

5. First Citizens Portfolio and Investment Management Services Limited

TYPE OF REGISTERED REPRESENTATIVE

Advising and Brokering

Advising and Brokering

Advising and Brokerin

Advising and Brokering

Advising and Brokerin

Advising and Brokering

Advising and Brokering

Advising Brokering

Brokering Underwriting Brokering

Brokering Associate

Associate Brokering Advising Associate

Associate

Associate

Associate Brokering

Advising, Brokering and Underwriting

Advising and Brokering

Advising and Brokering Associate

Advising Advising, Brokering and Underwriting

Advising, Brokering and Underwriting

Advising, Brokering and Underwriting

Advising

Advising

FirstCaribbean International Bank (Trinidad & Tobago) Limited

Guardian Asset Management and Investment Services Limited

JMMB Investments (Trinidad and Tobago) Limited

Guardian Group Trust Limited

JMMB Securities (T&T) Limited

KSBM Asset Management Limited

Murphy Clarke Financial Limited

28. NCB Capital Markets (Barbados) Limited

Maritime Capital Limited

JMMB Bank (T&T) Limited

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

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

HOW DOES REGISTERING WITH THE COMMISSION PROTECT INVESTORS?

stration process requires all registrants (issuers of securities as well as market intermediaries such as 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

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 doe. skills and experience to conduct the class of business for which the companies are being regis

WHAT ARE THE QUALIFICATIONS FOR REGISTRATION?

Capital Markets Elite Group (Trinidad and Tobago) Limited

. First Citizens Brokerage and Advisory Services Limited

ASSOCIATED BROKER-DEALER. INVESTMENT ADVISER OR UNDERWRITER

Sagicor Investments Trinidad & Tobago Limited

Ansa Merchant Bank Limited

SHBL Investments Company Limited

First Citizens Investment Services Limited

Aspire Fund Management Company Limited

JMMB Investments (Trinidad and Tobago) Limited

bank Trinidad and Tobago Limited

RBC Royal Bank (Trinidad and Tobago) Limited

Trinidad and Tobago Unit Trust Corporation

Republic Trustee Services Limited

First Citizens Bank Limited

Maritime Capital Limited

Firstline Securities Limited

West Indies Stockbrokers Limited

Caribbean Stockbrokers Limited

Republic Wealth Management Limited

Trinidad and Tobago Unit Trust Corporation

Guardian Asset Management and Investment Services Limited

Guardian Asset Management and Investment Services Limited

Guardian Asset Management and Investment Services Limited

Scotiabank Trinidad and Tobago Limited

Scotiabank Trinidad and Tobago Limited

Scotiabank Trinidad and Tobago Limited

Guardian Life of the Caribbean Limited

West Indies Stockbrokers Limited

Citicorp Merchant Bank Limited

JMMB Securities (T&T) Limited

Waterloo Capital Advisors Limited

JMMB Bank (T&T) Limited

Firstline Securities Limited

Republic Wealth Management Limited

KCL Capital Market Brokers Limited

Scotiabank Trinidad and Tobago Limited

Trinidad and Tobago Unit TrustCorporation

RBC Royal Bank (Trinidad and Tobago) Limited

RBC Royal Bank (Trinidad and Tohago) Limited

RBC Investment Management (Caribbean) Limited

Scotiabank Trinidad and Tobago Limited

RBC Royal Bank (Trinidad and Tobago) Limited

Guardian Asset Management and Investment Services Limited Trinidad and Tobago Unit Trust Corporation

Guardian Asset Management and Investment Services Limited

RBC Merchant Bank (Caribbean) Limited

RBC Royal Bank (Trinidad and Tobago) Limited

RBC Royal Bank (Trinidad and Tohago) Limited

FCL Financial Limited

KCL Capital Market Brokers Limited

Scotiabank Trinidad and Tobago Limited

RBC Royal Bank (Trinidad and Tobago) Limited

First Citizens Portfolio and Investment Management Services Limited

BROKER-DEALERS

Ansa Merchant Bank Limited

Ansa Securities Limited

B3V Holdings Limited

Bourse Brokers Limited

Bourse Securities Limited

Caribbean Stockbrokers Limited

Citicorp Merchant Bank Limited

. First Citizens Depository Services Limited

First Citizens Investment Services Limited

REGISTERED REPRESENTATIVES

Development Finance Limited

. First Citizens Bank Limited

NAME OF REGISTERED

 Abdool, Amani Achong, Sear
 Adam, Karen

Akan, Myrnelle

5. Albert Joanne

Alexander, Liese

Alexander, Liese

Alexander, Ryan

12 Ali, Amanda

14. Ali. Christopher

Ali, Analise

Ali, Salima

17. Ali, Salma

Ali, Shan

20. Ali-Manoo, Anisha

Alleyne, Harold

24. Alli, Tariq

Allevne, Houston

Andrews, Schube

28. Ashton, Chevorr

29. Assing, Ryan 30. Austin, Kirby

Austin, Marsha
 Avey, Richard

Ayin, Graeme
 Babb, Tammie

37. Bain, Asha

40. Balroop, Meera

41. Baptiste, Tamara

Basdeo, Andersor

46. Beachoo, Dana

Beckles, Corvse

18. Beharry, Amanda

50. Bell-Smythe, Nicholas

52. Bernard-Cardinal, Rachel

49. Beharrylal, Roshn

55. Bissessar, Avinash

56. Bissessar, Shiva

Bleasdell, Jason

60. Boneo, Matthew

61. Boodram, Renelle

63. Boodram, Sheryl

65. Bose. Olivia

66. Bosland, Dirk

67. Bovell, Khadine 68. Brewster, Kai

69. Bridgelal, Judy

62. Boodram, Rodney Aiit

64. Borde-Ferreira, Sabrina

59. Bobb. Sheldon

26. Aparicio-Owen, Talia

Alexander, Lisa Maria

Alfred-Pierre, Anniss

Admiral Limited

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 ely impact the performance of their business and the securities available to investors

IS REGISTRATION AN ENDORSEMENT?

