



**TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION**

**PUBLIC NOTICE**

In accordance with Section 159(12) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (also referred to herein as the “Securities Act, 2012”), the Trinidad and Tobago Securities and Exchange Commission (“the Commission”) is required to issue a Notice in at least two newspapers notifying the public of the Orders published on its website.

Documented below is a list of the Commission’s Orders for the period July 1, 2019 to September 30, 2020.

<b>CONTRAVENTION ORDERS</b>			
<b>No.</b>	<b>Name of Registrant/Applicant</b>	<b>Reference</b>	<b>Date of Order</b>
1.	<b>Kathryn Abdulla</b>	Section 136(1) Securities Act, 2012	18 July 2019
2.	<b>Point Lisas Industrial Port Development Corporation Limited (1)</b>	Section 63(a) Securities Act, 2012 and By-Law 47(c) Securities (General) By-Laws, 2015	18 July 2019
3.	<b>Point Lisas Industrial Port Development Corporation Limited (2)</b>	Section 65(1) Securities Act, 2012 and By-Law 48(1) Securities (General) By-Laws, 2015	18 July 2019
4.	<b>Sagikor Life Incorporated</b>	By-Law 39(1) Securities (General) By-Laws, 2015	18 July 2019
5.	<b>National Infrastructure Development Company Limited</b>	Section 63(a) Securities Act, 2012 and By-Law 47(c) Securities (General) By-Laws, 2015	7 August 2019
6.	<b>Aaliyah Jaggassar</b>	<b>Section 136(1) Securities Act, 2012</b>	<b>7 October 2019</b>
7.	<b>Andrew Aleong</b>	Section 136(2) Securities Act, 2012	7 October 2019

<b>CONTRAVENTION ORDERS</b>			
<b>No.</b>	<b>Name of Registrant/Applicant</b>	<b>Reference</b>	<b>Date of Order</b>
8.	<b>KCL Capital Market Brokers Limited (1)</b>	By-Law 28 Securities (General) By-Laws, 2015	7 October 2019
9.	<b>KCL Capital Market Brokers Limited (2)</b>	By-Law 28 Securities (General) By-Laws, 2015	7 October 2019
10.	<b>Marc Anatol</b>	Section 136(2) Securities Act, 2012	7 October 2019
11.	<b>Proven Investments Limited</b>	Section 136(1) Securities Act, 2019	7 October 2019
12.	<b>RBC Merchant Bank (Caribbean) Limited</b>	Section 56(4) Securities Act, 2012 and By-Law 53 Securities By-Laws, 2015	7 October 2019
13.	<b>RBC Royal Bank (Trinidad and Tobago) Limited (1)</b>	Section 56(4) Securities Act, 2012 and By-Law 53 Securities (General) By-Laws, 2015	7 October 2019
14.	<b>Sagicor Life Incorporated</b>	By-Law 39(1) Securities (General) By-Laws, 2015	7 October 2019
15.	<b>Urban Development Corporation of Trinidad and Tobago</b>	Section 65(1) Securities Act, 2012 and By-Law 48(1) Securities (General) By-Laws, 2015	7 October 2019
16.	<b>Urban Development Corporation of Trinidad and Tobago</b>	Section 63(a) Securities Act, 2012 and By-Law 47(c) Securities (General) By-Laws, 2015	7 October 2019
17.	<b>Urban Development Corporation of Trinidad and Tobago</b>	Section 64(1) Securities Act, 2012	7 October 2019
18.	<b>Urban Development Corporation of Trinidad and Tobago</b>	Section 64(1)(a) Securities Act, 2012	7 October 2019
19.	<b>Urban Development Corporation of Trinidad and Tobago</b>	Section 56(4) Securities Act, 2012 and By-Law 53 Securities (General) By-Laws, 2015	7 October 2019

