



TRINIDAD & TOBAGO SECURITIES & EXCHANGE COMMISSION

www.ttsec.org.tt

The Trinidad and Tobago Securities and Exchange Commission ("the Commission") is responsible for ensuring that the securities industry operates in a fair, transparent and efficient manner in order to protect the rights of investors.

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; and all self-regulatory organizations.

HOW DOES REGISTERING WITH THE COMMISSION PROTECT INVESTORS?

Registration requires all issuers of securities and market actors ("registrants") to provide the Commission with pertinent information regarding the company, its directors and the securities being offered to the public or to investors. The Commission ensures that the information meets the requirements of the law and is available to the public.

Firms and individuals are registered by category - each registration category attracts different educational and experience requirements, and permits different activities. The Commission ensures that the companies are genuine entities with a registered office, headed by qualified professionals who possess the knowledge, skills and experience to conduct the class of business for which the companies are being registered.

WHAT ARE THE QUALIFICATIONS FOR REGISTRATION?

Registration will not be granted unless the Commission is satisfied that an applicant is fit and proper, meets the

requirement of the law with respect to capital and educational qualifications and discloses any information that may affect the conduct and integrity of his business. This information is also available for public viewing at the Commission.

However, the provision of information does not end after the initial registration. Registrants are required to continuously provide the Commission, as well as investors, with information inclusive of changes which may positively or negatively impact the performance of their business and the securities available to investors.

IS REGISTRATION AN ENDORSEMENT?

While we advise investors to deal only with issuers and market actors that are registered with the Commission, registration with the Commission is NOT an endorsement of the registrant or of any security. The Commission provides neither guarantee nor opinion on the performance of the product.

Always remember, even though you are dealing with someone who is registered with the Commission, you should evaluate the registrant and the securities being offered and if necessary, seek independent financial advice before making an investment decision.

The Commission has provided a listing of companies and individuals who are authorized and registered to sell securities as at March 30, 2012 as indicated on the following pages.

WANT TO KNOW MORE?

For additional information, you are invited to contact, the **Trinidad and Tobago Securities and Exchange Commission**, at (868) 624-2991, or visit our website at www.ttsec.org.tt

DEFINITION OF TERMS

Broker/Dealer

An individual or firm acting as an intermediary between a buyer and a seller of securities, usually for a fee or a commission. When acting as a broker, a broker/dealer executes orders on behalf of his/her client. When acting as a dealer, a broker/dealer executes trades for his/her firm's own account

Investment Adviser

An individual or firm that advises clients on investment in, or the purchase or sale of securities on a professional basis.

Reporting Issuer

A corporation that has issued or proposes to issue securities to the public and is subject to the continuous disclosure requirements of the Commission.

Self-Regulatory Organization

A non-governmental organization that has the power to create and enforce industry regulations and standards. The priority is to protect investors through the establishment of rules that promote ethics and equality.

Trader

An employee of a broker who executes buy and sell orders for the broker and its clients either on a stock exchange or the over-the-counter market.

Underwriter

One who arranges a new issue of securities and agrees to purchase any unsold securities thereby guaranteeing full subscription.

Securities Company

A securities company is a hybrid in that it is a company that can act as a Broker and/or Dealer and /or Investment Adviser and /or Underwriter.

