



LIST OF REGISTRANTS AS AT 31ST MARCH, 2023

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?



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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.
- ***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 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 Investment Adviser that is registered with the Commission can conduct securities business in Trinidad and Tobago for a maximum of ninety (90) days in a calendar year.
- ***Reporting Issuer***
A corporation that has distributed or proposes to distribute securities to the public and is subject to the continuous disclosure requirements of the Commission.
- ***Self-Regulatory Organisation***



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A non-governmental organisation that has the power to create and enforce industry regulations and standards. The priority is to protect investors through the establishment of rules that promote ethics and equality.

In accordance with the requirements of Section 52(8) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago, the Commission provides the undermentioned list of its Registrants and Self-Regulatory Organisations as at 31st March 2023.

WANT TO KNOW MORE?

For additional information, you are invited to contact, the Trinidad and Tobago Securities and Exchange Commission, at (868) 624-2991, or visit our website at www.ttsec.org.tt.



LIST OF REGISTRANTS AS AT 31ST MARCH, 2023

<u>BROKER-DEALERS</u>	
1.	Admiral Limited
2.	Ansa Merchant Bank Limited
3.	Ansa Securities Limited
4.	B3V Holdings Limited
5.	Bourse Brokers Limited
6.	Bourse Securities Limited
7.	Capital Markets Elite Group (Trinidad and Tobago) Limited
8.	Caribbean Stockbrokers Limited
9.	Citicorp Merchant Bank Limited
10.	Development Finance Limited
11.	FigTree Financial (T&T) Limited
12.	First Citizens Bank Limited
13.	First Citizens Brokerage and Advisory Services Limited
14.	First Citizens Depository Services Limited
15.	First Citizens Investment Services Limited
16.	First Citizens Portfolio and Investment Management Services Limited
17.	FirstCaribbean International Bank (Trinidad & Tobago) Limited
18.	Firstline Securities Limited
19.	Guardian Asset Management and Investment Services Limited
20.	Guardian Group Trust Limited
21.	JMMB Bank (T&T) Limited
22.	JMMB Investments (Trinidad and Tobago) Limited
23.	JMMB Securities (T&T) Limited
24.	KCL Capital Market Brokers Limited
25.	KSBM Asset Management Limited
26.	Maritime Capital Limited
27.	Massy Finance GFC Ltd.
28.	Murphy Clarke Financial Limited
29.	NCB Merchant Bank (Trinidad and Tobago) Limited
30.	RBC Investment Management (Caribbean) Limited
31.	RBC Royal Bank (Trinidad and Tobago) Limited
32.	Republic Bank Limited
33.	Republic Wealth Management Limited
34.	Sagicor Investments Trinidad & Tobago Limited
35.	Sagicor Life Incorporated
36.	Scotia Investments (Trinidad and Tobago) Limited
37.	Scotiabank Trinidad and Tobago Limited
38.	Sheppard Securities Limited
39.	Sheppard Stockbrokers Limited



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40.	The Home Mortgage Bank
41.	Trinidad and Tobago Unit Trust Corporation
42.	Waterloo Capital Advisors Limited
43.	West Indies Stockbrokers Limited

INVESTMENT ADVISERS

1.	Aspire Fund Management Company Limited
2.	Clewett, Nigel
3.	FCL Financial Limited
4.	Guardian Life of the Caribbean Limited
5.	Mondial (Trinidad) Limited
6.	SEAF Caribbean Management LLC
7.	SHBL Investments Company Limited
8.	Williams, Aldon Philip

UNDERWRITERS

1.	RBC Merchant Bank (Caribbean) Limited
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REGISTERED REPRESENTATIVES

	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER- DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
1.	Abdool, Amani	First Citizens Portfolio and Investment Management Services Limited	Advising
2.	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
6.	Alexander, Liesel	KCL Capital Market Brokers Limited	Advising, Brokering and Underwriting
7.	Alexander, Liesel	Aspire Fund Management Company Limited	Advising



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8.	Alexander, Ria	Scotiabank Trinidad and Tobago Limited	Brokering
9.	Alexander, Sharon	First Citizens Bank Limited	Brokering
10.	Alfred-Pierre, Annissa	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
11.	Ali, Christopher	First Citizens Bank Limited	Brokering
12.	Ali, Salahudeen	Maritime Capital Limited	Brokering
13.	Ali, Salma	West Indies Stockbrokers Limited	Brokering
14.	Ali, Sarfraz	Scotiabank Trinidad and Tobago Limited	Associate
15.	Ali-Manoo, Anisha	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
16.	Alleyne, Candice	Scotiabank Trinidad and Tobago Limited	Associate
17.	Alleyne, Harold	Caribbean Stockbrokers Limited	Advising, Brokering and Underwriting
18.	Alleyne, Joshua	Sheppard Securities Limited	Associate
19.	Alleyne, Joshua	Sheppard Stockbrokers Limited	Associate
20.	Andrews, Schubert	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
21.	Aparicio-Owen, Talia	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
22.	Ashby, Lyndelle	KCL Capital Market Brokers Limited	Advising
23.	Ashton, Chevon	Guardian Asset Management and Investment Services Limited	Advising
24.	Atwell, Amrika	First Citizens Bank Limited	Brokering
25.	Atwell, Gabrielle	First Citizens Bank Limited	Brokering
26.	Austin, Kirby	JMMB Investments (Trinidad and Tobago) Limited	Advising
27.	Austin, Marsha	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
28.	Avey, Richard	Guardian Life of the Caribbean Limited	Advising
29.	Awai, Gary	Development Finance Limited	Advising, Brokering and Underwriting



