



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 securities market by registering all securities that are distributed to the public, all issuers of those securities, and market intermediaries directly involved in the issuance, offering and sale of those securities. e.g. Broker-Dealers, Investment Advisers, Underwriters, and Self-Regulatory Organizations. Certain employees or officers of Broker-Dealers, Investment Advisers and Underwriters are also required to be registered with the Commission as Registered Representatives.

HOW DOES REGISTERING WITH THE COMMISSION PROTECT INVESTORS?

Registration requires all registrants (issuers of securities as well as market intermediaries such as Broker-Dealers, Investment Advisers, and Underwriters) to provide the Commission with pertinent information regarding the registrant itself (such as background information on its operations, management and financial position) as well as the securities being distributed 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 registrants 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 a registrant or security.

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.

DEFINITION OF TERMS

Broker-Dealer

A 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 its client. When acting as a dealer, a broker-dealer executes trades for its 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.

Registered Representative

An employee or officer of a registered Broker-Dealer, Investment Adviser or Underwriter who liaises with members of the public on behalf of their employers further to the offering, distribution or sale of securities.

Reporting Issuer

A corporation that has issued or proposes to distribute securities to the public and is subject to the continuous disclosure requirements of the Securities Act, 2012.

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.

Underwriter

A company that arranges for the issuance or distribution of securities and/or agrees to purchase any unsold securities thereby guaranteeing full subscription.

In accordance with the requirements of Section 52(8) of the Securities Act, 2012, the Commission has provided a listing of companies and individuals who are authorized and registered to sell securities as at March 31, 2014 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.