LIST OF REGISTRANTS: CONT'D

REPORTING ISSUERS

REPORTING ISSUERS

1. Add Venture Capital Fund Limited	24. Flavorite Foods Limited	47. National Maintenance Training and Security Company Limited	70. Scotiabank Trinidad & Tobago Limited
2. Agostini's Limited	25. FNCU Venture Capital Company Limited	48. Neal & Massy Holdings Limited	71. St Christopher Air and Sea Ports Authority
3. Airports Authority of Trinidad and Tobago	26. Fortress Caribbean High Interest Fund Limited	49. Nestle Trinidad and Tobago Limited	72. St. Kitts Urban Development Corporation Limited
4. Angostura Holdings Limited	27. Fortress Caribbean Property Fund Limited	50. One Caribbean Media Limited	73. Supreme Ventures Limited
5. Angostura Limited	28. Fortress Global Value Fund Limited	51. Point Lisas Industrial Port Development Corporation Limited	74. TCL Leasing Limited
6. ANSA McAL Limited	29. Fortress Mutual Fund Limited	52. Port Authority of Trinidad and Tobago	75. TCL Service Limited
7. Ansa Merchant Bank Limited	30. GraceKennedy Limited	53. Prestige Holdings Limited	76. Telecommunications Services of Trinidad and Tobago Limited
8. BCB Holdings Limited	31. Guardian Holdings Limited	54. Public Transport Service Corporation	77. The Barbados Shipping & Trading Company Limited
9. Berger Paints Trinidad Limited	32. Guardian Media Limited	55. RBC Financial (Caribbean) Limited	78. The Home Mortgage Bank
10. BWIA West Indies Airways Limited	33. Intercommercial Bank Limited	56. RBC Merchant Bank (Caribbean) Limited	79. The National Football Stadium Company Limited
11. Capital & Credit Merchant Bank Limited	34. Jamaica Money Market Brokers Limited	57. RBTT Bank Barbados Limited	80. The West Indian Tobacco Company Limited
12. Capital and Credit Financial Group Limited	35. Jamaica Select Index Fund Limited	58. RBTT Finance Limited	81. Tourism & Industrial Development Company of Trinidad & Tobago Limited
13. Caroni (1975) Limited	36. L.J. Williams Limited	59. ReadyMix (West Indies) Limited	82. Transjamaican Highway Limited
14. Citibank (Trinidad and Tobago) Limited	37. La Brea Industrial Development Company Limited	60. Republic Bank Limited	83. Trinidad and Tobago Housing Development Corporation
15. Citicorp Merchant Bank Limited	38. Life Settlements Funds Limited	61. Republic Finance and Merchant Bank Limited	84. Trinidad and Tobago Mortgage Finance Company Limited
16. Cool Petroleum (St. Lucia) Limited	39. Manulife Investment Exchange Funds Corp	62. Royal Bank of Canada	85. Trinidad and Tobago Unit Trust Corporation
17. Development Finance Limited	40. Mega Insurance Company Limited	63. Royal Skandia Life Assurance Limited	86. Trinidad Cement Limited
18. Dynamic Equity Fund II Limited	41. Mora Ven Holdings Limited	64. Sagcor Asset Management (Trinidad and Tobago) Limited	87. Trinidad Select Index Fund Limited
19. Dynamic Equity Venture Fund Limited	42. National Commercial Bank Jamaica Limited	65. Sagcor Financial Corporation	88. Unilever Caribbean Limited
20. Education Facilities Company Limited	43. National Enterprises Limited	66. Sagcor Funds Incorporated	89. Unit Trust Corporation (Cayman) SPC Limited
21. First Citizens Asset Management Limited	44. National Flour Mills Limited	67. Schroder International Selection Fund	90. Urban Development Corporation of Trinidad & Tobago Limited
22. First Citizens Bank Limited	45. National Infrastructure Development Company Limited	68. Scotia Caribbean Income Fund Inc	91. VT Umbrella Fund PCC Limited
23. FirstCaribbean International Bank Limited	46. National Insurance Property Development Company Ltd.	69. Scotia Investments Jamaica Limited	92. Water & Sewerage Authority

