



## LIST OF REGISTRANTS AS AT 31<sup>ST</sup> MARCH 2021

**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 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.

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.**



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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
- ***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 Commission.
- ***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.
- ***Sponsored Broker-Dealer or Sponsored Investment Adviser***  
An individual who is employed by a Brokerage 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



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Investment Adviser that is registered with the Commission can conduct securities business in Trinidad and Tobago for a maximum of 90 days in a calendar year.

- ***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 list of its Registrants and Self-Regulatory Organisations as at 31<sup>st</sup> March, 2021 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](http://www.ttsec.org.tt).



## LIST OF REGISTRANTS AS AT 31<sup>ST</sup> MARCH 2021

<b>BROKER-DEALERS</b>	
1	Admiral Limited
2	Ansa Merchant Bank Limited
3	Ansa Securities Limited
4	Bourse Brokers Limited
5	Bourse Securities Limited
6	Capital Markets Elite Group (Trinidad and Tobago) Limited
7	Caribbean Stockbrokers Limited
8	Citicorp Merchant Bank Limited
9	Development Finance Limited
10	First Citizens Bank Limited
11	First Citizens Brokerage and Advisory Services Limited
12	First Citizens Depository Services Limited
13	First Citizens Investment Services Limited
14	First Citizens Portfolio and Investment Management Services Limited
15	FirstCaribbean International Bank (Trinidad & Tobago) Limited
16	Firstline Securities Limited
17	Guardian Asset Management and Investment Services Limited
18	Guardian Group Trust Limited
19	JMMB Bank (T&T) Limited
20	JMMB Investments (Trinidad and Tobago) Limited
21	JMMB Securities (T&T) Limited
22	KCL Capital Market Brokers Limited
23	KSBM Asset Management Limited
24	Maritime Capital Limited
25	Murphy Clarke Financial Limited
26	NCB Capital Markets (Barbados) Limited
27	NCB Global Finance Limited
28	RBC Investment Management (Caribbean) Limited
29	RBC Royal Bank (Trinidad and Tobago) Limited
30	Republic Bank Limited
31	Republic Wealth Management Limited
32	Sagikor Investments (Trinidad and Tobago) Limited
33	Sagikor Life Incorporated
34	Scotia Investments (Trinidad and Tobago) Limited
35	Scotiabank Trinidad and Tobago Limited
36	Sheppard Securities Limited
37	The Home Mortgage Bank
38	Trinidad and Tobago Unit Trust Corporation



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<b>39</b>	Waterloo Capital Advisors Limited
<b>40</b>	West Indies Stockbrokers Limited



## LIST OF REGISTRANTS AS AT 31<sup>ST</sup> MARCH 2021

<b>INVESTMENT ADVISERS</b>	
1.	Aspire Fund Management Company Limited
2.	Burris, Stephen
3.	Clewett, Nigel
4.	FCL Financial Limited
5.	Guardian Life of the Caribbean Limited
6.	Mondial (Trinidad) Limited
7.	Republic Trustee Services Limited
8.	SEAF Caribbean Management LLC
9.	SHBL Investments Company Limited
10.	Williams, Aldon Philip

<b>UNDERWRITERS</b>	
1	RBC Merchant Bank (Caribbean) Limited

<b>SELF-REGULATORY ORGANISATIONS</b>	
1	The Trinidad and Tobago Central Depository Limited
2	The Trinidad and Tobago Stock Exchange Limited

<b>REGISTERED REPRESENTATIVES</b>			
NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER-DEALER, INVESTMENT ADVISER, OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE	
1.	Achaiba, Anastacia	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
2.	Achong, Sean	Ansa Merchant Bank Limited	Brokering
3.	Adam, Karen	Sagicor Investments Trinidad & Tobago Limited	Associate
4.	Akan, Myrnelle	SHBL Investments Company Limited	Advising
5.	Albert, Joanne	First Citizens Investment Services Limited	Advising



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6.	Alexander, Liesel	KCL Capital Market Brokers Limited	Advising, Brokering and Underwriting
7.	Alexander, Liesel	Aspire Fund Management Company Limited	Advising
8.	Alexander, Lisa Maria	JMMB Investments (Trinidad and Tobago) Limited	Brokering
9.	Alexander, Ryan	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
10.	Alexander-Ramkissoon, Jenelle	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
11.	Alfred-Pierre, Annissa	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
12.	Ali, Amanda	Republic Wealth Management Limited	Associate
13.	Ali, Analise	Republic Trustee Services Limited	Advising
14.	Ali, Christopher	First Citizens Bank Limited	Brokering
15.	Ali, Salahudeen	Maritime Capital Limited	Brokering
16.	Ali, Salma	West Indies Stockbrokers Limited	Brokering
17.	Ali, Shan	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
18.	Ali-Manoo, Anisha	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
19.	Ali-Ramkissoon, Alisa	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
20.	Alleyne, Candice	Scotiabank Trinidad and Tobago Limited	Associate
21.	Alleyne, Harold	Caribbean Stockbrokers Limited	Advising, Brokering and Underwriting
22.	Alli, Tariq	First Citizens Bank Limited	Brokering
23.	Andrews, Schubert	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
24.	Aparicio-Owen, Talia	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
25.	Armoogan, Andrea	Scotiabank Trinidad and Tobago Limited	Associate



