

FORM 8

**REGISTRATION AND REVISED REGISTRATION STATEMENTS – FOR
REPORTING ISSUERS**

**Pursuant to Section 61(1) OR 61(2) of the Securities Act, 2012 and By-law 25(1) of the
Securities (General) By-Laws, 2015**

General Instructions:	<p>Please complete all relevant sections; where the allocated space is insufficient, you may continue on a separate page and attach to the completed form. All supporting information and attached pages should be appropriately numbered and referenced. See detailed list of required attachments.</p> <p>Completed applications should be submitted to:</p> <p style="padding-left: 40px;">The Director Disclosure Registration and Corporate Finance Trinidad and Tobago Securities and Exchange Commission Levels 22-23, Tower D International Waterfront Centre 1 Wrightson Road Port of Spain, Trinidad</p>
Item 1	<p>Mark “x” in the relevant checkbox to indicate whether this is an initial application for registration under Section 61(1) of the Securities Act, 2012 or the filing of a revised registration statement under Section 61(2) of the Securities Act, 2012. If the filing is a revised registration statement filing, state the financial year in respect of which the filing is being made.</p>
Item 2	<p>State exact name as specified in the Applicant’s/Reporting Issuer’s constituting or organizational documents.</p>
Item 3	<p>Mark “x” in the relevant checkboxes to describe the Applicant’s/Reporting Issuer’s form of incorporation or organization, jurisdiction of incorporation or organization, and operating industry.</p> <p>When categorizing the Operating Industry of the Applicant/Reporting Issuer, please note that “Financial” refers to companies who operate in the Banking, Pensions and Insurance, Credit Union or Securities industries as well as any other entity that is regulated by the Central Bank of Trinidad and Tobago or the Trinidad and Tobago Securities and Exchange Commission.</p>

Item 4	Mark “x” in the relevant checkbox to indicate whether the Applicant/Reporting Issuer intends to utilize the foreign issuer exemption under Section 69(1) of the Securities Act, 2012. If “yes”, please attach a completed and signed Form 16 with documentary evidence which can substantiate each of the statements made in Form 16.
Item 5	State the date of incorporation or organization of the Applicant/Reporting Issuer.
Item 6	State the Applicant’s/Reporting Issuer’s principal business address, telephone numbers, fax numbers, website and email addresses. Where the Applicant/Reporting Issuer is an issuer which is a Collective Investment Scheme organized in Trust form, please state the full name and address of the Trustees or such other persons or entities who shall be responsible for the Collective Investment Scheme’s obligations under the Securities Act, 2012.
Item 7	If the Applicant/Reporting Issuer is not incorporated or organized in Trinidad and Tobago, state the name of the Agent for Service of Process in Trinidad and Tobago as well as its local address, telephone numbers, fax numbers and email addresses.
Item 8	Attach as an appendix a description of the nature of the business activity carried on or to be carried on by the Applicant/Reporting Issuer.
Item 9	<p>State the name and job title of the Designated Person of the Applicant/Reporting Issuer. Also provide a copy of a valid Government issued identification and include full contact and other details of such person.</p> <p>Where the Applicant/Reporting Issuer is an issuer which is a Collective Investment Scheme organized in Trust form, provide the full name and job title of a person in the Trustee’s employ who shall be the primary contact with the Commission with respect to the Collective Investment Scheme.</p>
Item 10	Provide a description of all securities that the Applicant/Reporting Issuer has issued and which remains outstanding. This description shall include the type, purpose, amount, value of securities issued, currency, type of interest rate (fixed or floating), interest rate, tenor, date of issue and date of maturity and other relevant details (where applicable).

Item 11	Provide the required details for the Applicant's/Reporting Issuer's Board of Directors. This should include names, full contact details, dates of appointment to the Applicant's/Reporting Issuer's Board of Directors, their percentage shareholding (if any) in the Applicant/Reporting Issuer and other details.
Item 12	State the names of the Applicant's/Reporting Issuer's Senior Officers. Include full contact and other details.
Item 13	Provide the information requested for any shareholder of the Applicant/Reporting Issuer who beneficially owns in excess of ten percent of the Applicant's/Reporting Issuer's voting securities.
Item 14	If the filing is an initial application, state the financial year end of the Applicant. If the filing is a revised registration statement, state the financial year end to which this form relates.
Item 15	State the name, primary business address, telephone numbers, fax numbers and email addresses of the Applicant's/Reporting Issuer's External Auditor.
Item 16	State whether the Applicant/Reporting Issuer has ever been registered or disciplined. If "yes", please provide full details as an attachment to this Form. Please note that this question refers to <u>ALL</u> Laws (e.g. Criminal, Customs, Liquor, etc.) of any state or country, in any part of the world. You are not required to disclose any convictions for which a pardon has been granted, and which pardon has not been revoked.
Item 17	For an initial application, please provide any additional information required to establish the Applicant's qualification and suitability for registration.
Item 18	Date the application. Include the signature of the Chief Executive Officer, or equivalent, and two directors of the Applicant. Where the Chief Executive Officer is unavailable to sign the Form, the form should be signed by any other duly authorized senior officer whose proof of authorization must be submitted with this form.
Appendix 1	Each director shall complete and sign Appendix 1 to this form.