30. RBC Investment Management (Caribbean) Limited

Republic Wealth Management Limite

Sheppard Stockbrokers Limited

Waterloo Capital Advisors Limited

43. West Indies Stockbrokers Limited

REGISTERED REPRESENTATIVES

REPRESENTATIVE

73. Buchanan, Christopher

Cabral, Kassann

5. Caesar, Nigel

79. Cassim, Marc

80. Charles. Renee

82. Chen, Nicholas

86. Chinapoo, Ian Peter

88. Clarke, Christophe

91. Coonai, Ryan

92. Creese. Marli

89. Clarke, Leslie Murphy

94. Crooks, VictoriaMarie

97. Da Silva, Michael

100. Darbasie, Karen

103. De Graff, Dunovan

106. Denoon, Troy

109. Dillon, Genevieve

11. Donaldson, Graha

112. Donaldson-Jeffrey, Amri

110. Dindial. Leanna

115. Dookie, Saffia

118. Drakes, Candice

121. Dukharan, Nirvana

122. Duncan, Terrel 123. Durbal, Susan

124. Edoo, Richard

127. Evans, Richard

128. Fadahunsi, Lai 129. Farmer, Karen

133. Ferreira, Shauna

134. Ford, Brent 135. Ford, Brent

136. Forde, Joanne

130. Ferdinand, Jean-Maurice

104. De Sormeaux.Candic

98. Dabiedeen. Candice

95. Cruickshank-Simon, Lesa

85. Chin, Ian

Camacho, James

70. Bridgewater, JoanneCheryl

RBC Royal Bank (Trinidad and Tobago) Limited

Sagicor Investments Trinidad & Tobago Limited

36. Scotia Investments (Trinidad and Tobago) Limited

Scotiabank Trinidad and Tobago Limited

40. The Home Mortgage Bank 41. Trinidad and Tobago Unit Trust Corporation

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

lways 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

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

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

A company that arranges for the issuance or distribution of securities and/or agrees to purchase any unsold securities

INVESTMENT ADVISER OR UNDERWRITER

Republic Wealth Management Limited

NCB Capital Markets (Barbados) Limited

RBC Royal Bank (Trinidad and Tobago) Limited

RBC Royal Bank (Trinidad and Tobago) Limited

Scotiabank Trinidad and Tobago Limited

Republic Wealth Management Limited

Trinidad and Tobago Unit Trust Corporation

rinidad and Tobago Unit Trust Corporation

Scotia Investments (Trinidad and Tobago) Limited

NCB Merchant Bank (Trinidadand Tobago) Limited

RBC Royal Bank (Trinidad and Tobago) Limited

RBC Royal Bank (Trinidad and Tobago) Limited

RBC Royal Bank (Trinidad and Tobago) Limited

NCB Capital Markets (Barbados) Limited

Sagicor Investments Trinidad & Tobago Limited Scotiabank Trinidad and Tobago Limited RBC Royal Bank (Trinidad and Tobago) Limited

RBC Royal Bank (Trinidad and Tobago) Limited

First Citizens Portfolio and Investment Management Services Limited Sagicor Investments Trinidad & Tobago Limited Waterloo Capital Advisors Limited

Scotiahank Trinidad and Tohago Limited

Trinidad and Tobago Unit Trust Corporation

Guardian Asset Management and Investment Services Limited

Capital Markets Elite Group (Trinidad and Tobago) Limited

B3V Holdings Limited First Citizens Bank Limited

Sagicor Life Incorporated

First Citizens Bank Limited

Ansa Securities Limited

Massy Finance GFC Ltd.

Clarke Financial Limited

Sheppard Stockbrokers Limited

First Citizens Bank Limited

JMMB Bank (T&T) Limited

First Citizens Bank Limited

West Indies Stockbrokers Limited

RBC Royal Bank (Trinidad and Tobac

Scotiabank Trinidad and Tobago Limited

Scotiabank Trinidad and Tobago Limited RBC Royal Bank (Trinidad and Tobago) Limited

RBC Royal Bank (Trinidad and Tobago) Limited

Guardian Group Trust Limited Guardian Asset Management and Investment Services Limited RBC Royal Bank (Trinidad and Tobago) Limited

Maritime Capital Limited First Citizens Investment Services Limited

Trinidad and Tobago Unit Trust Corporation RBC Royal Bank (Trinidad and Tobago) Limited

Bourse Securities Limited

139. Frank-Baboolal, Adelaine Murphy Clarke Financial Limited

Trinidad and Tobago Unit Trust Corporation

RBC Royal Bank (Trinidad and Tobago) Limited

NCB Merchant Bank (Trinidad and Tobago) Limited

INVESTMENT ADVISERS

Clewett, Nigel

. Aspire Fund Management Company Limited

L. Guardian Life of the Caribbean Limited

. Republic Trustee Services Limited

7. SEAF Caribbean Management LLC

SHBL Investments Company Limited

1. RBC Merchant Bank (Caribbean) Limited

Underwriting

Advising and Brokering Advising and Brokering Advising and Brokering

Advising and Brokering

Advising, Brokering and Under

Advising and Brokering

Brokering and Underwriting

Advising, Brokering and Underwriting

Advising and Brokering

Advising and Brok

Brokering and Under

Advising and Brokering

Advising and Brokering

Associate

Associate

Advising

Advising, Brokering and Underw Advising and Brokering

TYPE OF REGISTERE REPRESENTATIVE

5. Mondial (Trinidad) Limited

9. Williams, Aldon Philip

UNDERWRITERS

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 firm from a foreign jurisdiction. This individual aligns with a local Broker-Dealer or Investm business in Trinidad and Reporting Issuer

continuous disclosure red

· Self-Regulatory Organ The priority is to protect

In accordance with th Registrants and Self-F

WANT TO KNOW MORE?

