



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

In the Matter of Section 21 of the Securities Act, 2012

And

**In the Matter of the Appointment of a Hearing Panel and a Pre-Hearing Conference Panel and
in accordance with the Securities Industry (Hearings and Settlements) Practice Rules 2008**

ORDER OF THE COMMISSION

Dated this 13th day of January, 2022

WHEREAS:

1. The Trinidad and Tobago Securities and Exchange Commission (“the Commission”) is the regulator of the securities industry in Trinidad and Tobago and is empowered under sections 154-156 of the Securities Act 2012 (“the Act”) to make orders to cease trading or distribution of securities; orders made in the public interest or orders for administrative fines;
2. Under section 157 of the Act the Commission is required to provide a reasonable opportunity for a person to make either oral or written representations before making an adverse decision, finding or order;
3. The Commission shall, before making an order, provide a reasonable opportunity for a hearing to each person directly affected and shall give reasonable notice to such person and to any interested market actor in accordance with section 159 of the Act;

AND WHEREAS:

4. The Commission is empowered under section 21(e) of the Act to make rules, with the approval of the Minister, respecting procedure for the initiation and holding of hearings by the Commission;
5. The Commission has made the Securities Industry (Hearings and Settlement) Practice Rules 2008 (“the Rules”) for the purpose of conducting hearings pursuant to the Act;
6. Rule 4(4) of the Rules provides for the appointment by the Commission of Commissioners to:
 - a) sit on a Hearing Panel;
 - b) sit on a Settlement Panel; or
 - c) act as a Pre-Hearing Panel Commissioner;
7. Rule 4 (5) of the Rules requires that a Hearing Panel be comprised of at least two Commissioners and a Settlement Panel shall be comprised of at least one Commissioner. A Pre-Hearing Conference Panel shall be presided over by at least one Commissioner;
8. By Round Robin resolution passed on the 12th day of January 2022, the Board of Commissioners resolved to make the following appointments retroactively on the 13th day of January, 2022:
 - a. Settlement Panel: Marie-Suzanne Borely, Commissioner or David Thompson (alternate)
 - b. Pre-Hearing Conference Panel: Anthony Joseph, Commissioner and Amerelle T.S. Francis, Commissioner
 - c. Hearing Panel: Anthony Bullock, Commissioner and Angela D. Hordatt, Commissioner

AND WHEREAS:

9. The Board of Commissioners is satisfied that the Rules have been made in accordance with section 21(e) of the Act.

IT IS HEREBY ORDERED THAT:

1. Commissioner Marie-Suzanne Borely is hereby appointed to the Settlement Panel and Commissioner David Thompson is appointed as an alternate;
2. Commissioner Anthony Joseph and Commissioner Amerelle T.S. Francis are hereby appointed to the Pre-Hearing Conference Panel;
3. Commissioner Anthony Bullock and Commissioner Angela D. Hordatt are hereby appointed to the Hearing Panel;
4. This Order shall take effect from the 13th day of January 2022; and
5. This Order shall continue until further Order or until the members of the respective panels cease to be members of the Board of Commissioners.

BY ORDER OF THE COMMISSION