



LIST OF REGISTRANTS AS AT 31ST MARCH 2025

The Trinidad and Tobago Securities and Exchange Commission (“the Commission”) is responsible for the oversight of the securities industry ensuring that it 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 Organisations*. 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?

The registration process 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 any securities that the registrant intends to distribute. **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, experience, and financial requirements, and permits the registrant to conduct different activities. **The Commission ensures that the companies are genuine entities with a registered office, staffed 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 the applicant’s business. This information is also available for public viewing at the Commission.

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.

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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 their client. When acting as a dealer, a Broker-Dealer executes trades for the firm's own account. Broker-Dealers may also be permitted to discharge the functions of an Underwriter and/or the Manager of a Collective Investment Scheme.
- ***Investment Adviser***
An individual or firm that advises clients on investment in, or the purchase or sale of securities on a professional basis.
- ***Underwriter***
A company that arranges for the issuance or distribution of securities and/or agrees to purchase any unsold securities thereby guaranteeing subscription either in full or in part.
- ***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.
- ***Sponsored Broker-Dealer or Sponsored Investment Adviser***
An individual who is employed by a Brokerage or Investment firm from a foreign jurisdiction. This individual aligns with a local Broker-Dealer or Investment Adviser who sponsors that individual's registration with the Commission. A Sponsored Broker-Dealer or Sponsored Investment Adviser that is registered with the Commission can conduct securities business in Trinidad and Tobago for a maximum of ninety (90) days in a calendar year.
- ***Reporting Issuer***
A corporation that has distributed or proposes to distribute securities to the public and is subject to the continuous disclosure requirements of the Commission.

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- ***Self-Regulatory Organisation***

A non-governmental organisation 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.

In accordance with the requirements of Section 52(8) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago, the Commission provides the undermentioned list of its Registrants and Self-Regulatory Organisations as at 31st March 2025.

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.

| <u>BROKER-DEALERS</u> | |
|------------------------------|---|
| 1. | Admiral Limited |
| 2. | Ansa Merchant Bank Limited |
| 3. | ANSA Wealth Management Limited |
| 4. | B3V Holdings Limited |
| 5. | Bourse Brokers Limited |
| 6. | Bourse Securities Limited |
| 7. | Capital Markets Elite Group (Trinidad and Tobago) Limited |
| 8. | Caribbean Stockbrokers Limited |
| 9. | CIBC Caribbean Bank (Trinidad & Tobago) Limited |
| 10. | Citicorp Merchant Bank Limited |
| 11. | Development Finance Limited |
| 12. | FigTree Financial (T&T) Limited |
| 13. | First Citizens Bank Limited |
| 14. | First Citizens Brokerage and Advisory Services Limited |
| 15. | First Citizens Depository Services Limited |
| 16. | First Citizens Investment Services Limited |
| 17. | First Citizens Portfolio and Investment Management Services Limited |
| 18. | Firstline Securities Limited |
| 19. | Guardian Asset Management and Investment Services Limited |
| 20. | Guardian Group Trust Limited |
| 21. | JMMB Bank (T&T) Limited |
| 22. | JMMB Investments (Trinidad and Tobago) Limited |
| 23. | JMMB Securities (T&T) Limited |
| 24. | KCL Capital Market Brokers Limited |
| 25. | KSBM Asset Management Limited |
| 26. | Maritime Capital Limited |

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| 27. | Massy Finance GFC Ltd. |
| 28. | Murphy Clarke Financial Limited |
| 29. | NCB Merchant Bank (Trinidad and Tobago) Limited |
| 30. | RBC Investment Management (Caribbean) Limited |
| 31. | RBC Royal Bank (Trinidad and Tobago) Limited |
| 32. | Republic Bank Limited |
| 33. | Republic Wealth Management Limited |
| 34. | Sagicor Investments Trinidad & Tobago Limited |
| 35. | Sagicor Life Incorporated |
| 36. | Scotia Investments (Trinidad and Tobago) Limited |
| 37. | Scotiabank Trinidad and Tobago Limited |
| 38. | Sheppard Securities Limited |
| 39. | Sheppard Stockbrokers Limited |
| 40. | The Home Mortgage Bank |
| 41. | Trinidad and Tobago Unit Trust Corporation |
| 42. | Waterloo Capital Advisors Limited |
| 43. | West Indies Stockbrokers Limited |

INVESTMENT ADVISERS

| | |
|----|--|
| 1. | Aspire Fund Management Company Limited |
| 2. | Burris, Stephen |
| 3. | Guardian Life of the Caribbean Limited |
| 4. | Mondial (Trinidad) Limited |
| 5. | SEAF Caribbean Management LLC |
| 6. | SHBL Investments Company Limited |
| 7. | Williams, Aldon Philip |

UNDERWRITERS

| | |
|----|---------------------------------------|
| 1. | RBC Merchant Bank (Caribbean) Limited |
|----|---------------------------------------|

REGISTERED REPRESENTATIVES

| | NAME OF REGISTERED REPRESENTATIVE | ASSOCIATED BROKER-DEALER, INVESTMENT ADVISER OR UNDERWRITER | TYPE OF REGISTERED REPRESENTATIVE |
|----|-----------------------------------|---|-----------------------------------|
| 1. | Abdool, Amani | First Citizens Portfolio and Investment Management Services Limited | Advising |
| 2. | Abraham, Jasmin | West Indies Stockbrokers Limited | Associate |
| 3. | Achong, Sean | Ansa Merchant Bank Limited | Brokering |
| 4. | Achong, Sean | ANSA Wealth Management Limited | Brokering |

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| | NAME OF REGISTERED REPRESENTATIVE | ASSOCIATED BROKER-DEALER, INVESTMENT ADVISER OR UNDERWRITER | TYPE OF REGISTERED REPRESENTATIVE |
| 5. | Adam, Karen | Sagicor Investments Trinidad & Tobago Limited | Associate |
| 6. | Akan, Myrnelle | SHBL Investments Company Limited | Advising |
| 7. | Albert, Joanne | First Citizens Investment Services Limited | Advising |
| 8. | Alexander, Liesel | KCL Capital Market Brokers Limited | Advising, Brokering and Underwriting |
| 9. | Alexander, Liesel | Aspire Fund Management Company Limited | Advising |
| 10. | Alexander, Ria | Scotiabank Trinidad and Tobago Limited | Brokering |
| 11. | Alexander, Sharon | First Citizens Bank Limited | Brokering |
| 12. | Alfred-Pierre, Annissa | Trinidad and Tobago Unit Trust Corporation | Advising and Brokering |
| 13. | Ali, Christopher | First Citizens Bank Limited | Brokering |
| 14. | Ali, Salahudeen | Maritime Capital Limited | Brokering |
| 15. | Ali, Salma | West Indies Stockbrokers Limited | Brokering |
| 16. | Ali, Sarfraz | Scotiabank Trinidad and Tobago Limited | Associate |
| 17. | Ali-Manoo, Anisha | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 18. | Alleyne, Candice | Scotiabank Trinidad and Tobago Limited | Associate |
| 19. | Alleyne, Harold | Caribbean Stockbrokers Limited | Advising, Brokering and Underwriting |
| 20. | Alleyne, Joshua | Sheppard Securities Limited | Associate |
| 21. | Alleyne, Joshua | Sheppard Stockbrokers Limited | Associate |
| 22. | Alleyne, Tevaughn | Firstline Securities Limited | Advising and Brokering |
| 23. | Alli, Tariq | Massy Finance GFC Ltd. | Advising, Brokering and Underwriting |
| 24. | Andrews Kent, Susan | Guardian Asset Management and Investment Services Limited | Associate |
| 25. | Andrews, Schubert | Trinidad and Tobago Unit Trust Corporation | Advising and Brokering |
| 26. | Aparicio-Owen, Talia | Scotiabank Trinidad and Tobago Limited | Advising and Brokering |
| 27. | Assing, Ryan | Scotiabank Trinidad and Tobago Limited | Brokering |
| 28. | Atwell, Amrika | First Citizens Bank Limited | Brokering |
| 29. | Atwell, Gabrielle | First Citizens Bank Limited | Brokering |