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30.	Baal, Rima	First Citizens Bank Limited	Brokering
31.	Babb, Tammie	FCL Financial Limited	Advising
32.	Baiju, Kirsten	Sheppard Securities Limited	Associate
33.	Baiju, Kirsten	Sheppard Stockbrokers Limited	Associate
34.	Bailey, John	West Indies Stockbrokers Limited	Associate
35.	Bain, Asha	Guardian Asset Management and Investment Services Limited	Associate
36.	Balgobin, Robert	KSBM Asset Management Limited	Advising and Brokering
37.	Balliram-Harripersad, Sharda	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
38.	Balraj, Ronnie	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
39.	Bando-Collins, Judith	Republic Bank Limited	Brokering and Underwriting
40.	Baptiste, Tamara	RBC Merchant Bank (Caribbean) Limited	Underwriting
41.	Bartholomew, Tracy	Republic Bank Limited	Advising and Brokering
42.	Basdeo, Anderson	Citicorp Merchant Bank Limited	Brokering
43.	Basdeo, Roshan	JMMB Securities (T&T) Limited	Associate
44.	Bassant, Terrence	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
45.	Bayne, Ryan	Sheppard Securities Limited	Advising
46.	Beachoo, Dana	Waterloo Capital Advisors Limited	Associate
47.	Beharry, Amanda	First Citizens Investment Services Limited	Advising
48.	Beharrylal, Roshni	Scotiabank Trinidad and Tobago Limited	Associate
49.	Bell-Smythe, Nicholas	Development Finance Limited	Associate
50.	Belmontes, Jesse	Scotiabank Trinidad and Tobago Limited	Associate
51.	Bernard-Cardinal, Rachel	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
52.	Bhagan, Candice	West Indies Stockbrokers Limited	Brokering
53.	Bhagwandin, Chrysse	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
54.	Bharat, Renata	Bourse Brokers Limited	Advising



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55.	Bissessar, Avinash	JMMB Bank (T&T) Limited	Advising, Brokering and Underwriting
56.	Blackman, Javan	First Citizens Bank Limited	Brokering
57.	Blake, Lee-Ann	First Citizens Bank Limited	Associate
58.	Bleasdel, Erica	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
59.	Bleasdel, Jason	KCL Capital Market Brokers Limited	Associate
60.	Bobb, Sheldon	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
61.	Boodram, Renelle	Guardian Asset Management and Investment Services Limited	Associate
62.	Boodram, Rodney Ajit	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
63.	Boodram, Sheryl	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
64.	Boodram, Winston	FirstCaribbean International Bank (Trinidad & Tobago) Limited	Brokering and Underwriting
65.	Borde-Ferreira, Sabrina	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
66.	Bosland, Dirk	First Citizens Depository Services Limited	Brokering
67.	Bourne, Talibah	First Citizens Bank Limited	Associate
68.	Bovell, Khadine	Firstline Securities Limited	Advising and Brokering
69.	Bowen, Wendell	First Citizens Bank Limited	Brokering
70.	Bridgelal, Judy	Sagicor Investments Trinidad & Tobago Limited	Associate
71.	Bridgewater, Joanne Cheryl	Republic Wealth Management Limited	Brokering
72.	Bridglal, Alvin	B3V Holdings Limited	Brokering
73.	Brown, Bernadette	First Citizens Bank Limited	Associate
74.	Cabral, Kassann	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
75.	Caesar, Nigel	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
76.	Camacho, James	Sagicor Life Incorporated	Underwriting



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77.	Cassim, Marc	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
78.	Charles, Renee	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
79.	Charles-Pierre, Nikez	Republic Wealth Management Limited	Advising and Brokering
80.	Cheddie, Emerson	First Citizens Bank Limited	Brokering
81.	Chen, Nicholas	First Citizens Brokerage and Advisory Services Limited	Brokering
82.	Chen, Nicholas	First Citizens Investment Services Limited	Brokering and Underwriting
83.	Chester, Ryan	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
84.	Chin, Ian	Ansa Merchant Bank Limited	Advising and Brokering
85.	Chin, Ian	Ansa Securities Limited	Advising and Brokering
86.	Chinapoo, Ian	Guardian Asset Management and Investment Services Limited	Advising, Brokering and Underwriting
87.	Chinapoo, Ian	Guardian Group Trust Limited	Advising, Brokering and Underwriting
88.	Clarke, Andre	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
89.	Clarke, Christopher	Scotia Investments (Trinidad and Tobago) Limited	Brokering
90.	Clarke, Dwayne	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
91.	Clarke, Leslie	Murphy Clarke Financial Limited	Brokering and Underwriting
92.	Clarke-Mohan, Narda	First Citizens Depository Services Limited	Brokering
93.	Coonai, Ryan	Capital Markets Elite Group (Trinidad and Tobago) Limited	Advising and Brokering
94.	Creese, Marli	NCB Merchant Bank (Trinidad and Tobago) Limited	Advising, Brokering and Underwriting
95.	Crooks, Victoria Marie	Sheppard Securities Limited	Brokering



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96.	Crooks, Victoria Marie	Sheppard Stockbrokers Limited	Brokering
97.	Cruickshank-Hosam, Candice	KSBM Asset Management Limited	Advising
98.	Cruickshank-Simon, Lesa	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
99.	Da Silva, Michael	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
100.	Daljitsingh, Sasheka	Guardian Asset Management and Investment Services Limited	Advising and Brokering
101.	Darbasie, Karen	First Citizens Bank Limited	Brokering and Underwriting
102.	Dasrathsingh, Jamie	JMMB Bank (T&T) Limited	Advising, Brokering and Underwriting
103.	De Graff, Dunovan	Sagicor Investments Trinidad & Tobago Limited	Underwriting
104.	De Nobriga, Lisa	First Citizens Bank Limited	Brokering
105.	De Sormeaux, Candice	Scotiabank Trinidad and Tobago Limited	Brokering
106.	De Souza, Javan	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
107.	Denoon, Troy	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
108.	Deonarinesingh, Deanish	Scotiabank Trinidad and Tobago Limited	Brokering
109.	Des Vignes, Michelle	KCL Capital Market Brokers Limited	Advising
110.	Dillon, Genevieve	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
111.	Dindial, Leanna	Guardian Asset Management and Investment Services Limited	Associate
112.	Donaldson, Graham Duff	Mondial (Trinidad) Limited	Advising
113.	Donaldson-Jeffrey, Amril	First Citizens Portfolio and Investment Management Services Limited	Brokering