NAME OF REGIS

(EPRESENTATI)

140. Frazer, Brian

141. Gabriel, Marissa 142. Gajadhar, Kerry

143. Gajadhar, Usha

144. Gangaram, Radica

146. Garcia, Edmund

147. Gatt, Gordon Anthon

148. Gayapersad, Camille

149. George Andalcio-O'Neil

150. George, Alicia

153. Girod, Renata

155. Gokool, Kavita 156. Golikeri, Vashti

158. Gonzales, Neisha 59. Gooptar, Jerome

161. Gosine, Ishan

162. Gosine, Jerome

164. Guevara, Joshua 165. Guyadeen-Gosine, K

167. Hamel-Smith, Aliyah

168. Hamel-Smith, Shan

170.Hardeo, Avin

171. Harribans, Troy

173. Henry, Lester 174. Hernandez, Alicia

176. Hill, Gregory

77. Hills. Nikesha

182. Hosein, Sean

183. Hunte, Ricardo

185. Isahack-Paul, Naad 186, Israel, Stacy

188. Jackman, Janice

189. Jackson, Mikkel

191. Jadoo, Vishal

194. James, Kerron

195. James. Ronnel

197. Jessop, Avionne

200. Johnson, Carolyn 201, Joseph, Cindy-Ani

203. Joseph, Kyle

204. Joseph. Nikeisha

206. Joseph, Ru-Ann 207. Joseph-Seerattan, Ca

209. Kadir, Amanda

212. Kelshall, Carla 213. Kerr. Candace

215. Khan, Marsha

216. Khan, Meera

218. King, Dalia Patrice

219. King, Keith Michael

220. King, Mary 221. King, Maxine Cheryl

224. Kirton, Kelly

225. Kissoon, Arlene 226. Kissoon, Tricia

227. Kissoon, Tricia

228. La Borde, Kevin

229. Labban, Hazel

222. King-Henry, Kerryl-Lyn 223. Kirpaul-Mohammed,Nat

Trinidad and Tobago Unit Trust Corporation Republic Wealth Management Limited

Advising and Brokering Advising and Brokering

210. Kalicharan.Ramchara

198. John, Marisa Elisabe

179. Hinkson, Duane Antr 180. Holder. Omar

Commission, at (868) 6

REGISTERED REP

	Sponsored Investment Adviser	nion of saic of securities.		6. Lee Wen, Miakyo	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
nployed	by a Brokerage firm from a foreign jurisdiction. This	s individual aligns with a local		7. Legall, Clint 8. Leggard, Kaffi	RBC Royal Bank (Trinidad and Tobago) Limited Sheppard Securities Limited	Brokering Advising
	viser who sponsors that individual's registration with vestment Adviser that is registered with the Comm		23	9. Leggard, Kaffi	Sheppard Stockbrokers Limited	Brokering
	for a maximum of ninety (90) days in a calendar yea			0. Leons, Keron 1. Lewis, Phillip Andrew	First Citizens Investment Services Limited Firstline Securities Limited	Associate Associate
·				2. Lewis, Renee	Ansa Merchant Bank Limited	Advising and Brokering
	uted or proposes to distribute securities to the	public and is subject to the		Lewis-Best, Leah Liverpool-Louison, Chermine	KCL Capital Market Brokers Limited RBC Royal Bank (Trinidad and Tobago) Limited	Associate Associate
	nents of the Commission.			5. Logan, Nigel	Bourse Brokers Limited	Associate
<i>nisation</i> rganisati	on that has the power to create and enforce indust	ry regulations and standards.		6. Loney, Teneal	RBC Royal Bank (Trinidad andTobago) Limited	Associate
	ors through the establishment of rules that promote			7. Look Kin, Richard 8. Look Kin, Richard	First Citizens Investment Services Limited First Citizens Brokerage and Advisory Services Limited	Brokering Brokering
he reaui	rements of Section 52(8) of the Securities Act,	Chapter 83:02 of the Laws		9. Look Kin, Richard	First Citizens Portfolio and Investment Management Services Limited	Brokering
rinidad	and Tobago, the Commission provides the			0. Lourenco, Keomi 1. Lucie-Smith, Kristina	Guardian Group Trust Limited Sagicor Investments Trinidad & Tobago Limited	Advising, Brokering and Underwriting Associate
Regula	ory Organisations as at 31st March 2022.		25	2. Lum Sang-De Silva, Gina	West Indies Stockbrokers Limited	Brokering
E?				3. Lum Sang-De Silva,Gina 4. Lum York, Vanessa	RBC Royal Bank (Trinidad and Tobago) Limited RBC Royal Bank (Trinidad and Tobago) Limited	Brokering Associate
	u are invited to contact, the Trinidad and Tobaç	go Securities and Exchange	25	5. Lutchman, Khadeen	Scotiabank Trinidad and Tobago Limited	Brokering
024-299	1, or visit our website at www.ttsec.org.tt.			6. Mac Quan, Keisha 7. Mackoon, Darlene	First Citizens Investment Services Limited Scotlabank Trinidad and Tobago Limited	Advising Brokering
				8. Maharaj, Gangadai	Scotlabank Trinidad and Tobago Limited	Associate
PRESE	NTATIVES			9. Maharaj, Geerevan 0. Maharaj, Melissa-Jo	First Citizens InvestmentServices Limited Scotlabank Trinidad and Tobago Limited	Associate
ERED	ASSOCIATED BROKER-DEALER,	TYPE OF REGISTERED		o. Maharaj, Nadya 1. Maharaj, Nadya	RBC Royal Bank (Trinidad and Tobago) Limited	Advising and Brokering Brokering
LKLD	INVESTMENT ADVISER OR UNDERWRITER	REPRESENTATIVE		2. Maharaj, Sally	RBC Royal Bank (Trinidad andTobago) Limited	Associate
				3. Maharaj, Varma 4. Maharaj-Ramnarine, Laura	First Citizens Portfolio and Investment Management Services Limited Scotiabank Trinidad and Tobago Limited	Advising Associate
	Scotia Investments (Trinidad and Tobago) Limited Ansa Merchant Bank Limited	Brokering Associate	26	5. Maingot, Danielle	Murphy Clarke Financial Limited	Advising
	Caribbean Stockbrokers Limited	Associate		6. Majid, Fareesha 7. Manbodh-Piggot,Marisa	Murphy Clarke Financial Limited RBC Royal Bank (Trinidad and Tobago) Limited	Brokering Associate
	The Home Mortgage Bank	Brokering and Underwriting	26	8. Manmohan, Adrian	West Indies Stockbrokers Limited	Brokering
	RBC Royal Bank (Trinidad and Tobago) Limited RBC Royal Bank (Trinidad and Tobago) Limited	Associate Associate		9. Mannah, Shivanand 0. Mansoor, NatalieMarie	JMMB Investments (Trinidadand Tobago) Limited RBC Investment Management (Caribbean) Limited	Associate Advising and Brokering