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| 30. | Austin, Kirby | JMMB Investments (Trinidad and Tobago) Limited | Advising |
| 31. | Austin, Marsha | Scotiabank Trinidad and Tobago Limited | Advising and Brokering |
| 32. | Awai, Gary | Development Finance Limited | Advising, Brokering and Underwriting |
| 33. | Baal, Rima | First Citizens Bank Limited | Brokering |
| 34. | Badall, Kavita | Scotiabank Trinidad and Tobago Limited | Advising and Brokering |
| 35. | Baiju, Kirsten | Sheppard Securities Limited | Associate |
| 36. | Baiju, Kirsten | Sheppard Stockbrokers Limited | Associate |
| 37. | Balgobin, Robert | KSBM Asset Management Limited | Advising and Brokering |
| 38. | Ballantyne-Pascall, Keisha | RBC Investment Management (Caribbean) Limited | Advising and Brokering |
| 39. | Balliram-Harripersad, Sharda | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 40. | Balraj, Ronnie | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 41. | Bando-Collins, Judith | Republic Bank Limited | Brokering and Underwriting |
| 42. | Baptiste, Jason | JMMB Bank (T&T) Limited | Advising, Brokering and Underwriting |
| 43. | Baptiste, Tamara | RBC Merchant Bank (Caribbean) Limited | Underwriting |
| 44. | Basdeo, Anderson | Citicorp Merchant Bank Limited | Brokering |
| 45. | Basdeo, Roshan | JMMB Securities (T&T) Limited | Brokering |
| 46. | Bassant, Terrence | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 47. | Bayne, Ryan | Sheppard Securities Limited | Advising |
| 48. | Beachoo, Dana | Waterloo Capital Advisors Limited | Brokering |
| 49. | Beharrylal, Roshni | Scotiabank Trinidad and Tobago Limited | Associate |
| 50. | Belmontes, Jesse | Scotiabank Trinidad and Tobago Limited | Associate |
| 51. | Bernard, Rachel | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 52. | Bhagan, Candice | West Indies Stockbrokers Limited | Brokering |
| 53. | Bhagwandeem-Ramdhanie, Samantha | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 54. | Bhagwandin, Chrysse | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |

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| 55. | Bharat, Renata | Bourse Brokers Limited | Advising |
| 56. | Bhattan-Jones, Susan | First Citizens Bank Limited | Brokering |
| 57. | Bisnath, Julia | The Home Mortgage Bank | Advising, Brokering and Underwriting |
| 58. | Bissessar, Avinash | First Citizens Investment Services Limited | Brokering |
| 59. | Bissessar, Avinash | First Citizens Brokerage and Advisory Services Limited | Brokering |
| 60. | Bissessar, Avinash | First Citizens Portfolio and Investment Management Services Limited | Brokering |
| 61. | Blackman, Javan | First Citizens Bank Limited | Brokering |
| 62. | Blake, Lee-Ann | First Citizens Bank Limited | Associate |
| 63. | Bleasdell, Erica | Trinidad and Tobago Unit Trust Corporation | Advising and Brokering |
| 64. | Bleasdell, Jason | KCL Capital Market Brokers Limited | Associate |
| 65. | Bobb, Sheldon | Scotiabank Trinidad and Tobago Limited | Advising and Brokering |
| 66. | Boodram, Bheeshma | Republic Wealth Management Limited | Advising and Brokering |
| 67. | Boodram, Rodney Ajit | Trinidad and Tobago Unit Trust Corporation | Advising and Brokering |
| 68. | Boodram, Sheryl | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 69. | Boodram, Winston | CIBC Caribbean Bank (Trinidad & Tobago) Limited | Brokering and Underwriting |
| 70. | Borde-Ferreira, Sabrina | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 71. | Bosland, Dirk | First Citizens Depository Services Limited | Brokering |
| 72. | Bourne, Talibah | First Citizens Bank Limited | Associate |
| 73. | Bovell, Khadine | Firstline Securities Limited | Advising and Brokering |
| 74. | Bowen, Garth | Guardian Asset Management and Investment Services Limited | Advising |
| 75. | Bowen, Wendell | First Citizens Bank Limited | Brokering |
| 76. | Bridgelal, Judy | Sagicor Investments Trinidad & Tobago Limited | Associate |
| 77. | Bridglal, Alvin | B3V Holdings Limited | Brokering |
| 78. | Bridglal, Bradley | Republic Bank Limited | Brokering and Underwriting |

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| 79. | Brown, Ryan | Guardian Asset Management and Investment Services Limited | Advising and Brokering |
| 80. | Budrie, Leanna | Bourse Securities Limited | Associate |
| 81. | Cabral, Kassann | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 82. | Campbell, Brent | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 83. | Cassim, Marc | Scotiabank Trinidad and Tobago Limited | Advising and Brokering |
| 84. | Cedenio, Claude | Firstline Securities Limited | Advising and Brokering |
| 85. | Chamely, Anna | Murphy Clarke Financial Limited | Advising |
| 86. | Charles Jnr, Andrew | Murphy Clarke Financial Limited | Brokering |
| 87. | Charles, Latoya | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 88. | Charles, Leosha | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 89. | Charles, Ray | Scotiabank Trinidad and Tobago Limited | Associate |
| 90. | Chen, Nicholas | First Citizens Bank Limited | Brokering |
| 91. | Chester, Ryan | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 92. | Chin, Ian | Ansa Merchant Bank Limited | Advising, Brokering and Underwriting |
| 93. | Chin, Ian | ANSA Wealth Management Limited | Advising and Brokering |
| 94. | Clarke, John Peter | Republic Bank Limited | Advising and Brokering |
| 95. | Clarke, Leslie | Murphy Clarke Financial Limited | Brokering and Underwriting |
| 96. | Clarke-Mohan, Narda | First Citizens Depository Services Limited | Brokering |
| 97. | Clifton, Emile | Guardian Asset Management and Investment Services Limited | Advising and Brokering |
| 98. | Coonai, Ryan | Capital Markets Elite Group (Trinidad and Tobago) Limited | Advising and Brokering |
| 99. | Cooper, Michael | Firstline Securities Limited | Associate |
| 100. | Crawford, Shaun | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 101. | Creese, Marli | NCB Merchant Bank (Trinidad and Tobago) Limited | Advising, Brokering and Underwriting |
| 102. | Crooks, Victoria Marie | Sheppard Securities Limited | Brokering |

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| 103. | Crooks, Victoria Marie | Sheppard Stockbrokers Limited | Brokering |
| 104. | Cruickshank-Hosam, Candice | KSBM Asset Management Limited | Advising |
| 105. | Cruickshank-Simon, Lesa | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 106. | Cudjoe-Bowen, Nadine | Scotiabank Trinidad and Tobago Limited | Advising and Brokering |
| 107. | Da Silva, Michael | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 108. | Daniel, Adrian | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 109. | Darbasie, Karen | First Citizens Bank Limited | Brokering and Underwriting |
| 110. | Darbasie, Karen | First Citizens Brokerage and Advisory Services Limited | Brokering |
| 111. | Dasrathsingh, Jamie | JMMB Bank (T&T) Limited | Advising, Brokering and Underwriting |
| 112. | Davis, Christie | First Citizens Investment Services Limited | Associate |
| 113. | De Boulet, Krysel | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 114. | De Castro, Marlon | Republic Bank Limited | Advising, Brokering and Underwriting |
| 115. | De Graff, Dunovan | Sagicor Investments Trinidad & Tobago Limited | Underwriting |
| 116. | De Nobriga, Lisa | First Citizens Bank Limited | Brokering |
| 117. | De Sormeaux, Candice | Scotiabank Trinidad and Tobago Limited | Brokering |
| 118. | De Souza, Javan | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 119. | Deonarine, Draivid | Republic Wealth Management Limited | Advising |
| 120. | Deonarinesingh, Deanish | Scotiabank Trinidad and Tobago Limited | Brokering |
| 121. | Dillon, Genevieve | Trinidad and Tobago Unit Trust Corporation | Advising and Brokering |
| 122. | Dindial, Leanna | Guardian Asset Management and Investment Services Limited | Associate |
| 123. | Donaldson, Graham Duff | Mondial (Trinidad) Limited | Advising |