Required Attachments:

1. Description of Business Activity
2. Where this form is being submitted pursuant to an initial application:
 - a. a certified copy of the Applicant's Memorandum and Articles of Association or equivalent incorporation documents. These documents may be certified by either a Notary Public or Commissioner of Affidavits. Alternatively, the Applicant may submit Certified Copies of the documents from the Companies Registrar; and
 - b. a copy of the Applicant's most recent audited financial statements.
3. A certified copy of the most recent Annual Return that was filed with the Companies Registrar.
4. A list of the directorships held by current directors of the Applicant in other companies.
5. An Appendix 1 for each Director of the Applicant/Reporting Issuer.
6. The relevant application fee.

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**Pursuant to Section 61(1) OR 61(2) of the Securities Act, 2012 and By-law 25(1) of the
Securities (General) By-Laws, 2015**

1. TYPE OF SUBMISSION

Initial Registration	<input type="checkbox"/>
Revised Registration	<input type="checkbox"/>
For Financial Year Ended:	_____

2. NAME OF APPLICANT/REPORTING ISSUER

Name of Applicant/Reporting Issuer

3. COMPANY PROFILE

Form of Incorporation or Organization	
Publicly Owned Company	<input type="checkbox"/>
Privately Owned Company	<input type="checkbox"/>
State Owned Entity	<input type="checkbox"/>
Collective Investment Scheme constituted in Trust Form	<input type="checkbox"/>
Other	<input type="checkbox"/>
If "Other" above, please specify below:	
Jurisdiction of Incorporation or Organization	
Local	<input type="checkbox"/>
Foreign	<input type="checkbox"/>
If "Foreign" above, please specify below:	

Operating Industry	
Financial	<input type="checkbox"/>
Non-financial	<input type="checkbox"/>
If "Non-financial" above, please specify below:	

4. FOREIGN ISSUER EXEMPTION

	YES	NO
Does the Applicant intend to utilise the Approved Foreign Issuer exemption under Section 69(1) of the Securities Act, 2012?	<input type="checkbox"/>	<input type="checkbox"/>

If "yes," complete and sign Form 16 with documentary evidence

5. DATE OF INCORPORATION OR ORGANIZATION

Date of Incorporation (dd/mm/yyyy)	
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6. CONTACT INFORMATION OF APPLICANT/REPORTING ISSUER

Primary Business Address			
Work Phone (1-xxx-xxx-xxxx)		Fax Number (1-xxx-xxx-xxxx)	
Website		Email Address	

7. DETAILS OF AGENT FOR SERVICE OF PROCESS

Applicable if the Applicant is NOT incorporated or organized in Trinidad and Tobago

Name of Agent for Service of Process			
Local Business Address			
Work Phone (1-xxx-xxx-xxxx)		Fax Number (1-xxx-xxx-xxxx)	
Email Address			

8. DESCRIPTION OF BUSINESS ACTIVITY

Attach as an appendix

9. DETAILS OF DESIGNATED PERSON

(Attach a copy of a valid Government issued identification)

Name (First, Middle, Last)			Job Title
Business Address			Date of Appointment
Work Phone	Ext.	Home Phone	Mobile Phone
Email Address		Date of Birth	Nationality
Type of ID	ID Number		Country of Issue

14. FINANCIAL YEAR-END

Financial Year-End (DD/MM)	
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15. AUDITOR OF APPLICANT/REPORTING ISSUER

Name	
Primary Business Address	
Work Phone	
Fax Number	
Email Address	

16. REGISTRATION AND DISCIPLINARY HISTORY

State whether the Applicant/Reporting Issuer has ever been registered or disciplined as indicated below. If “yes”, please provide full details as an attachment to this Form:

	YES	NO
1. Has the Applicant/Reporting Issuer:		
a) Been registered in any capacity under the Securities Industry Act, 1995 or the Securities Act, 2012?	<input type="checkbox"/>	<input type="checkbox"/>
b) Applied for registration, in any capacity, under the Securities Industry Act, 1995 or the Securities Act, 2012?	<input type="checkbox"/>	<input type="checkbox"/>
2. Has the Applicant/Reporting Issuer been:		
a) Registered or licensed in any capacity in any other country which requires registration or licensing to deal or trade in securities?	<input type="checkbox"/>	<input type="checkbox"/>
b) Registered or licensed in any other country to make a distribution in that country?	<input type="checkbox"/>	<input type="checkbox"/>
c) Refused registration or a licence mentioned in 1 (a) or (b) or 2 (a) or (b) above or has any registration or licence been suspended or cancelled in any category mentioned in 1 (a) or (b) or 2 (a) or (b) above?	<input type="checkbox"/>	<input type="checkbox"/>
3. Has any security of the Applicant/Reporting Issuer ever been:		
a) Listed on any Stock Exchange in any country?	<input type="checkbox"/>	<input type="checkbox"/>
b) Suspended from trading on a stock exchange mentioned in 3 (a)?	<input type="checkbox"/>	<input type="checkbox"/>
c) Delisted from a stock exchange mentioned in 3 (a)?	<input type="checkbox"/>	<input type="checkbox"/>
4. Has the Applicant/Reporting Issuer, operated under, or carried on business under, any other names other than the name shown in this application?	<input type="checkbox"/>	<input type="checkbox"/>

	YES	NO
INSTRUCTION: <i>Question 5 refers to ALL Laws (e.g. Criminal, Customs, Liquor, etc.) of any state or country, in any part of the world. You are not required to disclose any convictions for which a pardon has been granted, and which pardon has not been revoked</i>		
5. Has the Applicant/Reporting Issuer:		
a) Ever been the subject of an investigation conducted by a regulatory or criminal investigative body?	<input type="checkbox"/>	<input type="checkbox"/>
b) Ever been convicted under the laws of any country?	<input type="checkbox"/>	<input type="checkbox"/>
c) Ever been the defendant or respondent in any proceedings in any civil court in any jurisdiction in any part of the world wherein a claim involving fraud or dishonesty was brought against them?	<input type="checkbox"/>	<input type="checkbox"/>
d) At any time been declared bankrupt, or made a voluntary assignment in bankruptcy? (If “yes”, give particulars and also attach a certified copy of discharge)	<input type="checkbox"/>	<input type="checkbox"/>
e) Ever been refused a fidelity / surety bond?	<input type="checkbox"/>	<input type="checkbox"/>
f) Ever been barred from operating within the financial or securities industry of Trinidad and Tobago or elsewhere by the Commission, any other regulatory body or court of law?	<input type="checkbox"/>	<input type="checkbox"/>

17. ADDITIONAL INFORMATION

Please provide any additional information required to establish the Applicant's/ Reporting Issuer's qualification and suitability for registration.

18. DATE, CERTIFICATION AND SIGNATURE

I/We hereby certify that the statement and information contained in this form and any attachment hereto are true and correct to the best of my/our knowledge and belief and submitted in compliance with the provisions of the Securities Act, 2012. I/We understand that any misrepresentation, falsification or material omission of information on this application may result in a breach of the Securities Act, 2012.

_____	_____	_____
Print Name	Print Name	Print Name
_____	_____	_____
Signature	Signature	Signature
_____	_____	_____
Position	Position	Position
_____	_____	_____
Date	Date	Date

End of Form

FOR OFFICIAL USE ONLY

Tool	ID Information
Registrant's Number	
Director's Number	
Document / Record Number	
Record's Management Date Received (dd/mm/yyyy)	

Approved By : _____ Date (DD/MM/YYYY) _____



FORM 8 – APPENDIX I

(Must be completed by each Director)

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**Pursuant to Section 61(1) OR 61(2) of the Securities Act, 2012 and By-law 25(1) of the
Securities (General) By-Laws, 2015**

PLEASE NOTE: FORM 8 is NULL and VOID without Appendix 1.

