



ADVISORY CIRCULAR

REF: TTSEC-DR&CF-7425-CM-15/5/2015

10th August 2015

Dear Registrant,

Guideline for the De-registration of Reporting Issuers and Collective Investment Schemes

The Trinidad and Tobago Securities and Exchange Commission (“the Commission”) is pleased to inform you that proposed revised Guideline for the De-registration of Reporting Issuers and Collective Investment Schemes (“Guideline for De-registration”) has been released for public comment in accordance with section 147 of the amended Securities Act, 2012 (“the SA 2012”).

The previous Guideline on de-registration was implemented under the Securities Industry Act 1995 which has since been repealed and replaced with the SA 2012. This proposed revised Guideline for De-registration is meant to make the Guideline consistent with the provisions of the SA 2012 as well as address certain inefficiencies in the Guideline for De-registration. The scope of this revised Guideline has also been broadened so that it outlines a process for the de-registration of Collective Investment Schemes (which was not part of the original guideline).

We therefore invite you to review and provide feedback on the Guideline for De-registration which is available on the Commission’s website at the following URL: <http://www.ttsec.org.tt/content/Guidelines-for-the-de-registration-of-Reporting-Issuers-and-Collective-Investment-Schemes-August-2015.pdf>.

Written comments and feedback on the Guideline for De-registration can be addressed to:

Mr. C Wainwright Iton
Chief Executive Officer
Trinidad and Tobago Securities and Exchange Commission
57 – 59 Dundonald Street
Port of Spain

Written comments and feedback may also be sent via electronic mail to the following address: comments@ttsec.org.tt. The deadline for submission of comments and feedback is September 7, 2015.

We look forward to your participation. Should you have any questions or concerns, please contact us via the electronic mail address listed above.

Yours respectfully,

C. Wainwright Iton
Chief Executive Officer

Trinidad and Tobago Securities and Exchange Commission

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