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| 124. | Donaldson-Jeffrey, Amril | First Citizens Portfolio and Investment Management Services Limited | Brokering |
| 125. | Dookie, Dave | Waterloo Capital Advisors Limited | Advising and Brokering |
| 126. | Douglas, Alana | West Indies Stockbrokers Limited | Associate |
| 127. | Drakes, Candice | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 128. | Drayton, Amichai | The Home Mortgage Bank | Advising, Brokering and Underwriting |
| 129. | Dukharan, Nirvana | NCB Merchant Bank (Trinidad and Tobago) Limited | Advising and Brokering |
| 130. | Edoo, Richard | Scotiabank Trinidad and Tobago Limited | Associate |
| 131. | Edwards, Belinda | First Citizens Bank Limited | Brokering |
| 132. | Edwards, Stacyann | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 133. | Eligon, Michelle | Scotiabank Trinidad and Tobago Limited | Advising and Brokering |
| 134. | Ellis, Rory | Capital Markets Elite Group (Trinidad and Tobago) Limited | Advising and Brokering |
| 135. | Emmanuel, Shayne | Ansa Merchant Bank Limited | Associate |
| 136. | Emmanuel, Shayne | ANSA Wealth Management Limited | Associate |
| 137. | Evans, Richard | Trinidad and Tobago Unit Trust Corporation | Brokering |
| 138. | Fadahunsi, Lai | SHBL Investments Company Limited | Advising |
| 139. | Fahey, Desmond | First Citizens Bank Limited | Associate |
| 140. | Farmer, Karen | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 141. | Ferdinand, Jean-Maurice | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 142. | Ferdinand, Jean-Maurice | RBC Investment Management (Caribbean) Limited | Associate |
| 143. | Ferguson, Andrew | Maritime Capital Limited | Advising and Brokering |
| 144. | Ferreira, Greg | First Citizens Investment Services Limited | Brokering |
| 145. | Ferreira, Shauna | Bourse Securities Limited | Advising |
| 146. | Forde, Maria | Trinidad and Tobago Unit Trust Corporation | Advising |

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| 147. | Francis, Sparkle Sally | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 148. | Francis, Ulyn-Ann | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 149. | Frank-Baboolal, Adelaine | The Home Mortgage Bank | Advising, Brokering and Underwriting |
| 150. | Gabriel, Norlann | First Citizens Investment Services Limited | Brokering |
| 151. | Gabriel, Norlann | First Citizens Brokerage and Advisory Services Limited | Brokering |
| 152. | Gabriel, Norlann | First Citizens Portfolio and Investment Management Services Limited | Brokering |
| 153. | Gadraj-Baboolal, Neena | First Citizens Bank Limited | Brokering |
| 154. | Gajadhar, Kerry | Caribbean Stockbrokers Limited | Associate |
| 155. | Gajadhar, Usha | The Home Mortgage Bank | Brokering and Underwriting |
| 156. | Gangaram, Radica | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 157. | Garcia, Edmund | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 158. | Garcia-David, Apphia | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 159. | Gatt, Gordon Anthony | Sheppard Securities Limited | Associate |
| 160. | Gayapersad, Camille | First Citizens Investment Services Limited | Associate |
| 161. | George, Alicia | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 162. | George, Carlene | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 163. | George, Jahmai | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 164. | George, Trevelon | First Citizens Bank Limited | Brokering |
| 165. | Gill, Sherwin M. | Trinidad and Tobago Unit Trust Corporation | Advising and Brokering |
| 166. | Girod, Renata | JMMB Investments (Trinidad and Tobago) Limited | Advising |
| 167. | Gittens, Richard | Sagikor Investments Trinidad & Tobago Limited | Associate |

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| 168. | Gokool, Kavita | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 169. | Gonzales, Adesha | Scotiabank Trinidad and Tobago Limited | Brokering |
| 170. | Gonzales, Alloysius | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 171. | Goolcharan, Viveka | Guardian Life of the Caribbean Limited | Advising |
| 172. | Gopptar, Jerome | Guardian Asset Management and Investment Services Limited | Advising, Brokering and Underwriting |
| 173. | Gopaul, Teneil | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 174. | Gosine, Ishan | NCB Merchant Bank (Trinidad and Tobago) Limited | Advising and Brokering |
| 175. | Gregory, Christopher Andre | FigTree Financial (T&T) Limited | Brokering |
| 176. | Guevara, Joshua | Capital Markets Elite Group (Trinidad and Tobago) Limited | Associate |
| 177. | Guyadeen-Gosine, Karen | Trinidad and Tobago Unit Trust Corporation | Advising |
| 178. | Hackett-Murray, Desiree | Trinidad and Tobago Unit Trust Corporation | Advising |
| 179. | Hagley, Simone | Guardian Asset Management and Investment Services Limited | Associate |
| 180. | Hamel-Smith, Shane | Sheppard Securities Limited | Advising |
| 181. | Hanooman, Rodney | Scotiabank Trinidad and Tobago Limited | Brokering |
| 182. | Hansraj, Richard | First Citizens Bank Limited | Associate |
| 183. | Hardeo, Avin | Republic Bank Limited | Advising, Brokering and Underwriting |
| 184. | Harrilal, Tanelle | First Citizens Bank Limited | Brokering |
| 185. | Hector-Orr, Kamala | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 186. | Henry, Lester | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 187. | Hernandez, Alicia | Firstline Securities Limited | Advising, Brokering and Underwriting |
| 188. | Herrera, Mikael | First Citizens Bank Limited | Associate |
| 189. | Hills, Nikesha | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |

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| 190. | Holder, Omar | Trinidad and Tobago Unit Trust Corporation | Advising |
| 191. | Hosein, Ahamad | Firstline Securities Limited | Advising, Brokering and Underwriting |
| 192. | Hosein, Areo | Guardian Asset Management and Investment Services Limited | Associate |
| 193. | Hosein, Chelsea | Guardian Asset Management and Investment Services Limited | Associate |
| 194. | Hosein, Narisa | Guardian Asset Management and Investment Services Limited | Advising, Brokering and Underwriting |
| 195. | Hosein, Sean | Bourse Brokers Limited | Advising and Brokering |
| 196. | Hosein, Sean | Bourse Securities Limited | Advising and Brokering |
| 197. | Hosin, Eric | Guardian Life of the Caribbean Limited | Advising |
| 198. | Hosten, Farrah | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 199. | Howell, Brendon | Guardian Asset Management and Investment Services Limited | Advising and Brokering |
| 200. | Ible, Isabelle | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 201. | Inglefield, Geoffrey | Ansa Merchant Bank Limited | Associate |
| 202. | Inglefield, Geoffrey | ANSA Wealth Management Limited | Associate |
| 203. | Isahack-Paul, Naadira | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 204. | Israel, Stacy | First Citizens Investment Services Limited | Associate |
| 205. | Jackman, Ihsan | Guardian Group Trust Limited | Advising, Brokering and Underwriting |
| 206. | Jackman, Janice | Trinidad and Tobago Unit Trust Corporation | Advising and Brokering |
| 207. | Jackson, Mikkell | First Citizens Bank Limited | Brokering |
| 208. | Jackson, Mikkell | First Citizens Investment Services Limited | Brokering |
| 209. | Jacobie, Natalie | Scotiabank Trinidad and Tobago Limited | Associate |
| 210. | Jagbirsingh, Candace | RBC Merchant Bank (Caribbean) Limited | Underwriting |
| 211. | Jagdeosingh, Veronica | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |