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114.	Donawa, Ralph	Sagicor Investments Trinidad & Tobago Limited	Associate
115.	Dookie, Dave	Waterloo Capital Advisors Limited	Advising and Brokering
116.	Dookie, Saffia	First Citizens Bank Limited	Associate
117.	Douglas, Alana	West Indies Stockbrokers Limited	Associate
118.	Downie, Richard	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
119.	Drakes, Candice	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
120.	Drakes, Destine	Guardian Asset Management and Investment Services Limited	Associate
121.	Drayton, Amichai	The Home Mortgage Bank	Advising, Brokering and Underwriting
122.	Dukharan, Nirvana	NCB Merchant Bank (Trinidad and Tobago) Limited	Advising and Brokering
123.	Duncan, Terrel	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
124.	Durbal, Susan	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
125.	Edoo, Richard	Scotiabank Trinidad and Tobago Limited	Associate
126.	Edwards, Belinda	First Citizens Bank Limited	Brokering
127.	Edwards, De Quan	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
128.	Edwards, Stacyann	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
129.	Eligon, Michelle	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
130.	Ellis, Rory	Capital Markets Elite Group (Trinidad and Tobago) Limited	Advising and Brokering
131.	Escallier, Racine	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
132.	Evans, Richard	Trinidad and Tobago Unit Trust Corporation	Brokering
133.	Fadahunsi, Lai	SHBL Investments Company Limited	Advising



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134.	Fahey, Desmond	First Citizens Bank Limited	Associate
135.	Farmer, Daniel Wilfred	FigTree Financial (T&T) Limited	Brokering
136.	Farmer, Karen	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
137.	Ferdinand, Jean- Maurice	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
138.	Ferguson, Andrew	Maritime Capital Limited	Advising and Brokering
139.	Ferreira, Greg	First Citizens Investment Services Limited	Brokering
140.	Ferreira, Shauna	Bourse Securities Limited	Advising
141.	Forde, Maria	Trinidad and Tobago Unit Trust Corporation	Advising
142.	Francis, Sparkle Sally	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
143.	Frank-Baboolal, Adelaine	Murphy Clarke Financial Limited	Advising
144.	Frederick, Sharon	Guardian Asset Management and Investment Services Limited	Associate
145.	Gadraj-Baboolal, Neena	First Citizens Bank Limited	Brokering
146.	Gajadhar, Kerry	Caribbean Stockbrokers Limited	Associate
147.	Gajadhar, Usha	The Home Mortgage Bank	Brokering and Underwriting
148.	Gangaram, Radica	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
149.	Garcia, Edmund	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
150.	Garcia-David, Apphia	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
151.	Gatt, Gordon Anthony	Sheppard Securities Limited	Advising
152.	Gayapersad, Camille	First Citizens Investment Services Limited	Associate
153.	George Andalcio- O'Neil, Carlene	RBC Royal Bank (Trinidad and Tobago) Limited	Associate



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154.	George, Alicia	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
155.	George, Trevelon	First Citizens Bank Limited	Brokering
156.	George-Sharpe, Melanie	Guardian Asset Management and Investment Services Limited	Associate
157.	Gill, Sherwin M.	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
158.	Girod, Renata	JMMB Investments (Trinidad and Tobago) Limited	Advising
159.	Gittens, Richard	Sagicor Investments Trinidad & Tobago Limited	Associate
160.	Gokool, Kavita	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
161.	Gonzales, Adesha	Scotiabank Trinidad and Tobago Limited	Brokering
162.	Gooptar, Jerome	Guardian Asset Management and Investment Services Limited	Advising, Brokering and Underwriting
163.	Gopaul, Dianne	First Citizens Bank Limited	Associate
164.	Gopaul, Teneil	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
165.	Gordon, Winston Earl	Firstline Securities Limited	Associate
166.	Gosine, Ishan	NCB Merchant Bank (Trinidad and Tobago) Limited	Advising and Brokering
167.	Gosine, Jerome	Scotiabank Trinidad and Tobago Limited	Associate
168.	Gregory, Christopher Andre	FigTree Financial (T&T) Limited	Brokering
169.	Gualbance, Daniella	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
170.	Guevara, Joshua	Capital Markets Elite Group (Trinidad and Tobago) Limited	Associate
171.	Guppy, Marcus	Firstline Securities Limited	Advising, Brokering and Underwriting
172.	Guyadeen-Gosine, Karen	Trinidad and Tobago Unit Trust Corporation	Advising



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173.	Hackett-Murray, Desiree	Trinidad and Tobago Unit Trust Corporation	Advising
174.	Hamel-Smith, Shane	Sheppard Securities Limited	Advising
175.	Hanooman, Rodney	Scotiabank Trinidad and Tobago Limited	Brokering
176.	Hansraj, Richard	First Citizens Bank Limited	Associate
177.	Hardeo, Avin	Republic Bank Limited	Advising, Brokering and Underwriting
178.	Harding-Mohan, Nadine	First Citizens Bank Limited	Brokering
179.	Harrilal, Tanelle	First Citizens Bank Limited	Brokering
180.	Henry, Aliya Marisa	Republic Wealth Management Limited	Advising and Brokering
181.	Henry, Lester	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
182.	Henry, Ornella	Sagicor Investments Trinidad & Tobago Limited	Associate
183.	Hernandez, Alicia	Firstline Securities Limited	Advising, Brokering and Underwriting
184.	Hernandez, Jody	Guardian Group Trust Limited	Advising, Brokering and Underwriting
185.	Hill, Gregory	Ansa Merchant Bank Limited	Advising, Brokering and Underwriting
186.	Hill, Gregory	Ansa Securities Limited	Advising and Brokering
187.	Hills, Nikesha	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
188.	Hilton-Clarke, Jacqueline	KCL Capital Market Brokers Limited	Advising
189.	Hinkson, Duane Anthony	Massy Finance GFC Ltd.	Advising, Brokering and Underwriting
190.	Holder, Omar	Trinidad and Tobago Unit Trust Corporation	Advising
191.	Hosein, Chelsea	Guardian Asset Management and Investment Services Limited	Associate
192.	Hosein, Narisa	Guardian Asset Management and Investment Services Limited	Advising, Brokering and Underwriting



