



PUBLIC NOTICE

LIST OF REGISTRANTS AS AT 31st March 2022

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.

IS REGISTRATION AN ENDORSEMENT?

While it notifies 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 orders 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.

• Underwriter

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

• 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 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 equity.

• 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 equity.

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 updated list of its Registrants and Self-Regulatory Organisations as at 31st March 2022.

WHAT 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.

BROKER-DEALERS

Table listing Broker-Dealers with columns for Name, Associated Broker-Dealer, and Type of Registered Representative. Includes firms like Admiral Limited, Ansa Merchant Bank Limited, and Ansa Securities Limited.

INVESTMENT ADVISERS

Table listing Investment Advisers with columns for Name, Associated Broker-Dealer, and Type of Registered Representative. Includes firms like Aggie Fund Management Company Limited, Clewell, Nigel, and FCI Financial Limited.

UNDERWRITERS

Table listing Underwriters with columns for Name, Associated Broker-Dealer, and Type of Registered Representative. Includes RBC Merchant Bank (Caribbean) Limited.

REGISTERED REPRESENTATIVES

Large table listing Registered Representatives with columns for Name, Associated Broker-Dealer, and Type of Registered Representative. Lists numerous individuals such as Abdul, Amani, Achong, Sean, and Adam, Karan.

REGISTERED REPRESENTATIVES

Large table listing Registered Representatives with columns for Name, Associated Broker-Dealer, and Type of Registered Representative. Lists numerous individuals such as 70, Bridgette, Joanne/Cheryl, 71, Brodigh, Avin, and 72, Brodigh, Anand.

REGISTERED REPRESENTATIVES

Large table listing Registered Representatives with columns for Name, Associated Broker-Dealer, and Type of Registered Representative. Lists numerous individuals such as 140, Frazer, Brian, 141, Gabriel, Marissa, and 142, Jagdish, Kari.

REGISTERED REPRESENTATIVES

Large table listing Registered Representatives with columns for Name, Associated Broker-Dealer, and Type of Registered Representative. Lists numerous individuals such as 230, Luckan, Rajesh, 231, Lakhan, Jagdish, and 232, Lala, Safia.

REGISTERED REPRESENTATIVES

Large table listing Registered Representatives with columns for Name, Associated Broker-Dealer, and Type of Registered Representative. Lists numerous individuals such as 354, Rankhelaan, Sarah, 355, Rankhelaan, Sarosh, and 356, Rankhelaan, Subhas.

REGISTERED REPRESENTATIVES

Large table listing Registered Representatives with columns for Name, Associated Broker-Dealer, and Type of Registered Representative. Lists numerous individuals such as 425, Singh, Lilla, 426, Singh, Mark, and 427, Singh, Shyamkrishna.

REPORTING ISSUERS

Table listing Reporting Issuers with columns for Name, Associated Broker-Dealer, and Type of Registered Representative. Lists firms like 1. Adventura Capital Fund Limited, 2. Agos's Limited, and 3. Airports Authority of Trinidad and Tobago.

SELF-REGULATORY ORGANISATIONS

Table listing Self-Regulatory Organisations with columns for Name, Associated Broker-Dealer, and Type of Registered Representative. Lists 1. The Trinidad and Tobago Central Depository Limited and 2. The Trinidad and Tobago Stock Exchange Limited.