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| | NAME OF REGISTERED REPRESENTATIVE | ASSOCIATED BROKER-DEALER, INVESTMENT ADVISER OR UNDERWRITER | TYPE OF REGISTERED REPRESENTATIVE |
| 212. | Jagroop, Subash | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 213. | James, Kerron | Republic Bank Limited | Advising, Brokering and Underwriting |
| 214. | James, Michael | JMMB Bank (T&T) Limited | Advising, Brokering and Underwriting |
| 215. | Jan, Nizea | Scotiabank Trinidad and Tobago Limited | Associate |
| 216. | Jasper, Jodé | Scotiabank Trinidad and Tobago Limited | Associate |
| 217. | Jenkins, Paul | CIBC Caribbean Bank (Trinidad & Tobago) Limited | Brokering |
| 218. | Joefield-Victor, Camille | First Citizens Bank Limited | Brokering |
| 219. | John, Marisa Elisabeth | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 220. | John, Trever | Guardian Asset Management and Investment Services Limited | Advising and Brokering |
| 221. | Johnson, Carolyn | Caribbean Stockbrokers Limited | Brokering |
| 222. | Jones, Brithney | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 223. | Joseph, Davina | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 224. | Joseph, Kyle | Scotiabank Trinidad and Tobago Limited | Associate |
| 225. | Joseph, Nikeisha | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 226. | Joseph, Ru-Ann | First Citizens Investment Services Limited | Advising |
| 227. | Joseph, Terri-Ann | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 228. | Joseph-Seerattan, Carlene | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 229. | Julien, Jason | First Citizens Bank Limited | Brokering and Underwriting |
| 230. | Julien-Jack, Maxime | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 231. | Juman, Neil | First Citizens Bank Limited | Brokering |
| 232. | Juman, Rachael | First Citizens Bank Limited | Brokering |
| 233. | Kadir, Amanda | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |

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| | NAME OF REGISTERED REPRESENTATIVE | ASSOCIATED BROKER-DEALER, INVESTMENT ADVISER OR UNDERWRITER | TYPE OF REGISTERED REPRESENTATIVE |
| 234. | Kalicharan, Ramcharan | KSBM Asset Management Limited | Advising and Brokering |
| 235. | Kerr, Candace | Guardian Asset Management and Investment Services Limited | Advising |
| 236. | Kesar, Curley | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 237. | Khafra, Jeremy | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 238. | Khan, Christa | Scotiabank Trinidad and Tobago Limited | Advising and Brokering |
| 239. | Khan, Marsha | Republic Wealth Management Limited | Associate |
| 240. | Khan, Marsha | Republic Bank Limited | Associate |
| 241. | Khan, Meera | Scotiabank Trinidad and Tobago Limited | Associate |
| 242. | Khan, Michael Vaughn | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 243. | Khan, Tishara | Guardian Asset Management and Investment Services Limited | Advising |
| 244. | Khan-Abdool, Amirah | Guardian Group Trust Limited | Advising, Brokering and Underwriting |
| 245. | King, Dalia Patrice | Firstline Securities Limited | Advising, Brokering and Underwriting |
| 246. | King, Keith Michael | Firstline Securities Limited | Advising, Brokering and Underwriting |
| 247. | King, Mary | Mondial (Trinidad) Limited | Advising |
| 248. | King, Maxine Cheryl | Firstline Securities Limited | Advising, Brokering and Underwriting |
| 249. | Kirpaul-Mohammed, Natasha | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 250. | Kishore, Rory | First Citizens Bank Limited | Brokering |
| 251. | Kissoon, Tricia | RBC Investment Management (Caribbean) Limited | Advising and Brokering |
| 252. | Kissoondath Singh, Lollita | ANSA Wealth Management Limited | Advising |
| 253. | La Borde, Kevin | Trinidad and Tobago Unit Trust Corporation | Advising and Brokering |
| 254. | La Motte, Alicia | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 255. | Lackan, Rajesh | Guardian Asset Management and Investment Services Limited | Associate |

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| 256. | Lakhan, Jagdesh | Waterloo Capital Advisors Limited | Advising and Brokering |
| 257. | Lal Maharaj, Avindra | Ansa Merchant Bank Limited | Advising |
| 258. | Lal Maharaj, Avindra | ANSA Wealth Management Limited | Advising |
| 259. | Lala, Salisha | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 260. | Lall, Sarah | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 261. | Lalla Maharajh, Rianna | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 262. | Lalla, Jeremy | JMMB Investments (Trinidad and Tobago) Limited | Brokering and Underwriting |
| 263. | Lalla, Jeremy | JMMB Securities (T&T) Limited | Brokering and Underwriting |
| 264. | Lawrence, Melanie | West Indies Stockbrokers Limited | Associate |
| 265. | Le Gendre-Thompson, Chala | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 266. | Leach, Keron | The Home Mortgage Bank | Advising, Brokering and Underwriting |
| 267. | Leggard, Kaffi | Sheppard Securities Limited | Advising |
| 268. | Leggard, Kaffi | Sheppard Stockbrokers Limited | Brokering |
| 269. | Leong Poi, Lezanne | Murphy Clarke Financial Limited | Associate |
| 270. | Leons, Keron | First Citizens Investment Services Limited | Associate |
| 271. | Lequay, Marc | Republic Bank Limited | Advising, Brokering and Underwriting |
| 272. | Lewis, Lumecha | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 273. | Lewis-Best, Leah | KCL Capital Market Brokers Limited | Associate |
| 274. | Logan, Nigel | Bourse Brokers Limited | Associate |
| 275. | London, Terrence | Scotiabank Trinidad and Tobago Limited | Brokering |
| 276. | Loney, Tineal | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 277. | Lucie-Smith, Kristina | Sagicor Investments Trinidad & Tobago Limited | Associate |
| 278. | Lum Sang-De Silva, Gina | West Indies Stockbrokers Limited | Brokering |
| 279. | Lum Sang-De Silva, Gina | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |

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| 280. | Lum Sang-De Silva, Gina | RBC Investment Management (Caribbean) Limited | Advising and Brokering |
| 281. | Lutchman, Khadeen | Scotiabank Trinidad and Tobago Limited | Brokering |
| 282. | Ma Kuan, Christopher | Republic Wealth Management Limited | Associate |
| 283. | Ma Kuan, Christopher | Republic Bank Limited | Associate |
| 284. | Mac Quan, Keisha | First Citizens Investment Services Limited | Advising |
| 285. | Mackoon, Darlene | Scotiabank Trinidad and Tobago Limited | Brokering |
| 286. | Mahabir, Keshala | Maritime Capital Limited | Brokering |
| 287. | Mahabir, Shival | Ansa Merchant Bank Limited | Advising and Brokering |
| 288. | Mahabir, Shival | ANSA Wealth Management Limited | Advising and Brokering |
| 289. | Mahaboob-Selvon, Afiesha | First Citizens Bank Limited | Associate |
| 290. | Maharaj, Geerevan | Republic Bank Limited | Advising, Brokering and Underwriting |
| 291. | Maharaj, Nadya | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 292. | Maharaj, Sally | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 293. | Maharaj, Varun | Maritime Capital Limited | Brokering |
| 294. | Maharaj-Ramnarine, Laura | Scotiabank Trinidad and Tobago Limited | Associate |
| 295. | Maingot, Danielle | Murphy Clarke Financial Limited | Brokering |
| 296. | Majid, Fareesha | Murphy Clarke Financial Limited | Brokering |
| 297. | Manmohan, Adrian | West Indies Stockbrokers Limited | Brokering |
| 298. | Mannah, Shivanand | JMMB Investments (Trinidad and Tobago) Limited | Associate |
| 299. | Mansoor, Natalie | Ansa Merchant Bank Limited | Advising and Brokering |
| 300. | Mansoor, Natalie | ANSA Wealth Management Limited | Advising and Brokering |
| 301. | Marcano, Annalee | KCL Capital Market Brokers Limited | Associate |
| 302. | Mark, Terrel | The Home Mortgage Bank | Associate |
| 303. | Marlow, Marissa | Ansa Merchant Bank Limited | Associate |
| 304. | Marlow, Marissa | ANSA Wealth Management Limited | Associate |