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193.	Hosein, Sean	Bourse Brokers Limited	Advising and Brokering
194.	Hudson, Makeda	Guardian Asset Management and Investment Services Limited	Associate
195.	Ible, Isabelle	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
196.	Isahack-Paul, Naadira	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
197.	Israel, Stacy	First Citizens Investment Services Limited	Advising
198.	Jackman, Ihsan	Guardian Group Trust Limited	Advising, Brokering and Underwriting
199.	Jackman, Janice	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
200.	Jackson, Mikkel	First Citizens Bank Limited	Brokering
201.	Jacobie, Natalie	Scotiabank Trinidad and Tobago Limited	Associate
202.	Jadoo, Vishal	Firstline Securities Limited	Advising, Brokering and Underwriting
203.	Jagbirsingh, Candace	RBC Merchant Bank (Caribbean) Limited	Underwriting
204.	Jagdeosingh, Veronica	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
205.	Jagroop, Subash	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
206.	James, Kerron	Republic Bank Limited	Advising, Brokering and Underwriting
207.	Jan, Nizea	Scotiabank Trinidad and Tobago Limited	Associate
208.	Jenkins, Paul	FirstCaribbean International Bank (Trinidad & Tobago) Limited	Brokering
209.	Jessop, Avionne	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
210.	John, Marisa Elisabeth	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
211.	John, Trever	Guardian Asset Management and Investment Services Limited	Advising and Brokering



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212.	Johnson, Carolyn	Caribbean Stockbrokers Limited	Brokering
213.	Joseph, Cindy-Ann	Republic Wealth Management Limited	Associate
214.	Joseph, Davina	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
215.	Joseph, Kyle	Scotiabank Trinidad and Tobago Limited	Associate
216.	Joseph, Nikeisha	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
217.	Joseph, Raphael	Guardian Asset Management and Investment Services Limited	Advising
218.	Joseph, Ru-Ann	First Citizens Investment Services Limited	Advising
219.	Joseph-Seerattan, Carlene	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
220.	Julien, Jason	First Citizens Bank Limited	Brokering and Underwriting
221.	Julien-Jack, Maxime	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
222.	Juman, Neil	First Citizens Bank Limited	Brokering
223.	Juman, Rachael	First Citizens Bank Limited	Brokering
224.	Kadir, Amanda	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
225.	Kalicharan, Ramcharan	KSBM Asset Management Limited	Advising and Brokering
226.	Kalloo, Candice McDonald	Guardian Asset Management and Investment Services Limited	Associate
227.	Katwaroo, Darren	Scotiabank Trinidad and Tobago Limited	Associate
228.	Kerr, Candace	Guardian Asset Management and Investment Services Limited	Advising
229.	Kesar, Curley	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
230.	Khafra, Jeremy	RBC Royal Bank (Trinidad and Tobago) Limited	Associate



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	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER- DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
231.	Khan, Marsha	Republic Wealth Management Limited	Associate
232.	Khan, Meera	Scotiabank Trinidad and Tobago Limited	Associate
233.	Khan, Michael Vaughn	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
234.	Khan, Tishara	Guardian Asset Management and Investment Services Limited	Advising
235.	Khan-Abdool, Amirah	Guardian Group Trust Limited	Advising, Brokering and Underwriting
236.	King, Dalia Patrice	Firstline Securities Limited	Advising, Brokering and Underwriting
237.	King, Keith Michael	Firstline Securities Limited	Advising, Brokering and Underwriting
238.	King, Mary	Mondial (Trinidad) Limited	Advising
239.	King, Maxine Cheryl	Firstline Securities Limited	Advising, Brokering and Underwriting
240.	King-Campbell, Adanna	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
241.	Kirpaul-Mohammed, Natasha	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
242.	Kirton, Kelly	Scotiabank Trinidad and Tobago Limited	Brokering
243.	Kishore, Rory	First Citizens Bank Limited	Brokering
244.	Kissoon, Tricia	JMMB Investments (Trinidad and Tobago) Limited	Brokering and Underwriting
245.	Kissoon, Tricia	JMMB Securities (T&T) Limited	Brokering and Underwriting
246.	La Borde, Kevin	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
247.	Labban, Hazel	Republic Wealth Management Limited	Advising and Brokering
248.	Lakhan, Jagdesh	Waterloo Capital Advisors Limited	Advising and Brokering
249.	Lala, Salisha	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
250.	Lambert, Daniel	FCL Financial Limited	Advising