1. NAME OF DIRECTOR

Name of Director

2. CONTACT DETAILS OF DIRECTORS

Residential Address	
Work Phone (1-xxx-xxx-xxxx)	
Home Phone (1-xxx-xxx-xxxx)	
Mobile Phone (1-xxx-xxx-xxxx)	
Fax Number (1-xxx-xxx-xxxx)	
Email Address	

3. REGISTRATION AND DISCIPLINARY HISTORY OF DIRECTORS

State whether the Director has ever been registered or disciplined as indicated below. If your response is “yes”, please provide full details as an attachment to this Appendix:

	YES	NO
1. Has the Director, to the best of the Director’s knowledge, information and belief:		
a) Been registered in any capacity under the Securities Industry Act, 1995 or the Securities Act, 2012?	<input type="checkbox"/>	<input type="checkbox"/>
b) Applied for registration, in any capacity, under the Securities Industry Act, 1995 or the Securities Act, 2012?	<input type="checkbox"/>	<input type="checkbox"/>

	YES	NO
2. Has the Director, to the best of the Director's knowledge, information and belief been:		
a) Registered or licensed in any capacity in any other country which requires registration or licensing to deal or trade in securities?	<input type="checkbox"/>	<input type="checkbox"/>
b) Registered or licensed in any other capacity in Trinidad and Tobago under any legislation which requires registration or licensing to deal with the public in any capacity? (E.g. as an insurance agent, real estate agent, private investigator, mortgage broker, etc.)	<input type="checkbox"/>	<input type="checkbox"/>
c) Refused registration or a licence mentioned in 1 (a) or (b) or 2 (a) or (b) above or has any registration or licence been suspended or cancelled in any category mentioned in 1 (a) or (b) or 2 (a) or (b) above?	<input type="checkbox"/>	<input type="checkbox"/>
d) Denied the benefit of any exemption from registration provided by the Securities Industry Act, 1995 or the Securities Act, 2012?	<input type="checkbox"/>	<input type="checkbox"/>
3. Has the Director, to the best of the Director's knowledge, information and belief, any affiliate of the director, now, or has any such person or company been:		
a) A member of any Stock Exchange, Investment Dealers Association, Investment Bankers Association, or similar organization, in any country?	<input type="checkbox"/>	<input type="checkbox"/>
b) Refused membership in any Stock Exchange, Investment Dealers Association, Investment Bankers Association, or similar organization in any country?	<input type="checkbox"/>	<input type="checkbox"/>
c) Suspended as a member of any Stock Exchange, Investment Dealers Association, Investment Bankers Association, or similar organization, in any country?	<input type="checkbox"/>	<input type="checkbox"/>
d) Disqualified as a member of any Stock Exchange, Investment Dealers Association, Investment Bankers Association, or similar organization, in any country?	<input type="checkbox"/>	<input type="checkbox"/>
4. Has the Director used any name other than the name shown in this application? If "yes" please specify in the space provided below.	<input type="checkbox"/>	<input type="checkbox"/>
INSTRUCTION: <i>Question 5 refers to ALL Laws (e.g. Criminal, Customs, Liquor, etc.) of any state or country, in any part of the world. You are not required to disclose any convictions for which a pardon has been granted, and which pardon has not been revoked</i>		
5. Has the Director, to the best of the Director's knowledge, information and belief:		
a) Ever been the subject of an investigation conducted by a regulatory or criminal investigative body?	<input type="checkbox"/>	<input type="checkbox"/>
b) Ever been convicted under the laws of any country, excepting minor traffic offences?	<input type="checkbox"/>	<input type="checkbox"/>

	YES	NO
c) Ever had or currently has any outstanding charge or indictment against them?	<input type="checkbox"/>	<input type="checkbox"/>
d) Ever been the defendant or respondent in any proceedings in any civil court in any jurisdiction in any part of the world wherein a claim involving fraud or dishonesty was brought against them?	<input type="checkbox"/>	<input type="checkbox"/>
e) Ever been declared bankrupt, or made a voluntary assignment in bankruptcy? (If “yes”, give particulars and also attach a certified copy of discharge)	<input type="checkbox"/>	<input type="checkbox"/>
f) Ever been refused a fidelity / surety bond?	<input type="checkbox"/>	<input type="checkbox"/>
g) Ever been barred from operating within the financial or securities industry of Trinidad and Tobago or elsewhere by the Commission, any other regulatory body or court of law?	<input type="checkbox"/>	<input type="checkbox"/>

4. DATE, CERTIFICATION AND SIGNATURE

I hereby certify that the statement and information contained in this form and any attachment hereto are true and correct to the best of my knowledge and belief and submitted in compliance with the provisions of the Securities Act, 2012. I understand that any misrepresentation, falsification or material omission of information on this application may result in a breach of the Securities Act, 2012.

Print Name

Signature

Date

End of Form