<b>CONTRAVENTION ORDERS</b>			
<b>No.</b>	<b>Name of Registrant/Applicant</b>	<b>Reference</b>	<b>Date of Order</b>
20.	<b>First Caribbean International Bank Limited</b>	Section 56(4) Securities Act, 2012 and By-Law 53 Securities (General) By-Laws, 2015	31 October 2019
21.	<b>National Commercial Bank Jamaica Limited</b>	Section 136(2) Securities Act, 2012	31 October 2019
22.	<b>The Trinidad and Tobago Housing Development Corporation</b>	Section 66(1) Securities Act, 2012	31 October 2019
23.	<b>The Trinidad and Tobago Housing Development Corporation</b>	Section 65(1) Securities Act, 2012 and By-Law 48(1) Securities (General) By-Laws, 2015	31 October 2019
24.	<b>The Trinidad and Tobago Housing Development Corporation</b>	Section 63(a) Securities Act, 2012 and By-Law 47(c) Securities (General) By-Laws, 2015	31 October 2019
25.	<b>Guardian Asset Management and Investment Services Limited</b>	Section 64(1)(c) Securities Act, 2012	2 December 2019
26.	<b>National Enterprises Limited</b>	Section 65(1) Securities Act, 2012 and By-Law 48(1) Securities (General) By-Laws, 2015	31 December 2019
27.	<b>Port Authority of Trinidad and Tobago</b>	Section 61(2) Securities Act, 2012	31 December 2019
28.	<b>Ansa Merchant Bank Limited</b>	By-Law 28 Securities (General) By-Laws, 2015	28 January 2020
29.	<b>Ansa Securities Limited</b>	By-Law 28 Securities (General) By-Laws, 2015	28 January 2020
30.	<b>JMMB Bank (T&amp;T) Limited</b>	Section 66(1) Securities Act, 2012	28 January 2020
31.	<b>JMMB Group Limited</b>	Section 64(1)(c) Securities Act, 2012	28 January 2020
32.	<b>Public Transport Service Corporation</b>	Sections 64(1) and 56(4) Securities Act, 2012 and By-Law	28 January 2020

<b>CONTRAVENTION ORDERS</b>			
<b>No.</b>	<b>Name of Registrant/Applicant</b>	<b>Reference</b>	<b>Date of Order</b>
		53 Securities (General) By-Laws, 2015	
33.	<b>Royal Bank of Canada</b>	Section 61(2) Securities Act, 2012	28 February 2020
34.	<b>National Flour Mills Limited</b>	Section 65(1) Securities Act, 2012 and By-Law 48(1) Securities (General) By-Laws, 2015	28 February 2020
35.	<b>Larry Howai</b>	Section 136(1) Securities Act, 2012	24 April 2020

<b>OTHER ORDERS</b>				
<b>No.</b>	<b>Name of Registrant/Applicant</b>	<b>Subject Matter</b>	<b>Reference</b>	<b>Date of Order</b>
1.	<b>Delegation Order</b>	Delegation of specific responsibilities, powers and functions of the Commission to the Deputy Chief Executive Officer	Section 8 Securities Act, 2012	26 August 2019
2.	<b>Trinidad and Tobago Stock Exchange Limited</b>	Application to delist ordinary shares of Berger Paints Trinidad Limited	Section 45(1) Securities Act, 2012	7 October 2019
3.	<b>Trinidad and Tobago Stock Exchange Limited</b>	Application to delist TT\$300M GORTT fixed rate bond due 3-Aug-2019	Section 45(1) Securities Act, 2012	31 December 2019
4.	<b>Trinidad and Tobago Stock Exchange Limited</b>	Application to delist TT\$300M GORTT fixed	Section 45(1) Securities Act, 2012	31 December 2019