	RBC Royal Bank (Trinidad and Tobago) Limited	Associate		1. Marajh, Adita	Guardian Asset Management and Investment Services Limited	Advising and Brokering
ny Ie	Sheppard Securities Limited First Citizens Investment Services Limited	Advising Associate		2. Mark, Roz	Capital Markets Elite Group (Trinidad and Tobago) Limited	Advising and Brokering
eil, Carlene	RBC Royal Bank (Trinidad and Tobago) Limited	Associate		3. Mark, Sekou 4. Marrast, Madonna	Trinidad and Tobago Unit Trust Corporation First Citizens Investment Services Limited	Advising Associate
elanie	RBC Royal Bank (Trinidad and Tobago) Limited Guardian Asset Management and Investment Services Limited	Associate Associate	27	Mc Donald, Anika	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering		6. Mc Dougall, Kalifa 7. Mc Intyre, Nicholas	RBC Royal Bank (Trinidad and Tobago) Limited Citicorp Merchant Bank Limited	Associate Underwriting
	JMMB Investments (Trinidad and Tobago) Limited RBC Royal Bank (Trinidad and Tobago) Limited	Advising Associate	27	8. Mc Kenize, Racine	Sagicor Investments Trinidad & Tobago Limited	Brokering
	RBC Royal Bank (Trinidad and Tobago) Limited	Associate		9. Mc Quilkin, Michael 0. McKell, Romesh	Republic Bank Limited First Citizens Investment Services Limited	Brokering and Underwriting Advising
	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering		1. Merritt, Thandi	Guardian Group Trust Limited	Advising, Brokering and Underwriting
	Scotiabank Trinidad and Tobago Limited RBC Royal Bank (Trinidad and Tobago) Limited	Brokering Brokering		Milford, Janine Minush Mahammad, Palmatia	Republic Wealth Management Limited	Advising and Brokering
	Guardian Asset Management and Investment Services Limited	Advising, Brokering and Underwriting			RBC Royal Bank (Trinidad and Tobago) Limited RBC Royal Bank (Trinidad and Tobago) Limited	Associate Associate
arl	Firstline Securities Limited Sagicor Investments Trinidad & Tobago Limited	Associate Brokering			Firstline Securities Limited	Associate
	Scotiabank Trinidad and Tobago Limited	Associate		6. Mohammed, Nisha 7. Mohammed, Reshard	FirstCaribbean International Bank (Trinidad & Tobago) Limited Scotia Investments (Trinidad and Tobago) Limited	Brokering and Underwriting Brokering
а	RBC Royal Bank (Trinidad and Tobago) Limited Capital Markets Elite Group (Trinidad and Tobago) Limited	Associate Associate	28	8. Mohammed, Ronald	Bourse Securities Limited	Associate
Karen	Trinidad and Tobago Unit Trust Corporation	Advising		9. Mohammed, Salisha 0. Mohammed, Shaun	Guardian Asset Management and Investment Services Limited First Citizens Brokerage and Advisory Services Limited	Associate Associate
siree	Trinidad and Tobago Unit Trust Corporation Admiral Limited	Advising	29	Mohammed, Xoceketzal	First Citizens Portfolio and Investment Management Services Limited	Brokering
ie	Sheppard Securities Limited	Advising and Brokering Advising			KCL Capital Market Brokers Limited Trinidad and Tobago Unit Trust Corporation	Advising Advising
у	Scotiabank Trinidad and Tobago Limited	Brokering			First Citizens Brokerage and Advisory Services Limited	Associate
	Republic Bank Limited RBC Royal Bank (Trinidad and Tobago) Limited	Advising, Brokering and Underwriting Brokering		5. Mongru, Kameel 6. Moonan, Videsh	Republic Wealth Management Limited B3V Holdings Limited	Associate Brokering
	Republic Wealth Management Limited	Advising and Brokering		7. Moonsammy, Vishwadai	The Home Mortgage Bank	Associate
	RBC Royal Bank (Trinidad and Tobago) Limited Firstline Securities Limited	Brokering Advising, Brokering and Underwriting		8. Moore, Nichelle 9. Moore-Julien, Kathy-Ann	Guardian Asset Management and Investment Services Limited RBC Royal Bank (Trinidad and Tobago) Limited	Associate Brokering
	Ansa Merchant Bank Limited	Advising, Brokering and Underwriting		9. Mungal, Denise	Guardian Asset Management and Investment Services Limited	Advising and Brokering
	Ansa Securities Limited RBC Royal Bank (Trinidad and Tobago) Limited	Advising and Brokering Brokering	30	1. Murrell, Cherise	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
ueline	KCL Capital Market Brokers Limited	Advising		2. Murrell-Richardson, Neisha 3. Muzaffarr, Bibi Ruhanna	RBC Royal Bank (Trinidad and Tobago) Limited RBC Investment Management (Caribbean) Limited	Brokering Advising
thony	Massy Finance GFC Ltd. Trinidad and Tobago Unit Trust Corporation	Advising, Brokering and Underwriting Advising	30	4. Nagassar, Nigel	Guardian Asset Management and Investment Services Limited	Advising and Brokering
	Guardian Asset Management and Investment Services Limited	Advising, Brokering and Underwriting		5. Narine, Estelle 6. Nelson, Avalon	Scotiabank Trinidad and Tobago Limited Scotiabank Trinidad and Tobago Limited	Brokering Associate
	Bourse Brokers Limited	Advising and Brokering	30	7. Noel, Jabari	Sagicor Investments Trinidad & Tobago Limited	Associate
	Guardian Asset Management and Investment Services Limited RBC Royal Bank (Trinidad and Tobago) Limited	Advising and Brokering Associate		8. Nuzum, Adrian 9. Nuzum, Adrian	Sheppard Securities Limited Sheppard Stockbrokers Limited	Associate Associate
lira	RBC Royal Bank (Trinidad and Tobago) Limited	Associate	31	0. O'Neil Gooden, Steven	NCB Merchant Bank Trinidad and Tobago Limited	Advising, Brokering and Underwriting
	First Citizens Investment Services Limited Guardian Group Trust Limited	Advising Advising, Brokering and Underwriting		1. Padia, Andre 2. Pagee, Gillian	First Citizens Investment Services Limited First Citizens Investment Services Limited	Advising Advising