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| 305. | Martinez, Miguel | Guardian Asset Management and Investment Services Limited | Advising, Brokering and Underwriting |
| 306. | Martinez, Miguel | Guardian Group Trust Limited | Advising, Brokering and Underwriting |
| 307. | Matthews, Christopher | The Home Mortgage Bank | Associate |
| 308. | Mc Donald Kalloo, Candice | Guardian Asset Management and Investment Services Limited | Associate |
| 309. | Mc Donald, Anika | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 310. | Mc Dougall, Kalifa | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 311. | Mc Kenzie, Racine | Scotia Investments (Trinidad and Tobago) Limited | Brokering |
| 312. | Mc Quilkin, Michael | Republic Bank Limited | Advising, Brokering and Underwriting |
| 313. | McKell, Romesh | First Citizens Investment Services Limited | Advising |
| 314. | Melville, Adalene | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 315. | Merritt, Thandi | Guardian Group Trust Limited | Advising, Brokering and Underwriting |
| 316. | Minwah-Mohammed, Balmatie | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 317. | Mitchell, Aalyssa | The Home Mortgage Bank | Associate |
| 318. | Mitchell, Myles | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 319. | Mohamed, Christine | First Citizens Bank Limited | Brokering |
| 320. | Mohammed, Denika | Guardian Asset Management and Investment Services Limited | Associate |
| 321. | Mohammed, Faye | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 322. | Mohammed, Jeannine | Republic Wealth Management Limited | Associate |
| 323. | Mohammed, Nicholas | Firstline Securities Limited | Associate |
| 324. | Mohammed, Reshard | Scotia Investments (Trinidad and Tobago) Limited | Brokering |
| 325. | Mohammed, Ronald | Bourse Securities Limited | Associate |
| 326. | Mohammed, Salisha | Guardian Asset Management and Investment Services Limited | Associate |
| 327. | Mohammed, Shaun | First Citizens Brokerage and Advisory Services Limited | Associate |

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| 328. | Mohammed, Shyam | First Citizens Bank Limited | Brokering |
| 329. | Mohammed, Xoceketzal | First Citizens Portfolio and Investment Management Services Limited | Brokering |
| 330. | Mohammed, Xoceketzal | First Citizens Brokerage and Advisory Services Limited | Brokering |
| 331. | Mohammed, Xoceketzal | First Citizens Investment Services Limited | Brokering |
| 332. | Mohammed, Zinora | KCL Capital Market Brokers Limited | Advising |
| 333. | Mohammed-Dass, Shazeema | Trinidad and Tobago Unit Trust Corporation | Advising |
| 334. | Mohan, Justin | Republic Bank Limited | Advising and Brokering |
| 335. | Mohess, Stephanie | Guardian Asset Management and Investment Services Limited | Advising and Brokering |
| 336. | Moonan, Videsh | B3V Holdings Limited | Brokering |
| 337. | Moonsammy, Vishwadai | The Home Mortgage Bank | Associate |
| 338. | Moses, Shawn | JMMB Investments (Trinidad and Tobago) Limited | Brokering and Underwriting |
| 339. | Moses, Shawn | JMMB Securities (T&T) Limited | Brokering and Underwriting |
| 340. | Moses, Shawn | JMMB Bank (T&T) Limited | Advising, Brokering and Underwriting |
| 341. | Moses-Rodriguez, Geneil | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 342. | Mungal, Denise | Guardian Life of the Caribbean Limited | Advising |
| 343. | Murray, Otis | KCL Capital Market Brokers Limited | Advising |
| 344. | Murrell, Cherise | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 345. | Murrell-Richardson, Neisha | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 346. | Nagassar, Nigel | Guardian Asset Management and Investment Services Limited | Advising and Brokering |
| 347. | Narine, Estelle | Scotiabank Trinidad and Tobago Limited | Brokering |
| 348. | Nelson, Avalon | Scotiabank Trinidad and Tobago Limited | Associate |

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| 349. | Newallo, Melanie | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 350. | Nuzum, Adrian | Sheppard Securities Limited | Associate |
| 351. | Nuzum, Adrian | Sheppard Stockbrokers Limited | Associate |
| 352. | O'Neill, Shiloh K. | Republic Wealth Management Limited | Associate |
| 353. | O'Neill, Shiloh K. | Republic Bank Limited | Associate |
| 354. | Ochoa, Rhea | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 355. | Ollivierra, David | First Citizens Bank Limited | Associate |
| 356. | Pagee, Gillian | First Citizens Investment Services Limited | Advising |
| 357. | Pardais, Maria | First Citizens Portfolio and Investment Management Services Limited | Advising |
| 358. | Parker, Michael | Guardian Life of the Caribbean Limited | Advising |
| 359. | Parrage, Ryan | Waterloo Capital Advisors Limited | Brokering |
| 360. | Pasea, Christian | Sagicor Life Incorporated | Brokering |
| 361. | Passee, Ashia | Firstline Securities Limited | Associate |
| 362. | Passee, Johann | Firstline Securities Limited | Advising and Brokering |
| 363. | Patrick, Cole | Firstline Securities Limited | Advising, Brokering and Underwriting |
| 364. | Patrovani, Mikhail | First Citizens Bank Limited | Associate |
| 365. | Patterson, Denese | First Citizens Bank Limited | Brokering |
| 366. | Patterson, Rodney | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 367. | Pemberton, Tiffany | Development Finance Limited | Advising, Brokering and Underwriting |
| 368. | Pereira, Marc Richard | Sheppard Securities Limited | Associate |
| 369. | Perez, Adrian | KCL Capital Market Brokers Limited | Advising |
| 370. | Perryman, Jarod | Scotiabank Trinidad and Tobago Limited | Advising and Brokering |
| 371. | Persad, Anuradha | First Citizens Bank Limited | Advising |
| 372. | Persad, Darius | First Citizens Bank Limited | Brokering |
| 373. | Persadie, Ginelle | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 374. | Persad-Joseph, Aneisha | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |

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| 375. | Persad-Lewis, Cherry-Ann | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 376. | Phelps, Alesha | Sagicor Life Incorporated | Underwriting |
| 377. | Phelps, Alesha | Sagicor Investments Trinidad & Tobago Limited | Brokering |
| 378. | Phillips, Myles | Citicorp Merchant Bank Limited | Underwriting |
| 379. | Pierre, Jabari | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 380. | Pilgrim, Jonathan | Republic Wealth Management Limited | Associate |
| 381. | Pirali, Aamir | Scotiabank Trinidad and Tobago Limited | Associate |
| 382. | Piralli, Charles | JMMB Investments (Trinidad and Tobago) Limited | Brokering |
| 383. | Piralli, Charles | JMMB Securities (T&T) Limited | Brokering |
| 384. | Pollard Jnr., Duke | Capital Markets Elite Group (Trinidad and Tobago) Limited | Advising and Brokering |
| 385. | Pollidore, Jaeden | Guardian Asset Management and Investment Services Limited | Associate |
| 386. | Pounder, Giselle | Republic Wealth Management Limited | Brokering |
| 387. | Prince, Jamila | Guardian Asset Management and Investment Services Limited | Associate |
| 388. | Racha, Delano | Scotiabank Trinidad and Tobago Limited | Brokering |
| 389. | Rackal, Cindy | First Citizens Bank Limited | Brokering |
| 390. | Ragbirsingh, Diandra | Republic Bank Limited | Advising and Brokering |
| 391. | Raghunanansingh, Laura | Sagicor Investments Trinidad & Tobago Limited | Associate |
| 392. | Ragoonath, Randy | Scotiabank Trinidad and Tobago Limited | Associate |
| 393. | Rajkumar, Keisha | Trinidad and Tobago Unit Trust Corporation | Advising and Brokering |
| 394. | Rajmoolie, Cathy | First Citizens Brokerage and Advisory Services Limited | Associate |
| 395. | Rambharack, Kerryann | Scotiabank Trinidad and Tobago Limited | Advising and Brokering |
| 396. | Ramcharan, Diana | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 397. | Ramcharitar, Amar | Trinidad and Tobago Unit Trust Corporation | Advising and Brokering |