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26.	Ashby, Lyndelle	KCL Capital Market Brokers Limited	Advising
27.	Ashton, Chevorn	Guardian Asset Management and Investment Services Limited	Advising
28.	Austin, Kirby	JMMB Investments (Trinidad and Tobago) Limited	Advising
29.	Austin, Marsha	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
30.	Avey, Richard	Guardian Life of the Caribbean Limited	Advising
31.	Awai, Gary	Development Finance Limited	Advising, Brokering and Underwriting
32.	Ayin, Graeme	Guardian Asset Management and Investment Services Limited	Advising and Brokering
33.	Babb, Tammie	FCL Financial Limited	Advising
34.	Bain, Asha	Guardian Asset Management and Investment Services Limited	Associate
35.	Balgobin, Robert	KSBM Asset Management Limited	Advising and Brokering
36.	Balraj, Ronnie	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
37.	Balroop, Meera	West Indies Stockbrokers Limited	Brokering
38.	Baptiste, Jason	Scotiabank Trinidad and Tobago Limited	Brokering
39.	Baptiste, Tamara	RBC Merchant Bank (Caribbean) Limited	Underwriting
40.	Bartholomew, Tracy	Republic Bank Limited	Brokering
41.	Basdeo, Anderson	Citicorp Merchant Bank Limited	Brokering
42.	Basdeo, Roshan	JMMB Securities (T&T) Limited	Associate
43.	Bassant, Terrence	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
44.	Beachoo, Dana	Waterloo Capital Advisors Limited	Associate
45.	Beckles, Coryse	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
46.	Beharry, Amanda	First Citizens Investment Services Limited	Advising





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47.	Beharrylal, Roshni	Scotiabank Trinidad and Tobago Limited	Associate
48.	Bell-Smythe, Nicholas	Development Finance Limited	Associate
49.	Bernard-Cardinal, Rachel	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
50.	Bhagan, Candice	West Indies Stockbrokers Limited	Brokering
51.	Bhagwandin, Chrysse	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
52.	Bharath, Renata	Bourse Brokers Limited	Associate
53.	Bissessar, Avinash	JMMB Bank (T&T) Limited	Advising, Brokering and Underwriting
54.	Bleasdell, Erica	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
55.	Bleasdell, Jason	KCL Capital Market Brokers Limited	Associate
56.	Bobb, Sheldon	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
57.	Boneo, Matthew	Scotiabank Trinidad and Tobago Limited	Associate
58.	Boodram, Crystal	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
59.	Boodram, Sheryl	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
60.	Borde-Ferreira, Sabrina	RBC Investment Management (Caribbean) Limited	Advising and Brokering
61.	Bose, Olivia	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
62.	Bosland, Dirk	First Citizens Depository Services Limited	Brokering
63.	Bridgelal, Judy	Sagicor Investments Trinidad & Tobago Limited	Associate
64.	Bridgewater, Joanne Cheryl	Republic Wealth Management Limited	Brokering
65.	Bridglal, Anuradha	First Citizens Bank Limited	Advising



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<b>66.</b>	Buchanan, Christopher	NCB Capital Markets (Barbados) Limited	Brokering
<b>67.</b>	Cabral, Kassann	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
<b>68.</b>	Caesar, Nigel	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>69.</b>	Camacho, James	Sagicor Life Incorporated	Underwriting
<b>70.</b>	Camacho-Mohammed, Gretchen	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
<b>71.</b>	Carrington, Karissa	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
<b>72.</b>	Carvalho, Ashley	Guardian Asset Management and Investment Services Limited	Associate
<b>73.</b>	Cassim, Marc	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
<b>74.</b>	Chamely, Anna	Firstline Securities Limited	Advising
<b>75.</b>	Charles, Denzil	Guardian Asset Management and Investment Services Limited	Advising
<b>76.</b>	Charles, Renee	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
<b>77.</b>	Chen, Nicholas	First Citizens Bank Limited	Brokering
<b>78.</b>	Chester, Ryan	Guardian Asset Management and Investment Services Limited	Associate
<b>79.</b>	Chin, Ian	Ansa Merchant Bank Limited	Advising and Brokering
<b>80.</b>	Chin, Ian	Ansa Securities Limited	Advising and Brokering
<b>81.</b>	Clarke, Andre	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
<b>82.</b>	Clarke, Christopher	Scotia Investments (Trinidad and Tobago) Limited	Brokering
<b>83.</b>	Clarke, Leslie	Murphy Clarke Financial Limited	Brokering and Underwriting
<b>84.</b>	Clarke-Mohan, Narda	First Citizens Depository Services Limited	Brokering



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<b>85.</b>	Coonai, Ryan	Capital Markets Elite Group (Trinidad and Tobago) Limited	Advising and Brokering
<b>86.</b>	Creese, Marli	NCB Global Finance Limited	Advising, Brokering and Underwriting
<b>87.</b>	Crooks, Victoria Marie	Sheppard Securities Limited	Brokering
<b>88.</b>	Cruickshank-Simon, Lesa	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>89.</b>	Cunningham, Kareem	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>90.</b>	Da Silva, Michael	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
<b>91.</b>	Dabiedeen, Candice	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>92.</b>	Darbasie, Karen	First Citizens Bank Limited	Brokering and Underwriting
<b>93.</b>	Dasrathsingh, Jamie	JMMB Bank (T&T) Limited	Advising, Brokering and Underwriting
<b>94.</b>	Davis, Ricardo	NCB Capital Markets (Barbados) Limited	Brokering
<b>95.</b>	De Gourville, Dylan	Guardian Asset Management and Investment Services Limited	Associate
<b>96.</b>	De Graff, Dunovan	Sagicor Investments Trinidad & Tobago Limited	Underwriting
<b>97.</b>	De Souza, Javan	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>98.</b>	Denoon, Troy	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>99.</b>	Des Vignes, Michelle	KCL Capital Market Brokers Limited	Advising
<b>100.</b>	Dillon, Genevieve	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
<b>101.</b>	Dindial, Leanna	Guardian Asset Management and Investment Services Limited	Associate