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251.	Le Gendre, Chala	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
252.	Leach, Keron	The Home Mortgage Bank	Advising, Brokering and Underwriting
253.	Leander Yeates, Lisa	Republic Wealth Management Limited	Brokering
254.	Leggard, Kaffi	Sheppard Securities Limited	Advising
255.	Leggard, Kaffi	Sheppard Stockbrokers Limited	Brokering
256.	Leons, Keron	First Citizens Investment Services Limited	Associate
257.	Lewis, Lumecha	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
258.	Lewis, Phillip Andrew	Firstline Securities Limited	Associate
259.	Lewis, Robin	First Citizens Investment Services Limited	Brokering
260.	Lewis, Robin	First Citizens Brokerage and Advisory Services Limited	Brokering
261.	Lewis, Robin	First Citizens Portfolio and Investment Management Services Limited	Brokering
262.	Lewis-Best, Leah	KCL Capital Market Brokers Limited	Associate
263.	Logan, Nigel	Bourse Brokers Limited	Associate
264.	Loney, Teneal	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
265.	Lourenco, Keomi	Guardian Group Trust Limited	Advising, Brokering and Underwriting
266.	Lum Sang-De Silva, Gina	West Indies Stockbrokers Limited	Brokering
267.	Lum Sang-De Silva, Gina	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
268.	Lutchman, Khadeen	Scotiabank Trinidad and Tobago Limited	Brokering
269.	Mac Quan, Keisha	First Citizens Investment Services Limited	Advising



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270.	Mackoon, Darlene	Scotiabank Trinidad and Tobago Limited	Brokering
271.	Mahabir, Shival	RBC Investment Management (Caribbean) Limited	Advising and Brokering
272.	Maharaj, Avinash Lal	Ansa Merchant Bank Limited	Advising
273.	Maharaj, Gangadai	Scotiabank Trinidad and Tobago Limited	Associate
274.	Maharaj, Geerevan	First Citizens Investment Services Limited	Associate
275.	Maharaj, Nadya	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
276.	Maharaj, Sally	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
277.	Maharaj-Ramnarine, Laura	Scotiabank Trinidad and Tobago Limited	Associate
278.	Maingot, Danielle	Murphy Clarke Financial Limited	Advising
279.	Majid, Fareesha	Murphy Clarke Financial Limited	Brokering
280.	Manmohan, Adrian	West Indies Stockbrokers Limited	Brokering
281.	Mannah, Shivanand	JMMB Investments (Trinidad and Tobago) Limited	Associate
282.	Mansoor, Natalie Marie	RBC Investment Management (Caribbean) Limited	Advising and Brokering
283.	Marajh, Adita	Guardian Asset Management and Investment Services Limited	Advising and Brokering
284.	Marcano, Annalee	KCL Capital Market Brokers Limited	Associate
285.	Marcus, Kriss	Massy Finance GFC Ltd.	Advising, Brokering and Underwriting
286.	Mark, Sekou	Trinidad and Tobago Unit Trust Corporation	Advising
287.	Marlow, Marissa	Ansa Merchant Bank Limited	Associate
288.	Mc Donald, Anika	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
289.	Mc Dougall, Kalifa	RBC Royal Bank (Trinidad and Tobago) Limited	Associate



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290.	Mc Kenzie, Racine	Sagicor Investments Trinidad & Tobago Limited	Brokering
291.	Mc Neill, Nicholas	Ansa Merchant Bank Limited	Advising
292.	Mc Quilkin, Michael	Republic Bank Limited	Advising, Brokering and Underwriting
293.	McKell, Romesh	First Citizens Investment Services Limited	Advising
294.	Merritt, Thandi	Guardian Group Trust Limited	Advising, Brokering and Underwriting
295.	Milford, Janine	Republic Wealth Management Limited	Advising and Brokering
296.	Millar, Michael	Sagicor Investments Trinidad & Tobago Limited	Brokering
297.	Minwah-Mohammed, Balmatie	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
298.	Mohammed, Faye	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
299.	Mohammed, Nicholas	Firstline Securities Limited	Associate
300.	Mohammed, Reshard	Scotia Investments (Trinidad and Tobago) Limited	Brokering
301.	Mohammed, Ronald	Bourse Securities Limited	Associate
302.	Mohammed, Salisha	Guardian Asset Management and Investment Services Limited	Associate
303.	Mohammed, Shaun	First Citizens Brokerage and Advisory Services Limited	Associate
304.	Mohammed, Shyam	First Citizens Bank Limited	Brokering
305.	Mohammed, Xoceketzal	First Citizens Portfolio and Investment Management Services Limited	Brokering
306.	Mohammed, Zinora	KCL Capital Market Brokers Limited	Advising
307.	Mohammed-Dass, Shazeema	Trinidad and Tobago Unit Trust Corporation	Advising
308.	Moonan, Videsh	B3V Holdings Limited	Brokering
309.	Moonsammy, Vishwadai	The Home Mortgage Bank	Associate



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310.	Moore, Nichelle	Guardian Asset Management and Investment Services Limited	Associate
311.	Murrell, Cherise	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
312.	Murrell-Richardson, Neisha	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
313.	Muzaffarr, Bibi Ruhanna	RBC Investment Management (Caribbean) Limited	Advising
314.	Nagassar, Nigel	Guardian Asset Management and Investment Services Limited	Advising and Brokering
315.	Narine, Estelle	Scotiabank Trinidad and Tobago Limited	Brokering
316.	Nelson, Avalon	Scotiabank Trinidad and Tobago Limited	Associate
317.	Neverson, Diandra	Republic Bank Limited	Advising and Brokering
318.	Noor, Malekha Trudy	First Citizens Bank Limited	Brokering
319.	Nuzum, Adrian	Sheppard Securities Limited	Associate
320.	Nuzum, Adrian	Sheppard Stockbrokers Limited	Associate
321.	O'Neil Gooden, Steven	NCB Merchant Bank (Trinidad and Tobago) Limited	Advising, Brokering and Underwriting
322.	Olliviera, David	First Citizens Bank Limited	Associate
323.	Ottley, Renee	Ansa Merchant Bank Limited	Advising and Brokering
324.	Padia, Andre	First Citizens Investment Services Limited	Advising
325.	Pagee, Gillian	First Citizens Investment Services Limited	Advising
326.	Pantin, Clarissa	West Indies Stockbrokers Limited	Associate
327.	Pardais, Maria	First Citizens Portfolio and Investment Management Services Limited	Advising
328.	Parrage, Ryan	Waterloo Capital Advisors Limited	Brokering
329.	Pascal, Anand	Guardian Life of the Caribbean Limited	Advising
330.	Pasea, Christian	Sagikor Life Incorporated	Brokering
331.	Passee, Johann	Firstline Securities Limited	Advising and Brokering



