Section 64(1)(a) of the Act and agreed to pay the consequential administrative fine;

AND UPON the Board of Commissioners considering the submissions made 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. Quilter International Isle of Man Limited (“the Respondent”) has contravened Section 64(1)(a) 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 Six Thousand Trinidad and Tobago Dollars (TT\$6,000.00) 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