



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

In the Matter of Section 7(n) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago

And

In the Matter of the Development and Implementation of a Centralized Repository and Registration System by the Trinidad and Tobago Securities and Exchange Commission

ORDER OF THE COMMISSION

Dated this 24th day of April, 2020

WHEREAS the Trinidad and Tobago Securities and Exchange Commission (“the Commission”) has developed and is seeking to implement a Centralised Repository and Registration System (“CRRS”), branded as EASi (Electronically Advanced Submission Interface), which will facilitate the submission of electronic applications for registration and other filings pursuant to the Securities Act Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Securities Act”);

AND WHEREAS the Board of Commissioners (“the Board”) may authorize amendments to the Commission’s existing Forms in accordance with the Commission’s procedure as approved by the Board by resolution on 11th February, 2016;

AND WHEREAS new Forms or amendments to the existing Forms must be approved via an Order of the Commission;

AND WHEREAS Section 159(10)(a) of the Securities Act grants the Commission the power to issue Orders that are essentially procedural without the need for a hearing;

AND UPON the Board of Commissioners considering recommendations from Staff on this matter;

AND UPON the Board of Commissioners being satisfied that it has the authority to approve the implementation of the Form changes pursuant to Section 7(n) of the Securities Act;

AND UPON the Board of Commissioners being satisfied it would be in the public interest to implement the Form changes and new Forms; and

AND UPON the Board of Commissioners determining that the making of this Order is essentially procedural in accordance with Section 159 (10) (a) of the Securities Act and does not require a hearing pursuant to Section 159 (1) of the Securities Act.

IT IS HEREBY ORDERED THAT:

1. Amendments to the following Forms are approved for the various applications and filings pursuant to the Securities Act, for the purpose of integrating same into CRRS:
 - i. Form 1 – Registration as a Self-Regulatory Organization;
 - ii. Form 2A – Registration as a Broker-Dealer, Investment Adviser or Underwriter (Corporate-Form Only);
 - iii. Form 2B – Registration as an Investment Adviser (Individuals Only);
 - iv. Form 8 – Registration and Revised Registration Statement for Reporting Issuers; and
 - v. Form 21 - Report by Registrant of Trades Executed other than through a Securities Exchange.
2. Amendments to the following existing Forms are approved for the various applications and filings pursuant to the Securities Act, for the purpose of integrating same into CRRS in the outlined manner:
 - i. Merger of existing Form 3A – Registration as Registered Representatives and Form 3B – Registered Representatives Questionnaire into one form, namely Form 3 – Registration of Registered Representatives; and
 - ii. Division of existing Form 10 – Material Change Report into two forms, namely Form 10A – Material Change Report and Form 10B – Material Change Report.
3. The following new Forms (set out in Appendix 1 hereof) are approved for the various applications and filings pursuant to the Securities Act, and for the implementation of CRRS:
 - i. Form 24 – Quarterly Capital Requirements;
 - ii. Form 11A - Annual Report Filing
4. Registrants are to complete and submit the applicable forms in the timeframe specified by the Commission;
5. This Order shall be published at a date to be determined by Staff of the Commission, in the Trinidad and Tobago Gazette and posted on the Commission’s website. Notification of the posting shall be published in two daily newspapers in general circulation in Trinidad and Tobago; and

6. These changes shall take effect from the date of public implementation of the Centralised Repository and Registration System, (EASi).



Douglas Mendes, S.C.
Chairman



Rachel Simms-Sealy
Corporate Secretary