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	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER- DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
332.	Patrick, Cole	Firstline Securities Limited	Advising, Brokering and Underwriting
333.	Patterson, Denese	First Citizens Bank Limited	Brokering
334.	Patterson, Rodney	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
335.	Pemberton, Tiffany	Development Finance Limited	Brokering
336.	Pereira, Marc Richard	Sheppard Securities Limited	Advising
337.	Perez, Adrian	Guardian Group Trust Limited	Advising, Brokering and Underwriting
338.	Perryman, Jarod	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
339.	Persad, Anuradha	First Citizens Bank Limited	Advising
340.	Persad, Darius	First Citizens Bank Limited	Brokering
341.	Persad, Savon	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
342.	Persadie, Ginelle	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
343.	Persad-Joseph, Aneisha	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
344.	Persad-Lewis, Cherry-Ann	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
345.	Phelps, Alesha	Sagicor Life Incorporated	Underwriting
346.	Phelps, Alesha	Sagicor Investments Trinidad & Tobago Limited	Brokering
347.	Phillips, Joel	Guardian Group Trust Limited	Advising, Brokering and Underwriting
348.	Phillips, Myles	Citicorp Merchant Bank Limited	Underwriting
349.	Phillips-Rose, Michelle	First Citizens Bank Limited	Associate
350.	Pilgrim, Jonathan	Republic Wealth Management Limited	Associate
351.	Pirali, Aamir	Scotiabank Trinidad and Tobago Limited	Associate
352.	Piralli, Charles	JMMB Investments (Trinidad and Tobago) Limited	Brokering
353.	Piralli, Charles	JMMB Securities (T&T) Limited	Brokering



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354.	Pollard Jnr., Duke	Capital Markets Elite Group (Trinidad and Tobago) Limited	Advising and Brokering
355.	Pounder, Giselle	Republic Wealth Management Limited	Brokering
356.	Prevatt, Osmond Cleaveland	The Home Mortgage Bank	Advising, Brokering and Underwriting
357.	Prince, Jamila	Guardian Asset Management and Investment Services Limited	Associate
358.	Racha, Delano	Scotiabank Trinidad and Tobago Limited	Brokering
359.	Raghunanansingh, Laura	Sagikor Investments Trinidad & Tobago Limited	Associate
360.	Ragoonath, Randy	Scotiabank Trinidad and Tobago Limited	Associate
361.	Rajkumar, Keisha	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
362.	Ramcharan, Diana	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
363.	Ramdass, Pamela	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
364.	Ramdhanie, Timmel	First Citizens Bank Limited	Brokering
365.	Ramdhanie-Sultan, Sita	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
366.	Ramdial, Thaies	Guardian Asset Management and Investment Services Limited	Associate
367.	Ramgoolie, Videsh	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
368.	Ramirez, Roberto	Scotiabank Trinidad and Tobago Limited	Underwriting
369.	Ramjattan, Stacey	Guardian Asset Management and Investment Services Limited	Associate
370.	Ramjit, Shivani	Scotiabank Trinidad and Tobago Limited	Brokering
371.	Ramkhalawan, Keith	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
372.	Ramkhalawan, Sarodh	Bourse Securities Limited	Advising and Brokering



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373.	Ramkhelawan, Subhas	Bourse Securities Limited	Advising, Brokering and Underwriting
374.	Ramkhelawan, Subhas	Bourse Brokers Limited	Advising, Brokering and Underwriting
375.	Ramkissoon, Baldath	Republic Bank Limited	Advising and Brokering
376.	Ramkissoon, Dana	First Citizens Investment Services Limited	Associate
377.	Ramkissoon, Fahreena	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
378.	Ramkissoon-Joseph, Shivana	Republic Bank Limited	Advising and Brokering
379.	Ramlal, Charanjit	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
380.	Ramlochan, Gideon	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
381.	Ramnarine, Sasha	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
382.	Ramnath, Andel	The Home Mortgage Bank	Advising, Brokering and Underwriting
383.	Ramnath, Rachel	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
384.	Ramnath-Singh, Gail	Caribbean Stockbrokers Limited	Associate
385.	Ramoutar, Emily	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
386.	Rampartap, Rondel	JMMB Investments (Trinidad and Tobago) Limited	Associate
387.	Rampersad, Travis	First Citizens Investment Services Limited	Brokering
388.	Rampersad-Sookah, Annecia	Scotiabank Trinidad and Tobago Limited	Associate
389.	Ramphal, Leanna	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
390.	Ramsaran, Anrika	West Indies Stockbrokers Limited	Associate
391.	Ramsaroop, Onilla	Scotiabank Trinidad and Tobago Limited	Associate



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392.	Ramsingh, Chanelle	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
393.	Ramsingh, Jennifer	Guardian Asset Management and Investment Services Limited	Associate
394.	Ramsumair-Mahabir, Nadia	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
395.	Ramsumair-Mohammed, Shivana	First Citizens Investment Services Limited	Advising
396.	Ramsumair-Pustam, Cathy-Ann	Ansa Merchant Bank Limited	Advising
397.	Ramsundarsingh-Gopaul, Rhonda	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
398.	Ransome, Diann	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
399.	Rattan, Basdai	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
400.	Rattansingh, Prasanna	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
401.	Rawlins Bethel, Avionne	Guardian Asset Management and Investment Services Limited	Associate
402.	Redhead, Eric	Murphy Clarke Financial Limited	Associate
403.	Reid, Stefan	Guardian Asset Management and Investment Services Limited	Associate
404.	Remy, Crystal	First Citizens Bank Limited	Brokering
405.	Reyes, Erfan	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
406.	Robinson, David	Republic Bank Limited	Advising and Brokering
407.	Rochard, Wayne	First Citizens Bank Limited	Associate
408.	Rodrigues, Herman	Mondial (Trinidad) Limited	Advising
409.	Romilly-Raymah, Selene	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
410.	Roopchand, Alicia	JMMB Investments (Trinidad and Tobago) Limited	Advising
411.	Rostant, Alexi	Guardian Asset Management and Investment Services Limited	Associate