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<b>102.</b>	Donaldson, Graham Duff	Mondial (Trinidad) Limited	Advising
<b>103.</b>	Donaldson-Jeffrey, Amril	First Citizens Portfolio and Investment Management Services Limited	Brokering
<b>104.</b>	Donawa, Ralph	Sagicor Investments Trinidad & Tobago Limited	Associate
<b>105.</b>	Dookie, Dave	Waterloo Capital Advisors Limited	Advising and Brokering
<b>106.</b>	Dookie, Saffia	First Citizens Bank Limited	Associate
<b>107.</b>	Douglas, Alana	West Indies Stockbrokers Limited	Associate
<b>108.</b>	Downie, Richard	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
<b>109.</b>	Drakes, Candice	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>110.</b>	Drayton, Amichai	The Home Mortgage Bank	Advising, Brokering and Underwriting
<b>111.</b>	Du Bois, Fabien	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
<b>112.</b>	Dukharan, Nirvana	NCB Global Finance Limited	Advising and Brokering
<b>113.</b>	Duncan, Terrel	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
<b>114.</b>	Durbal, Susan	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>115.</b>	Eligon, Michelle	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
<b>116.</b>	Escallier, Racine	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
<b>117.</b>	Evans, Richard	Trinidad and Tobago Unit Trust Corporation	Brokering
<b>118.</b>	Fadahunsi, Lai	SHBL Investments Company Limited	Advising
<b>119.</b>	Farmer, Karen	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>120.</b>	Ferdinand, Jean-Maurice	RBC Royal Bank (Trinidad and Tobago) Limited	Associate



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121.	Ferguson, Andrew	Maritime Capital Limited	Advising and Brokering
122.	Ferreira, Greg	First Citizens Investment Services Limited	Brokering
123.	Ferreira, Shauna	Bourse Securities Limited	Advising
124.	Ford, Brent	Guardian Group Trust Limited	Advising, Brokering and Underwriting
125.	Ford, Brent	Guardian Asset Management and Investment Services Limited	Advising and Brokering
126.	Forde, Joanne	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
127.	Forde, Maria	Trinidad and Tobago Unit Trust Corporation	Advising
128.	Francis, Rae	KCL Capital Market Brokers Limited	Associate
129.	Francis, Sparkle Sally	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
130.	Frazer, Brian	Scotia Investments (Trinidad and Tobago) Limited	Brokering
131.	Gabriel, Marissa	Ansa Merchant Bank Limited	Associate
132.	Gajadhar, Kerry	Caribbean Stockbrokers Limited	Associate
133.	Gajadhar, Usha	The Home Mortgage Bank	Brokering and Underwriting
134.	Gangaram, Radica	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
135.	Garcia, Apphia	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
136.	Garcia, Edmund	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
137.	Gatt, Gordon Anthony	Sheppard Securities Limited	Advising
138.	Gayapersad, Camille	First Citizens Investment Services Limited	Associate
139.	George Andalcio-O'Neil, Carlene	RBC Royal Bank (Trinidad and Tobago) Limited	Associate



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140.	George, Alicia	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
141.	George-Sharpe, Melanie	Guardian Asset Management and Investment Services Limited	Associate
142.	Gill, Sherwin M.	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
143.	Girod, Renata	JMMB Investments (Trinidad and Tobago) Limited	Advising
144.	Goberdhan, Sita	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
145.	Gokool, Kavita	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
146.	Golikeri, Vashti	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
147.	Gonzales, Neisha	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
148.	Gordon, Winston Earl	Firstline Securities Limited	Associate
149.	Gosine, Ishan	Sagikor Investments Trinidad & Tobago Limited	Brokering
150.	Guevara, Joshua	Capital Markets Elite Group (Trinidad and Tobago) Limited	Associate
151.	Guyadeen-Gosine, Karen	Trinidad and Tobago Unit Trust Corporation	Advising
152.	Hackett-Murray, Desiree	Trinidad and Tobago Unit Trust Corporation	Advising
153.	Hamel-Smith, Aliyah	Admiral Limited	Advising and Brokering
154.	Hamel-Smith, Shane	Sheppard Securities Limited	Advising
155.	Hardeo, Avin	Guardian Asset Management and Investment Services Limited	Associate
156.	Harribans, Troy	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
157.	Henry, Lester	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering



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<b>158.</b>	Henry, Ornella	JMMB Investments (Trinidad and Tobago) Limited	Associate
<b>159.</b>	Hepburn Malcolm, Karrian	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
<b>160.</b>	Hercules-Gonzales, Petal	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
<b>161.</b>	Hernandez, Alicia	Firstline Securities Limited	Advising, Brokering and Underwriting
<b>162.</b>	Hernandez, Jody	Firstline Securities Limited	Advising and Brokering
<b>163.</b>	Hill, Gregory	Ansa Merchant Bank Limited	Advising, Brokering and Underwriting
<b>164.</b>	Hill, Gregory	Ansa Securities Limited	Advising and Brokering
<b>165.</b>	Hilton-Clarke, Jacqueline	KCL Capital Market Brokers Limited	Advising
<b>166.</b>	Holder, Omar	Trinidad and Tobago Unit Trust Corporation	Advising
<b>167.</b>	Hosein, Narisa	Guardian Asset Management and Investment Services Limited	Advising, Brokering and Underwriting
<b>168.</b>	Hosein, Sean	Bourse Brokers Limited	Advising
<b>169.</b>	Hunte, Ricardo	Guardian Asset Management and Investment Services Limited	Advising and Brokering
<b>170.</b>	Ible, Isabelle	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>171.</b>	Isahack-Paul, Naadira	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>172.</b>	Israel, Stacy	First Citizens Investment Services Limited	Advising
<b>173.</b>	Jackman, Ihsan	Guardian Group Trust Limited	Advising, Brokering and Underwriting
<b>174.</b>	Jackman, Janice	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
<b>175.</b>	Jackson, Mikkel	First Citizens Bank Limited	Brokering
<b>176.</b>	Jadoo, Vishal	Firstline Securities Limited	Advising, Brokering and Underwriting