LIST OF REGISTRANTS: CONT'D

REGISTERED REPRESENTATIVES***		
NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER-DEALER	TYPE OF REGISTERED REPRESENTATIVE
1. Alexander, Liesel	KCL Capital Market Brokers Limited	Broker
2. Agostini, Chantal	First Citizens Brokerage and Advisory Services Limited	Trader
3. Ali, Salma	West Indies Stockbrokers Limited	Broker
4. Alleyne, Harold	Caribbean Stockbrokers Limited	Broker
5. Awai, Gary*	Intercommercial Bank Limited	Broker
6. Basdeo, Anderson*	Citicorp Merchant Bank Limited	Trader
7. Basdeo, Roshan	West Indies Stockbrokers Limited	Trader
8. Bridgewater, Joanne	Republic Securities Limited	Broker
9. Chen, Nancy	West Indies Stockbrokers Limited	Trader
10. Chin, Ian*	Ansa Merchant Bank Limited	Broker
11. Clarke, Terrence	Maritime Capital Limited	Dealer, Investment Adviser & Underwriter
12. Coonai Ryan	Bourse Brokers Limited	Trader
13. Crooks, Victoria	Sheppard Securities Limited	Trader
14. Darbasie, Karen*	Citicorp Merchant Bank Limited	Broker
15. Eve, Patricia	Republic Securities Limited	Trader
16. Fadahuni, Lai	AIC Securities Limited	Broker
17. Fletcher, Claire	Scotia Investments Trinidad and Tobago Limited	Broker
18. Gajadar, Kerry	Caribbean Stockbrokers Limited	Trader
19. Gatt, Gordon (Jr.)	Sheppard Securities Limited	Trader
20. Ghany, Rianna Sarah*	First Citizens Bank Limited	Trader
21. Gosein, Godfrey	Republic Securities Limited	Broker
22. Hepburn, Karrian	Scotia Investments Trinidad and Tobago Limited	Broker
23. Ho Sing Loy, Ameen*	RBC Merchant Bank (Caribbean) Limited	Trader
24. Inniss-Bernard, Judy	Republic Securities Limited	Trader
25. Johnson, Alvin	Caribbean Stockbrokers Limited	Broker
26. Julien, Jason	First Citizens Investment Services Limited	Trader
27. Leggard, Kaffi	Sheppard Securities Limited	Trader
28. Leons, Keron	First Citizens Investment Services Limited	Trader
29. Mahabirsingh, Sherna	First Citizens Investment Services Limited	Trader
30. Mannohan, Adrian	West Indies Stockbrokers Limited	Broker
31. Martineau, Dan*	Trinidad and Tobago Unit Trust Corporation	Broker
32. Mitchell, Eva	Scotia Investments (Trinidad and Tobago) Limited	Trader
33. Mohammed, Shaun	Bourse Brokers Limited	Trader
34. Mooteram, Charissa	Bourse Securities Limited	Trader
35. Mullings, Donovan	Bourse Brokers Limited	Broker
36. Murray, Scott	Sheppard Securities Limited	Trader
37. Narine, Ian	Guardian Asset Management Limited	Broker
38. O'Brien, Anna*	First Citizens Bank Limited	Trader
39. Pereira, Marc	Sheppard Securities Limited	Trader
40. Ramkhalawan, Sarodh	Bourse Securities Limited	Broker
41. Ramkhalawan, Subhas	Republic Securities Limited	Broker
42. Ramlogan, Rawle	The Home Mortgage Bank	Dealer and Underwriter
43. Ramnath-Singh, Gail	Caribbean Stockbrokers Limited	Trader
44. Ramroop, Dianna	First Citizens Brokerage and Advisory Services Limited	Trader
45. Ramsaran, Anrika	Bourse Securities Limited	Trader
46. Roberts, Steve	Republic Wealth Management Limited	Investment Adviser
47. Sabga, Nigel A	Ansa Merchant Bank Limited	Trader
48. Salloum, Christianne	Sheppard Securities Limited	Trader
49. Salvary, Brent	KSBM Asset Management Limited	Broker
50. Savary, Hilary	AIC Securities Limited	Trader
51. Sheppard, Alan	Sheppard Securities Limited	Trader
52. Sheppard, George	Sheppard Securities Limited	Broker
53. Singh, Mark	JMMB Investments (Trinidad and Tobago) Limited	Trader
54. Sookhoo, Angarie	RBC Merchant Bank (Caribbean) Limited	Trader
55. St. Louis, Leslie	First Citizens Brokerage and Advisory Services Limited	Broker
56. Syne, Sascha	First Citizens Investment Services Limited	Broker
57. Tang Nian, Stephen	RBC Merchant Bank (Caribbean) Limited	Broker
58. Thomas, Rowland	Guardian Asset Management & Investment Services Ltd.	Broker
59. Thompson, Leah	Sheppard Securities Limited	Trader
60. Viera, Lisa Ann	AIC Securities Limited	Trader
61. Wallace, Chivonne*	First Citizens Bank Limited	Trader
62. Wells-Fraser, Bernadette	AIC Securities Limited	Trader

* - These individuals are Registered Representatives who are registered to conduct business solely in Government of Trinidad and Tobago (GOTT) Bonds
*** - All Broker-Dealers, Investment Advisers, Self-Regulatory Organizations, Underwriters and Registered Representatives are required to renew their registrations annually. Under the transitional provisions of Section 53 of the Securities Act, 2012 however, these registrants have been given a transitional period (until December 31, 2013) during which they may continue to operate in the securities market. By way of Order dated December 18, 2013 however, the Commission Ordered that this transitional period be extended to December 31, 2014. In order to continue operating in the securities market after that period, these registrants will be required to regularize their status as registrants under the Securities Act, 2012.

**** - As a Broker-Dealer, First Citizens Bank Limited is registered to conduct business in the categories of Broker in GOTT Bonds, Investment Adviser, and Underwriter. However, their registration to conduct business in the category of Broker in GOTT Bonds is currently suspended. This suspension became effective on March 25, 2014.

***** - GraceKennedy (Trinidad and Tobago) Limited's registration as a Broker-Dealer is currently suspended. This suspension became effective on January 12, 2014.