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412.	Ruiz, Carol-Ann	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
413.	Sa Gomes, Chip	Admiral Limited	Advising and Brokering
414.	Sabga, Nigel Anthony	Ansa Merchant Bank Limited	Advising and Brokering
415.	Sadoo, Mark	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
416.	Salazar, Krystal	Scotia Investments (Trinidad and Tobago) Limited	Brokering
417.	Salloum Clarke, Christiane Michelle	FigTree Financial (T&T) Limited	Brokering
418.	Salvary, Brent	KSBM Asset Management Limited	Advising and Brokering
419.	Samodee, Keisha	Guardian Asset Management and Investment Services Limited	Associate
420.	Samuel-James, Natasha	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
421.	Sanasie-Ali, Renee	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
422.	Sandy, Dexter	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
423.	Sankar-Cassie, Liandra	Sagicor Investments Trinidad & Tobago Limited	Brokering
424.	Santoo, Barry	First Citizens Bank Limited	Brokering
425.	Sawh, Vasudev	Massy Finance GFC Ltd.	Advising, Brokering and Underwriting
426.	Scott, Deyson	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
427.	Seale, Marlon	First Citizens Bank Limited	Brokering
428.	Seebaran, Madree	Bourse Brokers Limited	Advising and Brokering
429.	Seebrath, Shawnee	Guardian Asset Management and Investment Services Limited	Associate
430.	Seedhan, Annette	Citicorp Merchant Bank Limited	Brokering
431.	Seedial, Yuri	Republic Wealth Management Limited	Advising and Brokering
432.	Seenath, Liz	Scotiabank Trinidad and Tobago Limited	Associate



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433.	Seenath, Shushilla	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
434.	Seepaul, Diana	First Citizens Bank Limited	Advising
435.	Seepersad Singh, Ornella	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
436.	Seepersad, Shane	Republic Bank Limited	Advising and Brokering
437.	Seepersadsingh, Sheldon	Scotiabank Trinidad and Tobago Limited	Associate
438.	Sharma-Kamaludin, Adita	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
439.	Sheppard, Alan Michael	Sheppard Securities Limited	Advising
440.	Sheppard, George David	Sheppard Securities Limited	Brokering
441.	Sheppard, George David	Sheppard Stockbrokers Limited	Brokering
442.	Silva, Loise	Guardian Asset Management and Investment Services Limited	Associate
443.	Simeon, Simone	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
444.	Simmons, Dhaana	Scotiabank Trinidad and Tobago Limited	Associate
445.	Sinanan-Seepersad, Sally	Republic Wealth Management Limited	Associate
446.	Singh, Amit	KSBM Asset Management Limited	Advising
447.	Singh, Dianne	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
448.	Singh, Gia	Ansa Merchant Bank Limited	Advising
449.	Singh, Lillian	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
450.	Singh, Mark	Firstline Securities Limited	Advising, Brokering and Underwriting
451.	Singh, Roshnie	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
452.	Singh, Shyermarlene	RBC Royal Bank (Trinidad and Tobago) Limited	Associate



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453.	Singh, Vishana	JMMB Investments (Trinidad and Tobago) Limited	Associate
454.	Slater, Sue-Ann	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
455.	Smith, Cortlyn	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
456.	Somair, Sean Gregory	RBC Investment Management (Caribbean) Limited	Advising and Brokering
457.	Sookdeo, Natasha	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
458.	Sookdeo, Shivanand	Republic Bank Limited	Advising and Brokering
459.	Sookhan, Sheba	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
460.	Sookoo, Anganie	JMMB Investments (Trinidad and Tobago) Limited	Brokering
461.	Sookoo, Anganie	JMMB Securities (T&T) Limited	Brokering
462.	Sookoo, Jennifer	JMMB Investments (Trinidad and Tobago) Limited	Advising
463.	Sookram-Bridgelal, Nadia	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
464.	St. Louis, Leslie	First Citizens Brokerage and Advisory Services Limited	Brokering
465.	Stanford, Dahlia	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
466.	Stephen, Chrissie	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
467.	Sukhu, Rochelle	First Citizens Bank Limited	Advising
468.	Sund-Olton, Angelique	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
469.	Sylvester, Kristopher	Capital Markets Elite Group (Trinidad and Tobago) Limited	Advising and Brokering
470.	Telesford-Pierre, Trudie	KCL Capital Market Brokers Limited	Advising
471.	Thomas, Alvin	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
472.	Thomas, Gary	Bourse Securities Limited	Advising and Brokering



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473.	Thomas, Marquis	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
474.	Thomas, Rowland Marc	Guardian Asset Management and Investment Services Limited	Advising, Brokering and Underwriting
475.	Thomas, Shivon	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
476.	Thompson, Cedric	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
477.	Thompson, Leah Kimberley	Sheppard Securities Limited	Brokering
478.	Tirbany, Lena	First Citizens Bank Limited	Brokering
479.	Tittil, Daniel	Admiral Limited	Advising and Brokering
480.	Titus, Heather	FirstCaribbean International Bank (Trinidad & Tobago) Limited	Brokering and Underwriting
481.	Tom Yew, Brad	Republic Wealth Management Limited	Advising and Brokering
482.	Tom Yew, Katrine	Guardian Asset Management and Investment Services Limited	Advising and Brokering
483.	Toney-Gooding, Marcia	First Citizens Depository Services Limited	Brokering
484.	Toolsee, Jayde	Bourse Brokers Limited	Associate
485.	Trestrail, Robert	Sagicor Life Incorporated	Brokering
486.	Turpin-Carrington, Kelsey	Scotiabank Trinidad and Tobago Limited	Associate
487.	Valdez, Stacy	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
488.	Valentine, Selene	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
489.	Valley, Kerwyn	KCL Capital Market Brokers Limited	Advising, Brokering and Underwriting
490.	Valley, Kerwyn	Aspire Fund Management Company Limited	Advising
491.	Valley, Kevin	Aspire Fund Management Company Limited	Advising
492.	Valley, Kieran	Aspire Fund Management Company Limited	Advising