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<b>177.</b>	Jagbirsingh, Candace	RBC Merchant Bank (Caribbean) Limited	Underwriting
<b>178.</b>	Jagroop, Subash	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
<b>179.</b>	James, Kerron	Republic Trustee Services Limited	Advising
<b>180.</b>	James, Ronnel	Guardian Asset Management and Investment Services Limited	Associate
<b>181.</b>	Jessop, Avionne	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>182.</b>	John, Marisa Elisabeth	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>183.</b>	John, Trever	Guardian Asset Management and Investment Services Limited	Advising and Brokering
<b>184.</b>	Johnson, Carolyn	Caribbean Stockbrokers Limited	Brokering
<b>185.</b>	Joseph, Davina	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>186.</b>	Joseph, Kyle	Scotiabank Trinidad and Tobago Limited	Associate
<b>187.</b>	Joseph, Nikeisha	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>188.</b>	Joseph, Ru-Ann	First Citizens Investment Services Limited	Advising
<b>189.</b>	Joseph-Seerattan, Carlene	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>190.</b>	Julien, Jason	First Citizens Bank Limited	Brokering and Underwriting
<b>191.</b>	Kadir, Amanda	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>192.</b>	Kalicharan, Ramcharan	KSBM Asset Management Limited	Advising and Brokering
<b>193.</b>	Katwaroo, Darren	Scotiabank Trinidad and Tobago Limited	Associate
<b>194.</b>	Kelshall, Carla	Republic Trustee Services Limited	Advising
<b>195.</b>	Kesar, Curley	RBC Royal Bank (Trinidad and Tobago) Limited	Associate





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<b>196.</b>	Khan, Meera	Scotiabank Trinidad and Tobago Limited	Associate
<b>197.</b>	King, Dalia Patrice	Firstline Securities Limited	Advising, Brokering and Underwriting
<b>198.</b>	King, Keith Michael	Firstline Securities Limited	Advising, Brokering and Underwriting
<b>199.</b>	King, Mary	Mondial (Trinidad) Limited	Advising
<b>200.</b>	King, Maxine Cheryl	Firstline Securities Limited	Advising, Brokering and Underwriting
<b>201.</b>	King-Henry, Kerrylyn	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
<b>202.</b>	Kirpaul-Mohammed, Natasha	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>203.</b>	Kissoon, Arlene	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
<b>204.</b>	Kissoon, Tricia	JMMB Investments (Trinidad and Tobago) Limited	Brokering and Underwriting
<b>205.</b>	Kissoon, Tricia	JMMB Securities (T&T) Limited	Brokering and Underwriting
<b>206.</b>	Klien, Ray Tristyn Burt	Republic Bank Limited	Underwriting
<b>207.</b>	La Fond, Olivia	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
<b>208.</b>	Lakhan, Jagdesh	Waterloo Capital Advisors Limited	Advising and Brokering
<b>209.</b>	Lala, Salisha	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>210.</b>	Lambert, Daniel	FCL Financial Limited	Advising
<b>211.</b>	Leach, Keron	The Home Mortgage Bank	Advising, Brokering and Underwriting
<b>212.</b>	Leander Yeates, Lisa	Republic Wealth Management Limited	Brokering
<b>213.</b>	Lee Wen, Miakyo	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
<b>214.</b>	Legall, Clint	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering



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215.	Leggard, Kaffi	Sheppard Securities Limited	Associate
216.	Leons, Keron	First Citizens Investment Services Limited	Associate
217.	Lewis, Phillip Andrew	Firstline Securities Limited	Associate
218.	Lewis, Renee	Ansa Merchant Bank Limited	Advising and Brokering
219.	Lewis-Best, Leah	KCL Capital Market Brokers Limited	Associate
220.	Liverpool-Louison, Chermine	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
221.	Loney, Teneal	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
222.	Look Kin, Richard	First Citizens Investment Services Limited	Brokering
223.	Look Kin, Richard	First Citizens Brokerage and Advisory Services Limited	Brokering
224.	Look Kin, Richard	First Citizens Portfolio and Investment Management Services Limited	Brokering
225.	Lourenco, Keomi	Guardian Group Trust Limited	Advising, Brokering and Underwriting
226.	Lucie-Smith, Kristina	Sagicor Investments Trinidad & Tobago Limited	Associate
227.	Lum Sang-De Silva, Gina	West Indies Stockbrokers Limited	Brokering
228.	Lum York, Vanessa	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
229.	Mac Quan, Keisha	First Citizens Investment Services Limited	Advising
230.	Maharaj, Gangadai	Scotiabank Trinidad and Tobago Limited	Associate
231.	Maharaj, Melissa-Jo	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
232.	Maharaj, Nadya	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering



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233.	Maharaj, Sally	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
234.	Maharaj, Varma	First Citizens Portfolio and Investment Management Services Limited	Advising
235.	Maharaj, Vaughn	Ansa Merchant Bank Limited	Advising
236.	Maharaj-Ramnarine, Laura	Scotiabank Trinidad and Tobago Limited	Associate
237.	Maingot, Danielle	Murphy Clarke Financial Limited	Advising
238.	Majid, Fareesha	Murphy Clarke Financial Limited	Brokering
239.	Manbodh-Piggot, Marisa	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
240.	Manmohan, Adrian	West Indies Stockbrokers Limited	Brokering
241.	Mannah, Shivanand	JMMB Investments (Trinidad and Tobago) Limited	Associate
242.	Mansoor, Natalie Marie	RBC Investment Management (Caribbean) Limited	Advising and Brokering
243.	Marajh, Adita	Guardian Asset Management and Investment Services Limited	Advising and Brokering
244.	Marcano, Annalee	KCL Capital Market Brokers Limited	Associate
245.	Mark, Roz	Capital Markets Elite Group (Trinidad and Tobago) Limited	Advising and Brokering
246.	Mark, Sekou	Trinidad and Tobago Unit Trust Corporation	Advising
247.	Marrast, Madonna	First Citizens Investment Services Limited	Associate
248.	Mc Donald, Anika	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
249.	Mc Kenize, Racine	Sagikor Investments Trinidad & Tobago Limited	Brokering
250.	McKell, Romesh	First Citizens Investment Services Limited	Advising
251.	Merritt, Thandi	Guardian Group Trust Limited	Advising, Brokering and Underwriting



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	Minwah-Mohammed, Balmatie	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
252.	Mohammed, Amani	First Citizens Portfolio and Investment Management Services Limited	Advising
253.	Mohammed, Faye	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
254.	Mohammed, Nicholas	Firstline Securities Limited	Associate
255.	Mohammed, Nicholas	Guardian Asset Management and Investment Services Limited	Associate
256.	Mohammed, Nisha	FirstCaribbean International Bank (Trinidad & Tobago) Limited	Brokering and Underwriting
257.	Mohammed, Reshard	Scotia Investments (Trinidad and Tobago) Limited	Brokering
258.	Mohammed, Ronald	Bourse Securities Limited	Associate
259.	Mohammed, Salisha	Guardian Asset Management and Investment Services Limited	Associate
260.	Mohammed, Shaun	First Citizens Brokerage and Advisory Services Limited	Associate
261.	Mohammed, Xoceketzal	First Citizens Portfolio and Investment Management Services Limited	Brokering
262.	Mohammed, Zinora	KCL Capital Market Brokers Limited	Advising
263.	Mongroo, Nirmala	First Citizens Brokerage and Advisory Services Limited	Associate
264.	Moonsammy, Vishwadaï	The Home Mortgage Bank	Associate
265.	Moore, Nichelle	Guardian Asset Management and Investment Services Limited	Associate
266.	Mungal, Denise	Guardian Asset Management and Investment Services Limited	Advising and Brokering



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<b>267.</b>	Murrell, Cherise	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>268.</b>	Muzaffarr, Bibi Ruhanna	RBC Investment Management (Caribbean) Limited	Advising
<b>269.</b>	Nagassar, Nigel	Guardian Asset Management and Investment Services Limited	Advising and Brokering
<b>270.</b>	Noel, Jabari	Sagicor Investments Trinidad & Tobago Limited	Associate
<b>271.</b>	Nuzum, Adrian	Sheppard Securities Limited	Associate
<b>272.</b>	O'Neil Gooden, Steven	NCB Global Finance Limited	Advising, Brokering and Underwriting
<b>273.</b>	Padia, Andre	First Citizens Investment Services Limited	Advising
<b>274.</b>	Pagee, Gillian	First Citizens Investment Services Limited	Advising
<b>275.</b>	Pantin, Clarissa	West Indies Stockbrokers Limited	Associate
<b>276.</b>	Pardais, Maria	First Citizens Portfolio and Investment Management Services Limited	Advising
<b>277.</b>	Parrage, Ryan	Waterloo Capital Advisors Limited	Associate
<b>278.</b>	Pascal, Anand	Guardian Life of the Caribbean Limited	Advising
<b>279.</b>	Pasea, Christian	Sagicor Life Incorporated	Brokering
<b>280.</b>	Patrick, Cole	Firstline Securities Limited	Advising, Brokering and Underwriting
<b>281.</b>	Pemberton, Tiffany	Development Finance Limited	Brokering
<b>282.</b>	Pereira, Marc Richard	Sheppard Securities Limited	Advising
<b>283.</b>	Perez, Adrian	Guardian Group Trust Limited	Advising, Brokering and Underwriting
<b>284.</b>	Perryman, Jarod	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
<b>285.</b>	Persad, Savon	Scotiabank Trinidad and Tobago Limited	Advising and Brokering