	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering	31	Pantin, Clarissa	West Indies Stockbrokers Limited	Associate
	First Citizens Bank Limited Scotiabank Trinidad and Tobago Limited	Brokering Associate		4. Pardais, Maria 5. Parrage, Ryan	First Citizens Portfolio and Investment Management Services Limited Waterloo Capital Advisors Limited	Advising Brokering
	Firstline Securities Limited	Advising, Brokering and Underwriting		6. Pascal, Anand	Guardian Life of the Caribbean Limited	Advising
ce	RBC Merchant Bank (Caribbean) Limited RBC Royal Bank (Trinidad and Tobago) Limited	Underwriting Brokering		7. Pasea, Christian 8. Passee, Johann	Sagicor Life Incorporated Firstline Securities Limited	Brokering
	Republic Trustee Services Limited	Advising			Firstline Securities Limited	Advising and Brokering Advising, Brokering and Underwriting
	Guardian Asset Management and Investment Services Limited Scotiabank Trinidad and Tobago Limited	Associate Associate		Patterson, Rodney Pemberton, Tiffany	RBC Royal Bank (Trinidad and Tobago) Limited Development Finance Limited	Associate Brokering
	RBC Royal Bank (Trinidad and Tobago) Limited	Associate		2. Pereira, Marc Richard	Sheppard Securities Limited	Advising
eth	RBC Royal Bank (Trinidad and Tobago) Limited Guardian Asset Management and Investment Services Limited	Associate Advising and Brokering		3. Perez, Adrian	Guardian Group Trust Limited	Advising, Brokering and Underwriting
	Caribbean Stockbrokers Limited	Brokering		4. Perryman, Jarod 5. Persad. Brad	Scotiabank Trinidad and Tobago Limited Capital Markets Elite Group (Trinidad and Tobago) Limited	Advising and Brokering Advising and Brokering
	Republic Wealth Management Limited RBC Royal Bank (Trinidad and Tobago) Limited	Associate Associate		6. Persad, Savon	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
	Scotiabank Trinidad and Tobago Limited	Associate		7. Persadie, Ginelle 8. Persad-Joseph, Aneisha	RBC Royal Bank (Trinidad and Tobago) Limited RBC Royal Bank (Trinidad and Tobago) Limited	Brokering Brokering
	RBC Royal Bank (Trinidad and Tobago) Limited Guardian Asset Management and Investment Services Limited	Associate Advising	32	9. Persad-Lewis, Cherry-Ann	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
	First Citizens Investment Services Limited	Advising		0. Phelps, Alesha 1. Phelps, Alesha	Sagicor Life Incorporated Sagicor Investments Trinidad & Tobago Limited	Underwriting Brokering
arlene	RBC Royal Bank (Trinidad and Tobago) Limited First Citizens Bank Limited	Associate Brokering and Underwriting	33	2. Phillips, Joel	Guardian Group Trust Limited	Advising, Brokering and Underwriting
	RBC Royal Bank (Trinidad and Tobago) Limited	Associate		3. Pilgrim, Jonathan 4. Pirali, Aamir	Republic Wealth Management Limited Scotiabank Trinidad and Tobago Limited	Associate Associate
in	KSBM Asset ManagementLimited	Advising and Brokering	33	5. Piralli, Charles	JMMB Investments (Trinidad and Tobago) Limited	Brokering
	Scotiabank Trinidad and Tobago Limited Republic Trustee Services Limited	Associate Advising		6. Plowden, Charielle 7. Pollard Jnr., Duke	Sheppard Securities Limited Capital Markets Elite Group (Trinidad and Tobago) Limited	Associate Advising and Brokering
	Republic Wealth Management Limited	Advising and Brokering	33	8. Pounder, Giselle	Republic Wealth Management Limited	Brokering
	RBC Royal Bank (Trinidad and Tobago) Limited Republic Wealth Management Limited	Associate Associate	33	9. Prevatt, Osmond Cleaveland	The Home Mortgage Bank	Advising, Brokering and Underwriting
	Scotiabank Trinidad and Tobago Limited	Associate		0. Prince, Jamila 1. Racha, Delano	Guardian Asset Management and Investment Services Limited Scotiabank Trinidad and Tobago Limited	Associate Brokering
	Guardian Asset Management and Investment Services Limited Firstline Securities Limited	Advising Advising, Brokering and Underwriting	34	2. Raghunanansingh, Laura	Sagicor Investments Trinidad & Tobago Limited	Associate
	Firstline Securities Limited	Advising, Brokering and Underwriting		3. Ragoonath, Randy 4. Rajkumar, Keisha	Scotiabank Trinidad and Tobago Limited Trinidad and Tobago Unit Trust Corporation	Associate Advising and Brokering
	Mondial (Trinidad) Limited Firstline Securities Limited	Advising Advising, Brokering and Underwriting	34	5. Ramcharan, Rudra	JMMB Investments (Trinidad and Tobago) Limited	Associate
	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering Brokering		6. Ramdhanie, Sita 7. Ramdial. Thaies	RBC Royal Bank (Trinidad and Tobago) Limited Guardian Asset Management and Investment Services Limited	Associate Associate
Natasha	RBC Royal Bank (Trinidad and Tobago) Limited	Associate Brokering	34	8. Ramesar-Singh, Brandon	Sheppard Securities Limited	Associate
	Scotiabank Trinidad and Tobago Limited RBC Royal Bank (Trinidad and Tobago) Limited	Brokering		9. Ramesar-Singh, Brandon 0. Ramgoolie, Videsh	Sheppard Stockbrokers Limited RBC Royal Bank (Trinidad and Tobago) Limited	Associate Brokering
	JMMB Investments (Trinidad and Tobago) Limited	Brokering and Underwriting	35	1. Ramirez, Roberto	Scotiabank Trinidad and Tobago Limited	Underwriting
	JMMB Securities (T&T) Limited Trinidad and Tobago Unit Trust Corporation	Brokering and Underwriting Advising and Brokering		2. Ramjit, Shivani 3. Ramkhalawan, Keith	Scotiabank Trinidad and Tobago Limited RBC Royal Bank (Trinidad and Tobago) Limited	Brokering Associate
	Republic Wealth Management Limited	Advising and Prokoring	J	o war in a diaman, I Valu I	rroyar bariir (minuda ana 100aga) Limita	,