INVESTMENT ADVISERS

INVESTMENT ADVISERS	RENEWAL DATE
1. Burris, Stephen	9-Mar-2013
2. Clewett, Nigel	10-Aug-2012
3. FCL Financial Limited	15-Jan-2013
4. FirstCaribbean International Bank (Trinidad & Tobago) Limited	31-May-2012
5. Funds International Limited	2-Feb-2013
6. Global Financial Brokers Limited	4-Dec-2012
7. Guardian Life of the Caribbean Limited	12-Oct-2012
8. Goolcharan, Vishal	11-Jan-2013
9. Husain, Haroon	27-Jun-2012
10. Infinity Financial Engineering Limited	12-Mar-2013
11. International Wealth and Investment Network Limited	13-Jun-2012
12. Marquis Portfolio Managers Limited	10-Jun-2012
13. Mondial (Trinidad) Limited	4-Dec-2012
14. Quan-Soon, Ian	15-Aug-2012
15. RBC Investment Management (Caribbean) Limited	1-Oct-2012
16. Republic Securities Limited	4-Dec-2012
17. Ruby Wealth Management Limited	7-June-2012
18. The Beacon Asset Management Limited	7-May-2012
19. Vega Capital Management Limited	14-Apr-2012

SELF-REGULATORY ORGANIZATIONS

SELF-REGULATORY ORGANIZATIONS	RENEWAL DATE
1. The Trinidad and Tobago Stock Exchange Limited	24-Apr-2012
2. The Trinidad and Tobago Central Depository Limited	7-Nov-2012

TRADERS

TRADERS	COMPANY	RENEWAL DATE
1. Basdeo, Roshan	Bourse Securities Limited	27-Sep-2012
2. Chen, Nancy	West Indies Stockbrokers Limited	27-Jan-2013
3. Coonai, Ryan	Bourse Brokers Limited	8-Nov-2012
4. Eve, Patricia	Republic Securities Limited	23-Jun-2012
5. Gajadar, Kerry	Caribbean Stockbrokers Limited	7-Sep-2012
6. Inness-Bernard, Judy	Republic Securities Limited	4-Dec-2012
7. Julien, Jason	First Citizens Investment Services Limited	30-Jun-2012
8. Leons, Keron	First Citizens Investment Services Limited	16-Nov-2012
9. Mahabirsingh, Sherma	First Citizens Investment Services Limited	13-Nov-2012
10. Mohammed, Shaun	Bourse Brokers Limited	20-May-2012
11. Mootearam, Charissa	First Citizens Brokerage & Advisory Services Limited	8-Feb-2013
12. Ramnath-Singh, Gail	Caribbean Stockbrokers Limited	4-Dec-2012
13. Ramroop, Diana	First Citizens Brokerage & Advisory Services	23-Mar-2013
14. Savary, Hilary	AIC Securities Limited	17-Feb-2013
15. Sookhoo, Anganie	RBC Merchant Bank (Caribbean) Limited	18-Mar-2013
16. St. Clair, Tallia	Scotia Investments Trinidad & Tobago Limited	26-July-2012
17. Viera, Lisa Ann	AIC Securities Limited	16-Feb-2013
18. Wells-Fraser, Bernadette	AIC Securities Limited	12-Jun-2012