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286.	Persadie, Ginelle	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
287.	Persad-Joseph, Aneisha	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
288.	Persad-Lewis, Cherry-Ann	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
289.	Phelps, Alesha	Sagicor Life Incorporated	Underwriting
290.	Phelps, Alesha	Sagicor Investments Trinidad & Tobago Limited	Brokering
291.	Phillips, Joel	Guardian Group Trust Limited	Advising, Brokering and Underwriting
292.	Pierre-Samai, Kimberly	Guardian Asset Management and Investment Services Limited	Associate
293.	Pirali, Aamir	Scotiabank Trinidad and Tobago Limited	Associate
294.	Plowden, Charielle	Guardian Asset Management and Investment Services Limited	Associate
295.	Pollard Jnr., Duke	Capital Markets Elite Group (Trinidad and Tobago) Limited	Advising and Brokering
296.	Pounder, Giselle	Republic Wealth Management Limited	Brokering
297.	Prevatt, Osmond Cleaveland	The Home Mortgage Bank	Advising, Brokering and Underwriting
298.	Prince, Jamila	Guardian Asset Management and Investment Services Limited	Associate
299.	Raghunanansingh, Laura	Sagicor Investments Trinidad & Tobago Limited	Associate
300.	Rajkumar, Keisha	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
301.	Ramdhanie, Sita	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
302.	Ramdial, Thaies	Guardian Asset Management and Investment Services Limited	Associate
303.	Ramesar-Singh, Brandon	Sheppard Securities Limited	Associate



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304.	Ramgoolie, Videsh	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
305.	Ramirez, Roberto	Scotiabank Trinidad and Tobago Limited	Underwriting
306.	Ramjit, Shivani	Scotiabank Trinidad and Tobago Limited	Brokering
307.	Ramkhalawan, Keith	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
308.	Ramkhelawan, Sarodh	Bourse Securities Limited	Brokering
309.	Ramkhelawan, Subhas	Bourse Securities Limited	Brokering and Underwriting
310.	Ramkhelawan, Subhas	Bourse Brokers Limited	Brokering and Underwriting
311.	Ramkissoon, Baldath	Republic Bank Limited	Brokering
312.	Ramkissoon, Dana	First Citizens Investment Services Limited	Associate
313.	Ramkissoon, Daren	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
314.	Ramkissoon, Fahreena	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
315.	Ramlal, Charanjit	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
316.	Ramlal, Natasha	West Indies Stockbrokers Limited	Associate
317.	Ramlochan, Gideon	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
318.	Ramlochan, Sean	Guardian Asset Management and Investment Services Limited	Advising
319.	Ramnath, Andel	The Home Mortgage Bank	Advising, Brokering and Underwriting
320.	Ramnath, Rachel	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
321.	Ramnath-Singh, Gail	Caribbean Stockbrokers Limited	Associate



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322.	Ramoutar, Emily	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
323.	Rampartap, Rondel	JMMB Investments (Trinidad and Tobago) Limited	Associate
324.	Rampaul, Reena	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
325.	Rampersad, Travis	Ansa Merchant Bank Limited	Advising and Brokering
326.	Rampersad-Sookah, Annecia	Scotiabank Trinidad and Tobago Limited	Associate
327.	Ramphal, Leanna	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
328.	Ramsahai, Rickhi	West Indies Stockbrokers Limited	Associate
329.	Ramsaran, Anrika	Guardian Asset Management and Investment Services Limited	Advising
330.	Ramsaroop, Veronica	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
331.	Ramsingh, Jennifer	Guardian Asset Management and Investment Services Limited	Associate
332.	Ramsumair-Mahabir, Nadia	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
333.	Ramsumair-Mohammed, Shivana	First Citizens Investment Services Limited	Advising
334.	Ramsumair-Pustam, Cathy-Ann	Ansa Merchant Bank Limited	Advising
335.	Ramsundarsingh-Gopaul, Rhonda	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
336.	Ransome, Diann	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
337.	Rattan, Basdai	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
338.	Rattansingh, Prasanna	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
339.	Rawlins Bethel, Avionne	Guardian Asset Management and Investment Services Limited	Associate





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<b>340.</b>	Reyes, Erfan	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
<b>341.</b>	Rochard, Wayne	First Citizens Bank Limited	Associate
<b>342.</b>	Rodrigues, Herman	Mondial (Trinidad) Limited	Advising
<b>343.</b>	Romilly-Raymah, Selene	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>344.</b>	Roopchand, Alicia	JMMB Investments (Trinidad and Tobago) Limited	Advising
<b>345.</b>	Ruiz, Carol-Ann	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>346.</b>	Sa Gomes, Chip	Admiral Limited	Advising and Brokering
<b>347.</b>	Sabga, Nigel Anthony	Ansa Merchant Bank Limited	Advising and Brokering
<b>348.</b>	Sadoo, Mark	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
<b>349.</b>	Salazar, Krystal	Scotia Investments (Trinidad and Tobago) Limited	Brokering
<b>350.</b>	Salloum, Christiane Michelle	Sheppard Securities Limited	Advising
<b>351.</b>	Salvary, Brent	KSBM Asset Management Limited	Advising and Brokering
<b>352.</b>	Samodee, Keisha	Ansa Merchant Bank Limited	Associate
<b>353.</b>	Samuel-James, Natasha	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>354.</b>	Sanasie-Ali, Renee	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>355.</b>	Sankar, Randall	First Citizens Investment Services Limited	Associate
<b>356.</b>	Sankar-Cassie, Liandra	Sagicor Investments Trinidad & Tobago Limited	Brokering
<b>357.</b>	Saunders, Sean	Trinidad and Tobago Unit Trust Corporation	Brokering
<b>358.</b>	Sawh, Vasudev	JMMB Investments (Trinidad and Tobago) Limited	Brokering and Underwriting