SELF-REGULATORY ORGANIZATIONS ***

1. The Trinidad and Tobago Central Depository Limited
2. The Trinidad and Tobago Stock Exchange Limited

REPORTING ISSUERS

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

LIST OF REGISTRANTS

Broker-Dealers ***

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|---|--|---|
| 1. AIC Securities Limited | 16. First Citizens Investment Services Limited | 31. Padmore, Winston ** |
| 2. Akan, Myrnelle V. ** | 17. First Citizens Securities Trading Limited | 32. RBC Merchant Bank (Caribbean) Limited |
| 3. Alviar, Oscar ** | 18. Firstline Securities Limited | 33. Republic Bank Limited |
| 4. Ansa Merchant Bank Limited | 19. General Finance Corporation Limited | 34. Republic Finance and Merchant Bank Limited |
| 5. Ansa Securities Limited | 20. GraceKennedy (Trinidad and Tobago) Limited ***** | 35. Republic Securities Limited |
| 6. Bourse Brokers Limited | 21. Guardian Asset Management & Investment Services Ltd. | 36. Sagcor Asset Management (Trinidad and Tobago) Limited |
| 7. Bourse Securities Limited | 22. Guardian Asset Management Limited | 37. Sagcor Life Incorporated |
| 8. Caribbean Stockbrokers Limited | 23. Intercommercial Bank Limited | 38. Scotia Investments (Trinidad and Tobago) Limited |
| 9. Carrera-Jusz, Francisco ** | 24. Intercommercial Trust and Merchant Bank Limited | 39. Scotiabank Trinidad & Tobago Limited |
| 10. Citicorp Merchant Bank Limited | 25. JMMB Investments (Trinidad and Tobago) Limited | 40. Scotiabank Trinidad & Tobago Ltd. |
| 11. Clouden, Randolph ** | 26. KCL Capital Market Brokers Limited | 41. Sheppard Securities Limited |
| 12. Development Finance Limited | 27. KSBM Asset Management Limited | 42. The Home Mortgage Bank |
| 13. First Citizens Asset Management Limited | 28. Maritime Capital Limited | 43. Trinidad and Tobago Unit Trust Corporation |
| 14. First Citizens Bank Limited **** | 29. Montes, Francisco ** | 44. West Indies Stockbrokers Limited |
| 15. First Citizens Brokerage & Advisory Services Ltd. | 30. Murphy Clarke Financial Limited | |

** - These are individuals who were previously registered as independent Brokers under the Securities Industry Act, 1995. Further to section 53(1)(a) of the Securities Act, 2012 these individuals are deemed to be Broker-Dealers until December 31, 2013. By way of Order dated December 18, 2013 however, the Commission Ordered that this transitional period be extended to December 31, 2014.

Investment Advisers ***

1. Bharath, Adrian
2. Burris, Stephen
3. Clewett, Nigel
4. FCL Financial Limited
5. Funds International Limited
6. Global Financial Brokers Limited
7. Goolcharan, Vishal
8. Guardian Life of the Caribbean Limited
9. Husain, Haroon
10. Infinity Financial Engineering Limited
11. Marquis Portfolio Managers Limited
12. Mondial (Trinidad) Limited
13. Quan-Soon, Ian
14. RBC Investment Management (Caribbean) Limited
15. Republic Wealth Management Limited
16. Ruby Wealth Management Limited
17. Vega Capital Management Limited

Underwriters ***

1. FirstCaribbean International Bank (Bahamas) Limited



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

57-59 DUNDONALD STREET, PORT OF SPAIN, TRINIDAD, W.I.
• Telephone: (868) 624-2991 / 3017 • Facsimile: (868) 624-2995
• E-mail: ttsec@ttsec.org.tt • Website: www.ttsec.org.tt

Regulating The Securities Industry So That You Can INVEST WITH CONFIDENCE!