



INVESTOR TIPS



HOW DOES THE COMMISSION REGULATE THE SECURITIES MARKET?

THE COMMISSION REGULATES THE MARKET BY:

- Registering:
 - *all securities issued to the public;*
 - *all issuers of those securities;*
 - *all market actors i.e. brokers, dealers, traders, underwriters, securities companies, and investment advisers;*
 - *all self regulatory organizations (for example, stock exchanges and securities associations);*
- Maintaining continuous surveillance over the market to ensure that there is transparent, fair and equitable dealing in securities;
- Receiving and investigating complaints from aggrieved persons;
- Enforcing the provisions of the Securities Industry Act including the imposition of sanctions and penalties for non compliance;
- Conducting Investor Education programmes.

Trinidad and Tobago Securities and Exchange Commission

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REGULATING THE SECURITIES INDUSTRY SO THAT YOU CAN
INVEST WITH CONFIDENCE!

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