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| | NAME OF REGISTERED REPRESENTATIVE | ASSOCIATED BROKER-DEALER, INVESTMENT ADVISER OR UNDERWRITER | TYPE OF REGISTERED REPRESENTATIVE |
| 398. | Ramdass, Pamela | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 399. | Ramdeen, Avinash | Republic Wealth Management Limited | Advising and Brokering |
| 400. | Ramdhanie, Timmel | First Citizens Bank Limited | Brokering |
| 401. | Ramdhanie-Sultan, Sita | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 402. | Ramgoolie, Videsh | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 403. | Ramirez, Roberto | Scotiabank Trinidad and Tobago Limited | Underwriting |
| 404. | Ramjattan, Stacey | Guardian Asset Management and Investment Services Limited | Advising |
| 405. | Ramjit, Shivani | Scotiabank Trinidad and Tobago Limited | Brokering |
| 406. | Ramkhelawan, Sarodh | Bourse Securities Limited | Advising, Brokering and Underwriting |
| 407. | Ramkhelawan, Sarodh | Bourse Brokers Limited | Advising, Brokering and Underwriting |
| 408. | Ramkhelawan, Subhas | Bourse Securities Limited | Advising, Brokering and Underwriting |
| 409. | Ramkhelawan, Subhas | Bourse Brokers Limited | Advising, Brokering and Underwriting |
| 410. | Ramkissoon, Baldath | Republic Bank Limited | Advising and Brokering |
| 411. | Ramkissoon, Dana | First Citizens Investment Services Limited | Associate |
| 412. | Ramkissoon, Fahreena | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 413. | Ramkissoon-Joseph, Shivana | Republic Bank Limited | Advising and Brokering |
| 414. | Ramkripaul, Rachel | KCL Capital Market Brokers Limited | Associate |
| 415. | Ramlal, Charanjit | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 416. | Ramlal, Dereck | First Citizens Bank Limited | Brokering |
| 417. | Ramlochan, Gideon | Scotiabank Trinidad and Tobago Limited | Advising and Brokering |
| 418. | Ramlogan, Riad | Scotiabank Trinidad and Tobago Limited | Brokering |
| 419. | Ramlogan, Tamara | First Citizens Bank Limited | Brokering |

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| 420. | Ramnarine, Sasha | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 421. | Ramnath, Christian | Sheppard Securities Limited | Associate |
| 422. | Ramnath, Daniel | First Citizens Bank Limited | Brokering |
| 423. | Ramnath, Rachel | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 424. | Ramnath-Singh, Gail | Caribbean Stockbrokers Limited | Associate |
| 425. | Ramoutar, Emily | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 426. | Ramoutar, Rush | Republic Wealth Management Limited | Advising and Brokering |
| 427. | Ramoutar, Rush | Republic Bank Limited | Advising, Brokering and Underwriting |
| 428. | Rampartap, Rondel | JMMB Investments (Trinidad and Tobago) Limited | Associate |
| 429. | Rampersad, Reshma | Scotiabank Trinidad and Tobago Limited | Advising and Brokering |
| 430. | Rampersad, Travis | First Citizens Investment Services Limited | Brokering |
| 431. | Rampersad-Sookah, Annecia | Scotiabank Trinidad and Tobago Limited | Associate |
| 432. | Ramroop, Rajesh | First Citizens Investment Services Limited | Associate |
| 433. | Ramsamooj, Giselle | First Citizens Bank Limited | Brokering |
| 434. | Ramsaran, Anrika | West Indies Stockbrokers Limited | Associate |
| 435. | Ramsarop, Onilla | Scotiabank Trinidad and Tobago Limited | Associate |
| 436. | Ramsarop, Veeresh | Sheppard Securities Limited | Associate |
| 437. | Ramsingh, Chanelle | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 438. | Ramsumair-Mahabir, Nadia | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 439. | Ramsumair-Mohammed, Shivana | First Citizens Investment Services Limited | Advising |
| 440. | Ramsundarsingh-Gopaul, Rhonda | Ansa Merchant Bank Limited | Advising |
| 441. | Ramsundarsingh-Gopaul, Rhonda | ANSA Wealth Management Limited | Advising |
| 442. | Ransome, Diann | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |

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| 443. | Rattan, Basdai | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 444. | Rattan, Kimberly | First Citizens Bank Limited | Brokering |
| 445. | Rattansingh, Prasanna | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 446. | Redhead, Eric | Murphy Clarke Financial Limited | Associate |
| 447. | Reid, Stefan | Guardian Asset Management and Investment Services Limited | Associate |
| 448. | Remy, Crystal | First Citizens Bank Limited | Brokering |
| 449. | Reyes, Erfan | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 450. | Richards, Annastacia | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 451. | Roberts, Pernel | Republic Wealth Management Limited | Advising and Brokering |
| 452. | Robinson, David | Republic Bank Limited | Advising and Brokering |
| 453. | Rodrigues, Herman | Mondial (Trinidad) Limited | Advising |
| 454. | Rodrigues, Matthew | Firstline Securities Limited | Associate |
| 455. | Rodriguez-Greaves, Crystal | Trinidad and Tobago Unit Trust Corporation | Advising and Brokering |
| 456. | Romain, Germeel-Amir | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 457. | Romilly-Raymah, Selene | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 458. | Roopchand, Alicia | JMMB Investments (Trinidad and Tobago) Limited | Advising |
| 459. | Ruiz, Carol-Ann | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 460. | Sa Gomes, Chip | Admiral Limited | Advising and Brokering |
| 461. | Sabga, Nigel Anthony | Ansa Merchant Bank Limited | Advising and Brokering |
| 462. | Sadoo, Mark | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 463. | Salandy, Crystal-Marie | The Home Mortgage Bank | Advising, Brokering and Underwriting |
| 464. | Salazar, Krystal | Scotia Investments (Trinidad and Tobago) Limited | Brokering |
| 465. | Salloum Clarke, Christiane Michelle | FigTree Financial (T&T) Limited | Brokering |
| 466. | Salvary, Brent | KSBM Asset Management Limited | Advising and Brokering |
| 467. | Samaroo, Lawrence | Scotiabank Trinidad and Tobago Limited | Brokering |

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| | NAME OF REGISTERED REPRESENTATIVE | ASSOCIATED BROKER-DEALER, INVESTMENT ADVISER OR UNDERWRITER | TYPE OF REGISTERED REPRESENTATIVE |
| 468. | Samodee, Keisha | Guardian Asset Management and Investment Services Limited | Associate |
| 469. | Samuel-James, Natasha | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 470. | Sanasie-Ali, Renee | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 471. | Sanderson, Daniell | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 472. | Sandy, Dexter | Trinidad and Tobago Unit Trust Corporation | Advising and Brokering |
| 473. | Sankar, Shane | Republic Wealth Management Limited | Brokering |
| 474. | Sankar-Cassie, Liandra | Sagicor Investments Trinidad & Tobago Limited | Brokering |
| 475. | Santoo, Barry | First Citizens Bank Limited | Brokering |
| 476. | Saugh, Samanta | Guardian Life of the Caribbean Limited | Advising |
| 477. | Sawh, Vasudev | Massy Finance GFC Ltd. | Advising, Brokering and Underwriting |
| 478. | Scott, Deyson | Trinidad and Tobago Unit Trust Corporation | Advising and Brokering |
| 479. | Sealey, Garette | Firstline Securities Limited | Associate |
| 480. | Seebaran, Madree | Bourse Brokers Limited | Advising and Brokering |
| 481. | Seedhan, Annette | Citicorp Merchant Bank Limited | Brokering |
| 482. | Seedial, Yuri | First Citizens Brokerage and Advisory Services Limited | Brokering |
| 483. | Seenath, Liz | Scotiabank Trinidad and Tobago Limited | Associate |
| 484. | Seenath, Shushilla | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 485. | Seepaul, Diana | First Citizens Bank Limited | Advising |
| 486. | Seepersad Singh, Ornella | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 487. | Seepersad, Shane | Republic Bank Limited | Advising and Brokering |
| 488. | Seepersad, Shani | Republic Wealth Management Limited | Advising and Brokering |
| 489. | Seepersadsingh, Sheldon | Scotiabank Trinidad and Tobago Limited | Associate |
| 490. | Seepersad-Valdez, Stacey | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |

LIST OF REGISTRANTS AS AT 31ST MARCH 2025

| REGISTERED REPRESENTATIVES | | | |
|-----------------------------------|--|--|--|
| | NAME OF REGISTERED REPRESENTATIVE | ASSOCIATED BROKER-DEALER, INVESTMENT ADVISER OR UNDERWRITER | TYPE OF REGISTERED REPRESENTATIVE |
| 491. | Sharma-Kamaludin, Adita | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 492. | Sheppard, Alan Michael | Sheppard Securities Limited | Advising |
| 493. | Sheppard, George David | Sheppard Securities Limited | Brokering |
| 494. | Silva, Loise | Guardian Asset Management and Investment Services Limited | Associate |
| 495. | Simeon, Simone | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 496. | Simmons, Dhaana | Scotiabank Trinidad and Tobago Limited | Associate |
| 497. | Sinanan-Seepersad, Sally | Republic Wealth Management Limited | Associate |
| 498. | Sinanan-Seepersad, Sally | Republic Bank Limited | Associate |
| 499. | Singh, Amrit | West Indies Stockbrokers Limited | Associate |
| 500. | Singh, Dianne | Scotiabank Trinidad and Tobago Limited | Advising and Brokering |
| 501. | Singh, Gia | Sheppard Securities Limited | Advising |
| 502. | Singh, Lillian | Scotiabank Trinidad and Tobago Limited | Advising and Brokering |
| 503. | Singh, Mario | KSBM Asset Management Limited | Advising |
| 504. | Singh, Roshnie | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 505. | Singh, Shyermarlene | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 506. | Singh, Vishana | JMMB Investments (Trinidad and Tobago) Limited | Associate |
| 507. | Slater, Sue-Ann | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 508. | Smith, Cortlyn | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 509. | Smith, Kamlis | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 510. | Somair, Sean Gregory | RBC Investment Management (Caribbean) Limited | Advising and Brokering |
| 511. | Sookdeo, Natasha | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 512. | Sookdeo, Shivanand | Republic Bank Limited | Advising and Brokering |

LIST OF REGISTRANTS AS AT 31ST MARCH 2025

| REGISTERED REPRESENTATIVES | | | |
|-----------------------------------|--|--|--|
| | NAME OF REGISTERED REPRESENTATIVE | ASSOCIATED BROKER-DEALER, INVESTMENT ADVISER OR UNDERWRITER | TYPE OF REGISTERED REPRESENTATIVE |
| 513. | Sookhan, Sheba | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 514. | Sookoo, Anganie | JMMB Investments (Trinidad and Tobago) Limited | Brokering |
| 515. | Sookoo, Anganie | JMMB Securities (T&T) Limited | Brokering |
| 516. | Sookoo, Jennifer | JMMB Investments (Trinidad and Tobago) Limited | Advising |
| 517. | Sookram-Bridgelal, Nadia | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 518. | St. Clair, Dirk | Scotiabank Trinidad and Tobago Limited | Advising and Brokering |
| 519. | Stafford, Terri | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 520. | Stanford, Dahlia | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 521. | Stephen, Chrissie | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 522. | Stone, Frank | Murphy Clarke Financial Limited | Associate |
| 523. | Sudama, Neeta | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 524. | Sui, Peter | Guardian Asset Management and Investment Services Limited | Associate |
| 525. | Sukhu, Rochelle | First Citizens Bank Limited | Advising |
| 526. | Sund-Olton, Angelique | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 527. | Sutherland, Damian | First Citizens Bank Limited | Brokering |
| 528. | Sylvester, Kristopher | Capital Markets Elite Group (Trinidad and Tobago) Limited | Advising and Brokering |
| 529. | Syne, Sacha | First Citizens Bank Limited | Brokering and Underwriting |
| 530. | Tannis, Rudy-Ann | First Citizens Bank Limited | Brokering |
| 531. | Telesford-Pierre, Trudie | KCL Capital Market Brokers Limited | Advising |
| 532. | Thomas, Alvin | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 533. | Thomas, Gary | Bourse Securities Limited | Advising and Brokering |
| 534. | Thomas, Marquis | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 535. | Thomas, Rowland Marc | Guardian Asset Management and Investment Services Limited | Advising, Brokering and Underwriting |

LIST OF REGISTRANTS AS AT 31ST MARCH 2025

| REGISTERED REPRESENTATIVES | | | |
|-----------------------------------|--|--|--|
| | NAME OF REGISTERED REPRESENTATIVE | ASSOCIATED BROKER-DEALER, INVESTMENT ADVISER OR UNDERWRITER | TYPE OF REGISTERED REPRESENTATIVE |
| 536. | Thompson, Cedric | Trinidad and Tobago Unit Trust Corporation | Advising and Brokering |
| 537. | Thompson, Shauna | Guardian Group Trust Limited | Associate |
| 538. | Tirbany, Lena | First Citizens Bank Limited | Brokering |
| 539. | Tittil, Daniel | Admiral Limited | Advising and Brokering |
| 540. | Titus, Heather | CIBC Caribbean Bank (Trinidad & Tobago) Limited | Brokering and Underwriting |
| 541. | Tom Yew, Brad | Republic Wealth Management Limited | Advising and Brokering |
| 542. | Tom Yew, Brad | Republic Bank Limited | Advising, Brokering and Underwriting |
| 543. | Tom Yew, Katrine | Guardian Asset Management and Investment Services Limited | Advising and Brokering |
| 544. | Toney-Gooding, Marcia | First Citizens Depository Services Limited | Brokering |
| 545. | Toolsee, Jayde | Bourse Brokers Limited | Advising |
| 546. | Trestrail, Robert | Sagicor Life Incorporated | Brokering |
| 547. | Trigg, Denise | Guardian Asset Management and Investment Services Limited | Associate |
| 548. | Turpin-Carrington, Kelsey | Scotiabank Trinidad and Tobago Limited | Associate |
| 549. | Valentine, Selene | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 550. | Valley, Kerwyn | KCL Capital Market Brokers Limited | Advising, Brokering and Underwriting |
| 551. | Valley, Kerwyn | Aspire Fund Management Company Limited | Advising |
| 552. | van der Vaart, Hubertus Jan | SEAF Caribbean Management LLC | Advising |
| 553. | Vieira, Lisa | SHBL Investments Company Limited | Advising |
| 554. | Vincent, Trisha | First Citizens Investment Services Limited | Advising |
| 555. | Walcott, Chelsey | CIBC Caribbean Bank (Trinidad & Tobago) Limited | Advising |
| 556. | Walker-Huggins, Tricia | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 557. | Wallace, Wilfred Gregory | Mondial (Trinidad) Limited | Advising |
| 558. | Webster, Natalie | Republic Bank Limited | Advising, Brokering and Underwriting |