REGISTERED REPRESENTATIVES

230. Lackan, Rajesh

231. Lakhan, Jagdes

233. Lambert, Daniel

235. Leander Yeates, Li 236. Lee Wen, Miakyo

234. Leach. Keron

NAME OF REGISTERED ASSOCIATED BROKER-DEALER,

JMMB Investments (Trinidadand Tobago) Limited

Waterloo Capital Advisors Limited

The Home Mortgage Bank Republic Wealth Management Limited

FCL Financial Limited

REGISTERED REPRESENTATIVES

TYPE OF REGISTERED

Advising, Brokering and Underwriting

	ASSOCIATED BROKER-DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER-DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
	Bourse Securities Limited	Advising and Brokering	425. Singh, Lillian	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
	Bourse Securities Limited	Advising, Brokering and Underwriting	426. Singh, Mark	Firstline Securities Limited	Advising, Brokering and Underw
	Bourse Brokers Limited	Advising, Brokering and Underwriting	427. Singh, Shyermarlene	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
	Republic Bank Limited First Citizens Investment Services Limited	Brokering Associate	428. Singh, Vishana	JMMB Investments (Trinidad and Tobago) Limited	Associate
	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering	429. Slater, Sue-Ann	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
	RBC Royal Bank (Trinidad and Tobago) Limited	Associate	430. Smith, Cortlyn 431. Smith, Kamlis	RBC Royal Bank (Trinidad and Tobago) Limited RBC Royal Bank (Trinidad and Tobago) Limited	Associate Associate
	RBC Royal Bank (Trinidad and Tobago) Limited	Associate	432. Somair, Sean Gregory	RBC Investment Management (Caribbean) Limited	Advising and Brokering
	West Indies Stockbrokers Limited	Associate	433. Sookdeo, Natasha	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
	Scotiabank Trinidad and Tobago Limited	Advising and Brokering	434. Sookhan, Sheba	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
4. Ramnath, Andel	The Home Mortgage Bank	Advising, Brokering and Underwriting	435. Sooknanan, Rishi	Citicorp Merchant Bank Limited	Brokering and Underwriting
	RBC Royal Bank (Trinidad and Tobago) Limited	Associate	436. Sookoo, Anganie	JMMB Investments (Trinidad and Tobago) Limited	Brokering
	Caribbean Stockbrokers Limited	Associate	437. Sookoo, Anganie	JMMB Securities (T&T) Limited	Brokering
	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering	438. Sookoo, Jennifer	JMMB Investments (Trinidad and Tobago) Limited	Advising
	JMMB Investments (Trinidad and Tobago) Limited RBC Royal Bank (Trinidad and Tobago) Limited	Associate	439. Sookoo, Stacyann	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
	First Citizens Investment Services Limited	Associate Brokering	440. Sookram-Bridgelal, Nadia	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
	Scotiabank Trinidad and Tobago Limited	Associate	441. St. Clair, Caleb	Guardian Asset Management and Investment Services Limited	Associate
	RBC Royal Bank (Trinidad and Tobago) Limited	Brokerin	442. St. Louis, Leslie 443. Stanford, Dahlia	First Citizens Brokerage and Advisory Services Limited RBC Royal Bank (Trinidad and Tobago) Limited	Brokering Associate
	West Indies Stockbrokers Limited	Associate	444. Stephens, Chrissie	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
	Guardian Asset Management and Investment Services Limited	Advising	445. Sukhu, Rochelle	First Citizens Bank Limited	Advising
	Scotiabank Trinidad and Tobago Limited	Associate	446. Sund-Olton, Angelique	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
	RBC Royal Bank (Trinidad and Tobago) Limited	Associate	447. Sylvester, Kristopher	Capital Markets Elite Group (Trinidad and Tobago) Limited	Advising and Brokering
	Guardian Asset Management and Investment Services Limited	Associate	448. Syne, Sacha	First Citizens Investment Services Limited	Brokering and Underwriting
	RBC Royal Bank (Trinidad and Tobago) Limited	Associate	449. Telesford-Pierre, Trudie	KCL Capital Market Brokers Limited	Advising
	First Citizens Investment Services Limited	Advising	450. Thomas, Gary	Bourse Securities Limited	Advising and Brokering
	Ansa Merchant Bank Limited	Advising	451. Thomas, Marquis	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering	452. Thomas, Rowland Marc	Guardian Asset Management and Investment Services Limited	Advising, Brokering and Underwriting
	RBC Royal Bank (Trinidad and Tobago) Limited RBC Royal Bank (Trinidad and Tobago) Limited	Associate Associate	453. Thomas, Shivon	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering	454. Thompson, Cedric	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
	Guardian Asset Management and Investment Services Limited	Associateg	455. Thompson, Leah Kimberley 456. Tittil, Daniel	Sheppard Securities Limited Admiral Limited	Brokering Advising and Brokering
	Murphy Clarke Financial Limited	Associate	457. Titus, Heather	FirstCaribbean International Bank (Trinidad & Tobago) Limited	Brokering and Underwriting