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<b>359.</b>	Sawh, Vasudev	JMMB Securities (T&T) Limited	Brokering and Underwriting
<b>360.</b>	Sealy, Desann Triene	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>361.</b>	Seebaran, Madree	Bourse Brokers Limited	Brokering
<b>362.</b>	Seebrath, Shawnee	Guardian Asset Management and Investment Services Limited	Associate
<b>363.</b>	Seenath, Liz	Scotiabank Trinidad and Tobago Limited	Associate
<b>364.</b>	Seepaul, Diana	First Citizens Bank Limited	Advising
<b>365.</b>	Seepersad Singh, Ornella	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
<b>366.</b>	Seepersad, Shane	First Citizens Investment Services Limited	Brokering
<b>367.</b>	Seepersadsingh, Sheldon	Scotiabank Trinidad and Tobago Limited	Associate
<b>368.</b>	Seerattan, Cheiyenne	Guardian Asset Management and Investment Services Limited	Associate
<b>369.</b>	Sharma-Kamaludin, Adita	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>370.</b>	Sheppard, Alan Michael	Sheppard Securities Limited	Advising
<b>371.</b>	Sheppard, George David	Sheppard Securities Limited	Brokering
<b>372.</b>	Silva, Loise	Guardian Asset Management and Investment Services Limited	Associate
<b>373.</b>	Simeon, Simone	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
<b>374.</b>	Singh, Amit	KSBM Asset Management Limited	Advising
<b>375.</b>	Singh, Dianne	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
<b>376.</b>	Singh, Gia	Ansa Merchant Bank Limited	Advising
<b>377.</b>	Singh, Lillian	Scotiabank Trinidad and Tobago Limited	Advising and Brokering



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378.	Singh, Mark	Firstline Securities Limited	Advising, Brokering and Underwriting
379.	Singh, Shyermarlene	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
380.	Slater, Sue-Ann	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
381.	Smith, Cortlyn	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
382.	Smith, Kamlis	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
383.	Smith, Latoya	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
384.	Somair, Sean Gregory	RBC Investment Management (Caribbean) Limited	Advising and Brokering
385.	Sookdeo, Natasha	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
386.	Sookhan, Sheba	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
387.	Sooknanan, Rishi	Citicorp Merchant Bank Limited	Brokering and Underwriting
388.	Sookoo, Anganie	JMMB Investments (Trinidad and Tobago) Limited	Brokering
389.	Sookoo, Anganie	JMMB Securities (T&T) Limited	Brokering
390.	Sookoo, Jennifer	JMMB Investments (Trinidad and Tobago) Limited	Advising
391.	Sookoo, Stacyann	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
392.	Sookram-Bridgelal, Nadia	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
393.	St. Clair, Caleb	Guardian Asset Management and Investment Services Limited	Associate
394.	St. Louis, Leslie	First Citizens Brokerage and Advisory Services Limited	Brokering
395.	Stephens, Chrissie	RBC Royal Bank (Trinidad and Tobago) Limited	Associate



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396.	Stewart, Samantha	JMMB Investments (Trinidad and Tobago) Limited	Advising
397.	Sukhu, Rochelle	First Citizens Bank Limited	Advising
398.	Sund-Olton, Angelique	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
399.	Sylvester, Kristopher	Capital Markets Elite Group (Trinidad and Tobago) Limited	Advising and Brokering
400.	Syne, Sacha	First Citizens Investment Services Limited	Brokering and Underwriting
401.	Telesford-Pierre, Trudie	KCL Capital Market Brokers Limited	Advising
402.	Thomas, Gary	Bourse Securities Limited	Advising
403.	Thomas, Marquis	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
404.	Thomas, Rowland Marc	Guardian Asset Management and Investment Services Limited	Advising, Brokering and Underwriting
405.	Thompson, Cedric	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
406.	Thompson, Leah Kimberley	Sheppard Securities Limited	Brokering
407.	Tittil, Daniel	Admiral Limited	Advising and Brokering
408.	Titus, Heather	FirstCaribbean International Bank (Trinidad & Tobago) Limited	Brokering and Underwriting
409.	Tom Yew, Katrine	Guardian Asset Management and Investment Services Limited	Advising and Brokering
410.	Toney-Gooding, Marcia	First Citizens Depository Services Limited	Brokering
411.	Toolsee, Jayde	Bourse Brokers Limited	Associate
412.	Trestrail, Robert	Sagicor Life Incorporated	Brokering
413.	Valdez, Stacy	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
414.	Valentine, Selene	RBC Royal Bank (Trinidad and Tobago) Limited	Associate



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415.	Valley, Kerwyn	KCL Capital Market Brokers Limited	Advising, Brokering and Underwriting
416.	Valley, Kerwyn	Aspire Fund Management Company Limited	Advising
417.	Valley, Kevin	Aspire Fund Management Company Limited	Advising
418.	Valley, Kieran	Aspire Fund Management Company Limited	Advising
419.	van der Vaart, Hubertus Jan	SEAF Caribbean Management LLC	Advising
420.	Victor, Candice	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
421.	Vieira, Lisa	SHBL Investments Company Limited	Associate
422.	Vincent, Trisha	First Citizens Investment Services Limited	Advising
423.	Walker-Huggins, Tricia	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
424.	Wallace, Wilfred Gregory	Mondial (Trinidad) Limited	Advising
425.	Warner-Jones, Kira-Ann	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
426.	Webster-Villafana, Akisha	Trinidad and Tobago Unit Trust Corporation	Associate
427.	Welch, Luke	Sheppard Securities Limited	Associate
428.	Wellington, Bryan	KCL Capital Market Brokers Limited	Associate
429.	Wells-Fraser, Bernadette	JMMB Securities (T&T) Limited	Associate
430.	Westfield, Vanessa	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
431.	Whiskey, Tennille	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
432.	White, Darryl	RBC Merchant Bank (Caribbean) Limited	Underwriting