LIST OF REGISTRANTS AS AT 31ST MARCH 2025

| REGISTERED REPRESENTATIVES | | | |
|-----------------------------------|--|--|--|
| | NAME OF REGISTERED REPRESENTATIVE | ASSOCIATED BROKER-DEALER, INVESTMENT ADVISER OR UNDERWRITER | TYPE OF REGISTERED REPRESENTATIVE |
| 559. | Webster-Villafana, Akisha | Trinidad and Tobago Unit Trust Corporation | Associate |
| 560. | Welch, Luke | Sheppard Securities Limited | Associate |
| 561. | Wells-Fraser, Bernadette | JMMB Securities (T&T) Limited | Associate |
| 562. | Westfield, Vanessa | Scotiabank Trinidad and Tobago Limited | Advising and Brokering |
| 563. | Whiskey, Tennille | Trinidad and Tobago Unit Trust Corporation | Advising and Brokering |
| 564. | White, Marlon | Scotiabank Trinidad and Tobago Limited | Associate |
| 565. | Whiteman, Sharon | Trinidad and Tobago Unit Trust Corporation | Advising and Brokering |
| 566. | Williams, Aldon Philip | Trinidad and Tobago Unit Trust Corporation | Advising |
| 567. | Williams, Beverly | RBC Royal Bank (Trinidad and Tobago) Limited | Brokering |
| 568. | Williams, Leo | SEAF Caribbean Management LLC | Advising |
| 569. | Williams, Marlon | First Citizens Bank Limited | Associate |
| 570. | Williams, Rawlena | Scotiabank Trinidad and Tobago Limited | Associate |
| 571. | Williams, Reynold | Ansa Merchant Bank Limited | Advising and Brokering |
| 572. | Williams, Reynold | ANSA Wealth Management Limited | Advising and Brokering |
| 573. | Williams-Samlal, Kerry Ann | RBC Royal Bank (Trinidad and Tobago) Limited | Associate |
| 574. | Wilson-Mano, Linda | Trinidad and Tobago Unit Trust Corporation | Advising |
| 575. | Wright, Christopher | Ansa Merchant Bank Limited | Advising |
| 576. | Wright, Christopher | ANSA Wealth Management Limited | Advising |
| 577. | Wynter, Paul | Guardian Asset Management and Investment Services Limited | Advising and Brokering |
| 578. | Yearwood, Patricia | First Citizens Bank Limited | Brokering |
| 579. | Young, Angus Peter | NCB Merchant Bank (Trinidad and Tobago) Limited | Advising, Brokering and Underwriting |
| 580. | Youseff, Daniel | First Citizens Investment Services Limited | Advising and Underwriting |

LIST OF REGISTRANTS AS AT 31ST MARCH 2025

SPONSORED BROKER-DEALERS

| NAME OF SPONSORED BROKER-DEALER | ASSOCIATED BROKER-DEALER |
|------------------------------------|--------------------------|
| 1. | Cusimano, Paul |
| 2. | Guedez, Arnaldo Jose |
| 3. | Juarez, Yuly |
| 4. | Stollmeyer, Scott |
| 5. | Vandewater, Thomas |
| 6. | Ylagan, Carlo |

REPORTING ISSUERS

| | |
|-----|---|
| 1. | A.S. Bryden & Sons Holdings Limited |
| 2. | Add Venture Capital Fund Limited |
| 3. | Agostini Limited |
| 4. | Airports Authority of Trinidad and Tobago |
| 5. | Angostura Holdings Limited |
| 6. | ANSA McAL Limited |
| 7. | Ansa Merchant Bank Limited |
| 8. | Ansa Money Market Funds |
| 9. | BWIA West Indies Airways Limited |
| 10. | Capital Markets Elite Group (Trinidad and Tobago) Limited |
| 11. | CIBC Caribbean Bank Limited |
| 12. | CinemaONE Limited |
| 13. | Citibank (Trinidad and Tobago) Limited |
| 14. | Citicorp Merchant Bank Limited |
| 15. | Dynamic Equity Fund II Limited |
| 16. | Education Facilities Company Limited |
| 17. | Endeavour Holdings Limited |
| 18. | Eppley Caribbean Property Fund Limited SCC |
| 19. | Eric Solis Marketing Limited |
| 20. | First Citizens Bank Limited |
| 21. | First Citizens Depository Services Limited |
| 22. | First Citizens Group Financial Holdings Limited |
| 23. | First Citizens Investment Services Limited |
| 24. | First Money Market Fund |
| 25. | Flavorite Foods Limited |
| 26. | FNCU Venture Capital Company Limited |
| 27. | Furness Trinidad Limited |
| 28. | GraceKennedy Limited |
| 29. | Guardian Asset Management and Investment Services Limited |
| 30. | Guardian Caribbean Equity Fund |
| 31. | Guardian Fixed Income Fund |

LIST OF REGISTRANTS AS AT 31ST MARCH 2025

| <u>REPORTING ISSUERS</u> | |
|---------------------------------|---|
| 32. | Guardian Holdings Limited |
| 33. | Guardian Media Limited |
| 34. | JMMB Bank (T&T) Limited |
| 35. | JMMB Group Limited |
| 36. | JMMB Life Goal Funds S2 |
| 37. | L.J. Williams Limited |
| 38. | Mack Investment Business Corporation Limited |
| 39. | Maritime Group of Mutual Funds |
| 40. | Massy Holdings Limited |
| 41. | Medcorp Limited |
| 42. | Mora Ven Holdings Limited |
| 43. | Mortgage Participation Fund |
| 44. | MPC Caribbean Clean Energy Limited |
| 45. | National Enterprises Limited |
| 46. | National Flour Mills Limited |
| 47. | National Infrastructure Development Company Limited |
| 48. | National Insurance Property Development Company Limited |
| 49. | National Investment Fund Holding Company Limited |
| 50. | National Maintenance Training and Security Company Limited |
| 51. | NCB Financial Group Limited |
| 52. | Nestle Trinidad and Tobago Limited |
| 53. | One Caribbean Media Limited |
| 54. | Point Lisas Industrial Port Development Corporation Limited |
| 55. | Port Authority of Trinidad and Tobago |
| 56. | Prestige Holdings Limited |
| 57. | Public Transport Service Corporation |
| 58. | RBC Merchant Bank (Caribbean) Limited |
| 59. | RBC Royal Bank (Trinidad and Tobago) Limited |
| 60. | Republic Bank Limited |
| 61. | Republic Financial Holdings Limited |
| 62. | Republic TT\$ Fixed Income Securities Fund |
| 63. | RGM Property Fund |
| 64. | Royal Bank of Canada |
| 65. | Sagicor Financial Company Limited |
| 66. | Sagicor Funds Incorporated |
| 67. | Sagicor Go-Mutual Funds |
| 68. | Samaan Tree Fund |
| 69. | Savinvest India Asia Fund |
| 70. | Scotia Canadian Equity Fund |
| 71. | Scotia Caribbean Income Fund Inc. |
| 72. | Scotia Global Equity Fund |
| 73. | Scotia Money Market Fund |
| 74. | Scotia Trinidad and Tobago Fixed Income Fund |

LIST OF REGISTRANTS AS AT 31ST MARCH 2025

REPORTING ISSUERS

| | |
|-----|---|
| 75. | Scotia Trinidad and Tobago Growth and Income Fund |
| 76. | Scotia Trinidad and Tobago Short Term Income Fund |
| 77. | Scotia US Dollar Bond Fund |
| 78. | Scotia US Equity Fund |
| 79. | Scotiabank Trinidad and Tobago Limited |
| 80. | St. Christopher Air and Sea Ports Authority |
| 81. | St. Kitts Urban Development Corporation Limited |
| 82. | Telecommunications Services of Trinidad and Tobago Limited |
| 83. | The Home Mortgage Bank |
| 84. | The Sports Company of Trinidad and Tobago Limited |
| 85. | The West Indian Tobacco Company Limited |
| 86. | Tourism & Industrial Development Company of Trinidad & Tobago Limited |
| 87. | Trinidad and Tobago Housing Development Corporation |
| 88. | Trinidad and Tobago Mortgage Bank Limited |
| 89. | Trinidad and Tobago NGL Limited |
| 90. | Trinidad and Tobago Unit Trust Corporation |
| 91. | Trinidad Cement Limited |
| 92. | Unilever Caribbean Limited |
| 93. | Urban Development Corporation of Trinidad & Tobago Limited |
| 94. | UTC (Cayman) SPC Ltd |
| 95. | Utmost International Isle of Man Limited |
| 96. | Water & Sewerage Authority |

SELF-REGULATORY ORGANISATIONS

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