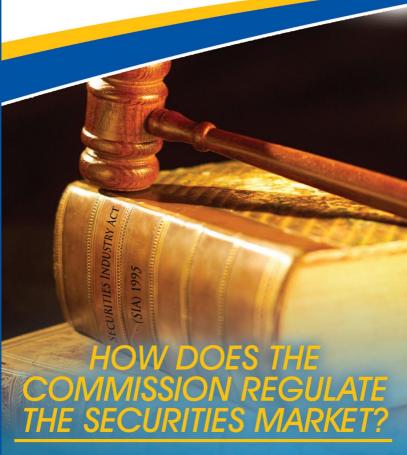


INVESTOR TIPS



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

57-59 Dundonald Street, Port of Spain, Trinidad, W.I.

Phone: (868)-624-2991
Fax: (868)-624-2995
E-mail: ttsec@ttsec.org.tt

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