**LIST OF REGISTRANTS AS AT 31<sup>ST</sup> MARCH 2021**

<b>REGISTERED REPRESENTATIVES</b>			
<b>NAME OF REGISTERED REPRESENTATIVE</b>	<b>ASSOCIATED BROKER-DEALER, INVESTMENT ADVISER, OR UNDERWRITER</b>	<b>TYPE OF REGISTERED REPRESENTATIVE</b>	
433.	Whiteman, Sharon	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
434.	Wickham, La Toya	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
435.	Williams, Leo	SEAF Caribbean Management LLC	Advising
436.	Williams-Samlal, Kerry Ann	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
437.	Wilson, Jonathan	Firstline Securities Limited	Advising and Brokering
438.	Wilson-Mano, Linda	Trinidad and Tobago Unit Trust Corporation	Advising
439.	Wyke, Jabari	Guardian Asset Management and Investment Services Limited	Associate
440.	Wynter, Paul	Guardian Asset Management and Investment Services Limited	Advising and Brokering
441.	Yarna, Nigel	Waterloo Capital Advisors Limited	Advising
442.	Young, Angus Peter	NCB Global Finance Limited	Advising, Brokering and Underwriting
443.	Youseff, Daniel	First Citizens Investment Services Limited	Advising and Underwriting
444.	Zakour, Georgina	Ansa Merchant Bank Limited	Advising



## LIST OF REGISTRANTS AS AT 31<sup>ST</sup> MARCH 2021

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.	Ansa Money Market Funds
9.	BWIA West Indies Airways Limited
10.	Capital Markets Elite Group (Trinidad and Tobago) Limited
11.	CIBC Private Client Fund Limited
12.	CinemaONE Limited
13.	Citibank (Trinidad and Tobago) Limited
14.	Citicorp Merchant Bank Limited
15.	Development Finance Limited
16.	Dynamic Equity Fund II Limited
17.	Education Facilities Company Limited
18.	Endeavour Holdings Limited
19.	Eppley Caribbean Property Fund Limited SCC
20.	First Citizens Bank Limited
21.	First Citizens Depository Services Limited
22.	First Citizens Investment Services Limited
23.	FirstCaribbean International Bank Limited
24.	Flavorite Foods Limited
25.	FNCU Venture Capital Company Limited
26.	Furness Trinidad Limited
27.	GraceKennedy Limited
28.	Guardian Asset Management and Investment Services Limited
29.	Guardian Holdings Limited
30.	Guardian Media Limited
31.	JMMB Bank (T&T) Limited
32.	JMMB Group Limited
33.	JMMB Life Goal Funds S2
34.	L.J. Williams Limited
35.	Massy Holdings Limited
36.	Mora Ven Holdings Limited
37.	Mortgage Participation Fund



**LIST OF REGISTRANTS AS AT 31<sup>ST</sup> MARCH 2021**

<b>REPORTING ISSUERS</b>	
38.	MPC Caribbean Clean Energy Limited
39.	National Enterprises Limited
40.	National Flour Mills Limited
41.	National Infrastructure Development Company Limited
42.	National Insurance Property Development Company Limited
43.	National Investment Fund Holding Company Limited
44.	National Maintenance Training and Security Company Limited
45.	NCB Financial Group Limited
46.	Nestle Trinidad and Tobago Limited
47.	One Caribbean Media Limited
48.	Point Lisas Industrial Port Development Corporation Limited
49.	Port Authority of Trinidad and Tobago
50.	Prestige Holdings Limited
51.	Public Transport Service Corporation
52.	RBC Merchant Bank (Caribbean) Limited
53.	RBC Royal Bank (Trinidad and Tobago) Limited
54.	Republic Bank Limited
55.	Republic Financial Holdings Limited
56.	Republic TT\$ Fixed Income Securities Fund
57.	Royal Bank of Canada
58.	Royal Skandia Life Assurance Limited
59.	Sagicor Financial Company Limited
60.	Sagicor Financial Corporation Limited
61.	Sagicor Funds Incorporated
62.	Samaan Tree Fund
63.	Savinvest India Asia Fund
64.	Scotia Canadian Equity Fund
65.	Scotia Caribbean Income Fund Inc.
66.	Scotia Global Equity Fund
67.	Scotia Money Market Fund
68.	Scotia US Dollar Bond Fund
69.	Scotia US Equity Fund
70.	Scotiabank Trinidad and Tobago Fixed Income Fund Inc.
71.	Scotiabank Trinidad and Tobago Growth Fund Inc.
72.	Scotiabank Trinidad and Tobago Limited
73.	St. Christopher Air and Sea Ports Authority
74.	St. Kitts Urban Development Corporation Limited
75.	Telecommunications Services of Trinidad and Tobago Limited





## LIST OF REGISTRANTS AS AT 31<sup>ST</sup> MARCH 2021

REPORTING ISSUERS	
76.	The Home Mortgage Bank
77.	The Sports Company of Trinidad and Tobago Limited
78.	The West Indian Tobacco Company Limited
79.	Tourism & Industrial Development Company of Trinidad & Tobago Limited
80.	Trinidad and Tobago Housing Development Corporation
81.	Trinidad and Tobago Mortgage Finance Company Limited
82.	Trinidad and Tobago NGL Limited
83.	Trinidad and Tobago Unit Trust Corporation
84.	Trinidad Cement Limited
85.	Unilever Caribbean Limited
86.	Urban Development Corporation of Trinidad & Tobago Limited
87.	UTC (Cayman) SPC Ltd
88.	Water & Sewerage Authority

\* - The Commission has approved an application to remove this company from the register of reporting issuers subject to certain conditions being satisfied. This application is pending.