	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering	458. Tom Yew, Brad	Republic Wealth Management Limited	Advising and Brokering
8. Rochard, Wayne	First Citizens Bank Limited	Associate	459. Tom Yew, Katrine	Guardian Asset Management and Investment Services Limited	Advising and Brokering
9. Rodrigues, Herman	Mondial (Trinidad) Limited	Advising	460. Toney-Gooding, Marcia	First Citizens Depository Services Limited	Brokering
	RBC Royal Bank (Trinidad and Tobago) Limited	Associate	461. Toolsee, Jayde	Bourse Brokers Limited	Associate
	JMMB Investments (Trinidad and Tobago) Limited	Advising	462. Trestrail, Robert	Sagicor Life Incorporated	Brokering
	RBC Royal Bank (Trinidad and Tobago) Limited	Associate	463. Turpin-Carrington, Kelsey	Scotiabank Trinidad and Tobago Limited	Associate
	Admiral Limited Ansa Merchant Bank Limited	Advising and Brokering Advising and Brokering	464. Valdez, Stacy	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering	465. Valentine, Selene	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
	Scotia Investments (Trinidad and Tobago) Limited	Brokering	466. Valley, Kerwyn	KCL Capital Market Brokers Limited	Advising, Brokering and Underw
	Sheppard Securities Limited	Advising	467. Valley, Kerwyn 468. Valley, Kevin	Aspire Fund Management Company Limited Aspire Fund Management Company Limited	Advising Advising
	KSBM Asset Management Limited	Advising and Brokering	469. Valley, Kieran	Aspire Fund Management Company Limited	Advising
	Ansa Merchant Bank Limited	Associate	470. van der Vaart, Hubertus Jan	SEAF Caribbean Management LLC	Advising
0. Samuel-James, Natasha	RBC Royal Bank (Trinidad and Tobago) Limited	Associate	471. Victor, Candice	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
	RBC Royal Bank (Trinidad and Tobago) Limited	Associate	472. Vieira, Lisa	SHBL Investments Company Limited	Associate
	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering	473. Vincent, Jason	Scotiabank Trinidad and Tobago	Brokering
	First Citizens Investment Services Limited	Associate	474. Vincent, Trisha	First Citizens Investment Services Limited	Advising
	Sagicor Investments Trinidad & Tobago Limited Trinidad and Tobago Unit Trust Corporation	Associate Brokering	475. Walker-Huggins, Tricia	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
	RBC Royal Bank (Trinidad and Tobago) Limited	Associate	476. Wallace, Wilfred Gregory	Mondial (Trinidad) Limited	Advising
	Bourse Brokers Limited	Advising and Brokering	477. Warner-Jones, Kira-Ann 478. Webster-Villafana, Akisha	RBC Royal Bank (Trinidad and Tobago) Limited Trinidad and Tobago Unit Trust Corporation	Associate Associate
	Guardian Asset Management and Investment Services Limited	Associate	479. Welch, Luke	Sheppard Securities Limited	Associate
	Citicorp Merchant Bank Limited	Brokering	480. Wellington, Bryan	KCL Capital Market Brokers Limited	Associate
0. Seenath, Liz	Scotiabank Trinidad and Tobago Limited	Associate	481. Wells-Fraser, Bernadette	JMMB Securities (T&T) Limited	Associate
	First Citizens Bank Limited	Advising	482. Westfield, Vanessa	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering	483. Whiskey, Tennille	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
	Republic Bank Limited	Advising and Brokering	484. White, Darryl	RBC Merchant Bank (Caribbean) Limited	Underwriting
	Scotiabank Trinidad and Tobago Limited	Associate	485. White, Marlon	Scotiabank Trinidad and Tobago Limited	Associate
	RBC Royal Bank (Trinidad and Tobago) Limited Sheppard Securities Limited	Associate Advising	486. Whiteman, Sharon	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
	Sheppard Securities Limited	Brokering	487. Wickham, La Toya	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
	Guardian Asset Management and Investment Services Limited	Associate	488. Williams, Leo	SEAF Caribbean Management LLC	Advising Prokering and Undon
	RBC Royal Bank (Trinidad and Tobago) Limited	Associate	489. Williams, Reynold 490. Williams-Samlal, Kerry Ann	Guardian Group Trust Limited RBC Royal Bank (Trinidad and Tobago) Limited	Advising, Brokering and Underv Associate
	Scotiabank Trinidad and Tobago Limited	Associate	491. Wilson-Mano, Linda	Trinidad and Tobago Unit Trust Corporation	Advising
	Republic Wealth Management Limited	Associate	492. Wynter, Paul	Guardian Asset Management and Investment Services Limited	Advising and Brokering
	KSBM Asset Management Limited	Advising	493. Yama, Nigel	Waterloo Capital Advisors Limited	Advising and Brokering
	Scotiabank Trinidad and Tobago Limited	Advising and Brokering	494. Young, Angus Peter	NCB Merchant Bank Trinidad and Tobago Limited	Advising, Brokering Underwritin
4. Singh, Gia	Ansa Merchant Bank Limited	Advising	495. Youseff, Daniel	First Citizens Investment Services Limited	Advising and Underwriting