SECURITIES COMPANIES

SECURITIES COMPANY NAME	CLASSES OF BUSINESS	RENEWAL DATE
1. AIC Securities Limited	Broker, Dealer, Investment Adviser, Underwriter	9-Oct-2012
2. Ansa Merchant Bank Limited	Broker (G), Dealer, Investment Adviser, Underwriter	4-Dec-2012
3. Ansa Securities Limited	Broker (G), Dealer, Investment Adviser, Underwriter	18-Sep-2012
4. Bourse Brokers Limited	Broker, Dealer, Investment Adviser, Underwriter	12-Mar-2013
5. Bourse Securities Limited	Broker, Dealer, Investment Adviser, Underwriter	4-Dec-2012
6. Caribbean Stockbrokers Limited	Broker, Dealer, Investment Adviser, Underwriter	13-Jun-2012
7. Citicorp Merchant Bank Limited	Broker (G), Dealer, Underwriter	10-Oct-2012
8. Development Finance Limited	Dealer, Investment Adviser, Underwriter	4-Dec-2012
9. First Citizens Asset Management Limited	Dealer, Investment Adviser, Underwriter	9-Apr-2013
10. First Citizens Bank Limited	Broker (G), Investment Adviser, Underwriter	10-Jan-2013
11. First Citizens Brokerage and Advisory Services Limited	Broker, Dealer, Investment Adviser, Underwriter	6-Mar-2013
12. First Citizens Investment Services Limited	Broker, Dealer, Investment Adviser, Underwriter	26-Apr-2012
13. First Citizens Securities Trading Limited	Dealer, Investment Adviser, Underwriter	4-Dec-2012
14. FirstCaribbean International Bank (Trinidad and Tobago) Ltd.	Broker (G)	18-Mar-2013
15. First Global (Trinidad and Tobago) Limited	Dealer, Investment Adviser, Underwriter	13-Jul-2012
16. Firstline Securities Limited	Dealer, Investment Adviser, Underwriter	2-Mar-2013
17. General Finance Corporation Limited	Dealer, Investment Adviser, Underwriter	21-Feb-2013
18. Guardian Asset Management Limited	Broker, Dealer, Investment Adviser, Underwriter	10-Mar-2013
19. Guardian Asset and Investment Services Limited	Broker, Dealer, Investment Adviser, Underwriter	30-Sep-2012
20. Intercommercial Bank Limited	Broker (G), Dealer, Investment Adviser, Underwriter	8-Nov-2012
21. Intercommercial Trust and Merchant Bank Limited	Dealer, Investment Adviser, Underwriter	22-Mar-2013
22. KCL Capital Market Brokers Limited	Dealer, Investment Adviser, Underwriter	17-Mar-2012
23. KSBM Asset Management Limited	Broker, Dealer, Investment Adviser, Underwriter	18-Mar-2013
24. Murphy Clarke Financial Limited	Dealer, Investment Adviser, Underwriter	8-Dec-2012
25. RBC Merchant Bank (Caribbean) Limited	Broker, Dealer, Underwriter	13-Aug-2012
26. Republic Bank Limited	Dealer, Investment Adviser, Underwriter	4-Dec-2012
27. Republic Finance and Merchant Bank Limited	Underwriter	4-Dec-2012
28. Republic Securities Limited	Broker	4-Dec-2012
29. Sagcor Asset Management (Trinidad and Tobago) Limited	Dealer, Investment Adviser, Underwriter	12-Jan-2013
30. Sagcor Life Incorporated	Dealer, Investment Adviser, Underwriter	11-Jan-2013
31. Scotia Investments (Trinidad and Tobago) Limited	Broker, Dealer, Investment Adviser, Underwriter	25-May-2012
32. Scotiabank Trinidad & Tobago Limited	Underwriter	4-Dec-2012
33. Scotiatrust and Merchant Bank Trinidad and Tobago Limited	Dealer, Investment Adviser, Underwriter	4-Dec-2012
34. Sheppard Securities Limited	Broker	22-Mar-2013
35. Trinidad and Tobago Unit Trust Corporation	Broker (G), Dealer, Investment Adviser, Underwriter	12-Dec-2012
36. West Indies Stockbrokers Limited	Broker, Dealer, Investment Adviser, Underwriter	9-May-2012

TRADERS IN GOVERNMENT OF TRINIDAD AND TOBAGO BONDS ALONE

TRADERS	COMPANY	RENEWAL DATE
1. Basdeo, Anderson	Citicorp Merchant Bank Limited	16-Nov-2012
2. Ghany, Rianna Sarah	First Citizens Bank Limited	31-Jan-2013
3. Martineau, Dan	Ansa Merchant Bank Limited	13-Jan-2013
4. Melville, Cecilia	Citicorp Merchant Bank Limited	10-Oct-2012
5. Wallace, Chivonne	First Citizens Bank Limited	31-Jan-2013

UNDERWRITERS

UNDERWRITERS	RENEWAL DATE
1. FirstCaribbean International Bank (Bahamas) Limited	13-Jun-2012
2. FirstCaribbean International Bank (Trinidad & Tobago) Limited	4-Dec-2012

LIST OF REGISTRANTS

THE PUBLIC IS HEREBY NOTIFIED OF THE LIST OF VALID REGISTRANTS, BY CLASS OF REGISTRANT, ON THE REGISTER OF THE TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION, PURSUANT TO SECTION 53(5)(A) OF THE SECURITIES INDUSTRY ACT, 1995 AS AT MARCH 30, 2012.

