



**TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION**

**In the Matter of the Contravention of Section 61(2) of the Securities Act Chapter 83:02  
of the Laws of the Republic of Trinidad**

**By**

**The Sagicor Go-Mutual Funds**

---

**ORDER OF THE COMMISSION**

---

Dated this 20<sup>th</sup> day of May, 2022

**WHEREAS** Section 61(2) 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 Revised Registration Statement with the Commission, within the prescribed timeframe;

**AND WHEREAS** Sagicor Go-Mutual Funds (“the Respondent”), filed its Revised Registration Statement with the Commission for the financial years ended December 31, 2021, past the due date;

**AND WHEREAS** staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Section 61(2) of the Act by filing its Revised Registration Statement with the Commission for the financial year ended December 31, 2021 past the due date;

**AND WHEREAS** the Respondent agreed to a settlement and 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 Sixteen Thousand Trinidad and Tobago Dollars (TT\$16,000.00) within twenty-eight (28) days of the making of this Order;

**AND UPON** The Board of Commissioners considering the submissions in the Settlement Agreement dated March 25, 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. Sagicor Go-Mutual (“**the Respondent**”) has contravened Section 61(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 total sum of Sixteen Thousand Trinidad and Tobago Dollars (TT\$16,000.00) within twenty-eight 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**