DEGISTEDED DEDDESENTATIVES

y -,		400. Tousell, Daller	This office is into short controls cirrilled Advantage and office while
REPORTING	SISSUERS		
1. Add Venture Ca	nital Fund Limitad		
Agostini's Limite		31. Guardian Media Limited	62. Sagicor Financial Corporation Limited
•		32. JMMB Bank (T&T) Limited	63. Sagicor Funds Incorporated
	y of Trinidad and Tobago	33. JMMB Group Limited	64. Sagicor Go-Mutual Funds
 Angostura Holdi ANSA McAL Lim 		34. JMMB Life Goal Funds S2	65. Samaan Tree Fund
		35. L.J. Williams Limited	66. Savinvest India Asia Fund
6. Ansa Merchant I		36. Massy Holdings Limited	67. Scotia Canadian Equity Fund
7. Ansa Money Ma		37. Mora Ven Holdings Limited	68. Scotia Caribbean Income Fund Inc.
8. BWIA West India	,	38. Mortgage Participation Fund	69. Scotia Global Equity Fund
	Elite Group (Trinidad and Tobago) Limited	 MPC Caribbean Clean Energy Limited 	70. Scotia Money Market Fund
10. CinemaONE Li		40. National Enterprises Limited	 Scotia Trinidad and Tobago Fixed Income Fund
,	ad and Tobago) Limited	41. National Flour Mills Limited	Scotia Trinidad and Tobago Growth and Income Fund
12. Citicorp Merch		42. National Infrastructure Development Company Limited	 Scotia Trinidad and Tobago Short Term Income Fund
Development F		43. National Insurance Property Development Company Limited	74. Scotia US Dollar Bond Fund
14. Dynamic Equit		44. National Investment Fund Holding Company Limited	75. Scotia US Equity Fund
	lities Company Limited	45. National Maintenance Training and Security Company Limited	76. Scotiabank Trinidad and Tobago Limited
Endeavour Hol	ů .	46. NCB Financial Group Limited	77. St. Christopher Air and Sea Ports Authority
	ean Property Fund Limited SCC	47. Nestle Trinidad and Tobago Limited	78. St. Kitts Urban Development Corporation Limited
18. First Citizens B		48. One Caribbean Media Limited	79. Telecommunications Services of Trinidad and Tobago Limited
First Citizens D	Pepository Services Limited	49. Point Lisas Industrial Port Development Corporation Limited	80. The Home Mortgage Bank
	Group Financial Holdings Limited	50. Port Authority of Trinidad and Tobago	81. The Sports Company of Trinidad and Tobago Limited
First Citizens In	nvestment Services Limited	51. Prestige Holdings Limited	82. The West Indian Tobacco Company Limited
FirstCaribbean	International Bank Limited	52. Public Transport Service Corporation	83. Tourism & Industrial Development Company of Trinidad & Tobago Lim
23. Flavorite Foods	s Limited	53. RBC Merchant Bank (Caribbean) Limited	84. Trinidad and Tobago Housing Development Corporation
24. FNCU Venture	Capital Company Limited	54. RBC Royal Bank (Trinidad and Tobago) Limited	85. Trinidad and Tobago Mortgage Finance Company Limited
25. Furness Trinida	ad Limited	55. Republic Bank Limited	86. Trinidad and Tobago NGL Limited
26. GraceKennedy	Limited	56. Republic Financial Holdings Limited	87. Trinidad and Tobago Unit Trust Corporation
27. Guardian Asse	t Management and Investment Services Limited	57. Republic TT\$ Fixed Income Securities Fund	88. Trinidad Cement Limited
28. Guardian Carib		58. RGM Property Fund	89. Unilever Caribbean Limited
29. Guardian Fixed	Income Fund	59. Royal Bank of Canada	90. Urban Development Corporation of Trinidad & Tobago Limited
00 0 1 11 11		55. To jai Dalik Of Outland	55. 5.5an botolopinon corporation of fillinga a foliage Ellinga

91. UTC (Cayman) SPC Ltd

92. Water & Sewerage Authority

60. Royal Skandia Life Assurance Limited

61. Sagicor Financial Company Limited

SELF-REGULATORY ORGANISATIONS

30. Guardian Holdings Limited

2. The Trinidad and Tobago Stock Exchange Limited