<b>OTHER ORDERS</b>				
<b>No.</b>	<b>Name of Registrant/Applicant</b>	<b>Subject Matter</b>	<b>Reference</b>	<b>Date of Order</b>
		rate bond due 22-Sep-2019		
5.	<b>Hassan Phillip Rahaman</b>	The Matter of the application for and purchase of 659,588 First Citizens Bank Limited shares by Mr. Hassan Phillip Rahaman on 12 <sup>th</sup> August 2013 and his subsequent sale of 634,588 First Citizens Bank Limited shares on January 14, 2014 and the alleged contravention of the Securities Act, 2012	Sections 91(1), 91(2) and 94 Securities Act, 2012	29 January 2020
6.	<b>Imtiaz Azard Rahaman</b>	The Matter of the application for and purchase of 659,588 First Citizens Bank Limited shares by Mr. Hassan Phillip Rahaman on 12 <sup>th</sup> August 2013 and his subsequent sale of 634,588 First Citizens Bank Limited shares on January 14, 2014 and the alleged contravention of the Securities Act, 2012	Sections 91(1), 91(2) and 94 Securities Act, 2012	29 January 2020

<b>OTHER ORDERS</b>				
<b>No.</b>	<b>Name of Registrant/Applicant</b>	<b>Subject Matter</b>	<b>Reference</b>	<b>Date of Order</b>
7.	<b>Subhas Ramkhelawan and Bourse Brokers Limited</b>	The Matter of the application for and purchase of 659,588 First Citizens Bank Limited shares by Mr. Hassan Phillip Rahaman on 12 <sup>th</sup> August 2013 and his subsequent sale of 634,588 First Citizens Bank Limited shares on January 14, 2014 and the alleged contravention of the Securities Act, 2012	Sections 91(1), 91(2) and 94 Securities Act, 2012	29 January 2020
8.	<b>Covid-19 Filing Directions</b>	The impact of the Novel Coronavirus Disease 2019 (COVID-19) pandemic on the submission of continuous disclosures and filings by registrants and non-registrants	Sections 155(1A)(e) and 159(10) of the Securities Act, 2012	25 March 2020
9.	<b>Covid-19 Filing Directions</b>	The impact of the Novel Coronavirus Disease 2019 (COVID-19) pandemic on the submission of continuous disclosures and filings by registrants and non-registrants	Sections 155(1A)(e) and 159(10) of the Securities Act, 2012	23 April 2020

<b>OTHER ORDERS</b>				
<b>No.</b>	<b>Name of Registrant/Applicant</b>	<b>Subject Matter</b>	<b>Reference</b>	<b>Date of Order</b>
10.	<b>Nigel Clewett</b>	Application for exemption from registering as a Broker-Dealer	Sections 51(1)(a), 155(1A)(c) and 159(10) Securities Act 2012	23 April 2020
11.	<b>Readymix (West Indies) Limited</b>	Application for de-registration as a Reporting Issuer	Sections 71(1)(b) and 159(10) Securities Act, 2012	23 April 2020
12.	<b>Berger Paints Trinidad Limited</b>	Application for de-registration as a Reporting Issuer	Section 71(1)(b) Securities Act, 2012	24 April 2020
13.	<b>Caroni (1975) Limited</b>	Application for a declaration that Caroni (1975) Limited is no longer a Reporting Issuer	Sections 71(1)(b) and 159(10) Securities Act, 2012	24 April 2020
14.	<b>Fortress Fund Managers Limited</b>	Application for declaration that Fortress Mutual Fund Limited – Fortress Global Growth Fund, Fortress Caribbean High Interest Fund Limited and Fortress OAM Overseas Fund Limited are no longer Reporting Issuers and de-registration as Collective Investment Schemes	Sections 71(1)(b) and 159(10) Securities Act, 2012	24 April 2020

<b>OTHER ORDERS</b>				
<b>No.</b>	<b>Name of Registrant/Applicant</b>	<b>Subject Matter</b>	<b>Reference</b>	<b>Date of Order</b>
15.	<b>Furness Trinidad Limited</b>	Application for de-registration	Sections 155(1A) and 159 Securities Act, 2012	24 April 2020
16.	<b>Scotia Short-Term Fund Inc.</b>	Application for de-registration as a Reporting Issuer and Collective Investment Scheme	Section 71(1)(b) and 155(1A)	24 April 2020
17.	<b>Mondial (Trinidad) Limited</b>	Application for exemption from registering as a Broker-Dealer	Sections 51(1)(a), 155(1A)(c) and 159(10) Securities Act, 2012	24 April 2020