BROKERS

BROKERS	COMPANY	RENEWAL DATE
1. Akan, Myrnelle V.	AIC Securities Limited	4-Dec-2012
2. Ali, Salma	West Indies Stockbrokers Limited	17-Nov-2012
3. Alleyne, Harold	Caribbean Stockbrokers Limited	13-Dec-2012
4. Alviar, Oscar	Personal	8-Dec-2012
5. Bridgewater, Joanne	Republic Securities Limited	16-Nov-2012
6. Carrera-Justiz, Francisco	Personal	15-Aug-2012
7. Cugliari, Fernando	Personal	8-Dec-2012
8. Fadahuni, Lai	AIC Securities Limited	10-Oct-2012
9. Fletcher, Claire	Scotia Investments Trinidad and Tobago Limited	30-Dec-2012
10. Gosein, Godfrey	Republic Securities Limited	9-May-2012
11. Hepburn, Karrian	Scotia Investments Trinidad and Tobago Limited	25-July-2012
12. Ho Sing Loy, Ameen	RBC Merchant Bank (Caribbean) Limited	13-Aug-2012
13. Johnson, Alvin	Caribbean Stockbrokers Limited	4-Dec-2012
14. Manmohan, Adrian	West Indies Stockbrokers Limited	10-Apr-2013
15. Montes, Francisco	Personal	15-Aug-2012
16. Mullings, Donovan	Bourse Brokers Limited	4-Dec-2012
17. Naine, Ian	Guardian Asset Management Limited	10-Apr-2013
18. Padmore, Winston	Personal	4-Dec-2012
19. Ramkhelawan, Sarodh	Bourse Securities Limited	18-Feb-2013

BROKERS CONT'D

BROKERS	COMPANY	RENEWAL DATE
20. Ramkhelawan, Subhas	Bourse Securities Limited	4-Dec-2012
21. Salvary, Brent	KSBM Asset Management Limited	18-Jan-2013
22. Seebaran, Madree	Bourse Securities Limited	9-Oct-2012
23. Sheppard, George	Sheppard Securities Limited	14-Nov-2012
24. St. Louis, Leslie	First Citizens Brokerage & Advisory Services Limited	15-Mar-2013
25. Syne, Sascha	First Citizens Investment Services Limited	8-Feb-2013
26. Tang Nian, Stephen	RBC Merchant Bank (Caribbean) Limited	8-Dec-2012
27. Thomas, Rowland	Guardian Asset Management & Investment Services Limited	29-Sept-2012

BROKERS IN GOVERNMENT OF TRINIDAD & TOBAGO BONDS ALONE

BROKERS	COMPANY	RENEWAL DATE
1. Awai, Gary	Intercommercial Bank Limited	8-Nov-2012
2. Darbasie, Karen	Citicorp Merchant Bank Limited	10-Oct-2012
3. Khodai, Keshwar	First Citizens Bank Limited	23-Jan-2013
4. Maharaj, Varun	Ansa Merchant Bank Ltd/ Ansa Securities Ltd	10-Oct-2012
5. Persad, Michelle	Trinidad and Tobago Unit Trust Corporation	12-Mar-2013
6. Shah, Reaz	FirstCaribbean International Bank (Trinidad and Tobago) Limited	18-Mar-2013



Trinidad and Tobago

Securities and Exchange Commission

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

Phone: (868)-624-2991; 624-3017; 624-6708;

625-8508 Fax: (868)-624-2995

E-mail: ttsec@ttsec.org.tt Website: www.ttsec.org.tt