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493.	van der Vaart, Hubertus Jan	SEAF Caribbean Management LLC	Advising
494.	Vieira, Lisa	SHBL Investments Company Limited	Advising
495.	Vincent, Trisha	First Citizens Investment Services Limited	Advising
496.	Walker-Huggins, Tricia	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
497.	Wallace, Wilfred Gregory	Mondial (Trinidad) Limited	Advising
498.	Warner-Jones, Kira- Ann	RBC Royal Bank (Trinidad and Tobago) Limited	Associate
499.	Webster-Villafana, Akisha	Trinidad and Tobago Unit Trust Corporation	Associate
500.	Welch, Luke	Sheppard Securities Limited	Associate
501.	Wellington, Bryan	KCL Capital Market Brokers Limited	Associate
502.	Wells-Fraser, Bernadette	JMMB Securities (T&T) Limited	Associate
503.	Westfield, Vanessa	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
504.	Whiskey, Tennille	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
505.	White, Darryl	RBC Merchant Bank (Caribbean) Limited	Underwriting
506.	White, Marlon	Scotiabank Trinidad and Tobago Limited	Associate
507.	Whiteman, Sharon	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
508.	Williams, Beverly	RBC Royal Bank (Trinidad and Tobago) Limited	Brokering
509.	Williams, Leo	SEAF Caribbean Management LLC	Advising
510.	Williams, Marlon	First Citizens Bank Limited	Associate
511.	Williams-Samlal, Kerry Ann	RBC Royal Bank (Trinidad and Tobago) Limited	Associate



LIST OF REGISTRANTS AS AT 31ST MARCH, 2023

REGISTERED REPRESENTATIVES

	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER-DEALER, INVESTMENT ADVISER OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE
512.	Wilson-Mano, Linda	Trinidad and Tobago Unit Trust Corporation	Advising
513.	Wright, Christopher	Ansa Merchant Bank Limited	Advising
514.	Wynter, Paul	Guardian Asset Management and Investment Services Limited	Advising and Brokering
515.	Young, Angus Peter	NCB Merchant Bank (Trinidad and Tobago) Limited	Advising, Brokering and Underwriting
516.	Youseff, Daniel	First Citizens Investment Services Limited	Advising and Underwriting
517.	Zakour, Georgina	NCB Merchant Bank (Trinidad and Tobago) Limited	Associate

SPONSORED BROKER-DEALERS

	NAME OF SPONSORED BROKER-DEALER	ASSOCIATED BROKER-DEALER
1.	Cugliari, Fernando	FirstCaribbean International Bank (Trinidad & Tobago) Limited
2.	Cusimano, Paul	Scotia Investments (Trinidad and Tobago) Limited
3.	Franks, Jerome	Scotia Investments (Trinidad and Tobago) Limited
4.	Juarez, Yuly	Scotia Investments (Trinidad and Tobago) Limited
5.	Stollmeyer, Scott	Scotia Investments (Trinidad and Tobago) Limited
6.	Vandewater, Thomas	Scotia Investments (Trinidad and Tobago) Limited
7.	Villamil Giraldo, Juan Carlos	Scotia Investments (Trinidad and Tobago) Limited
8.	Ylagan, Carlo	Scotia Investments (Trinidad and Tobago) Limited

REPORTING ISSUERS

1.	Add Venture Capital Fund Limited
2.	Agostini's Limited
3.	Airports Authority of Trinidad and Tobago
4.	Angostura Holdings Limited
5.	ANSA McAL Limited
6.	Ansa Merchant Bank Limited



LIST OF REGISTRANTS AS AT 31ST MARCH, 2023

<u>REPORTING ISSUERS</u>	
7.	Ansa Money Market Funds
8.	BWIA West Indies Airways Limited
9.	Capital Markets Elite Group (Trinidad and Tobago) Limited
10.	CinemaONE Limited
11.	Citibank (Trinidad and Tobago) Limited
12.	Citicorp Merchant Bank Limited
13.	Development Finance Limited
14.	Dynamic Equity Fund II Limited
15.	Education Facilities Company Limited
16.	Endeavour Holdings Limited
17.	Eppley Caribbean Property Fund Limited SCC
18.	First Citizens Bank Limited
19.	First Citizens Depository Services Limited
20.	First Citizens Group Financial Holdings Limited
21.	First Citizens Investment Services Limited
22.	FirstCaribbean International Bank Limited
23.	Flavorite Foods Limited
24.	FNCU Venture Capital Company Limited
25.	Furness Trinidad Limited
26.	GraceKennedy Limited
27.	Guardian Asset Management and Investment Services Limited
28.	Guardian Caribbean Equity Fund
29.	Guardian Fixed Income Fund
30.	Guardian Holdings Limited
31.	Guardian Media Limited
32.	JMMB Bank (T&T) Limited
33.	JMMB Group Limited
34.	JMMB Life Goal Funds S2
35.	L.J. Williams Limited
36.	Mack Investment Business Corporation Limited
37.	Massy Holdings Limited
38.	Mora Ven Holdings Limited
39.	Mortgage Participation Fund
40.	MPC Caribbean Clean Energy Limited
41.	National Enterprises Limited
42.	National Flour Mills Limited
43.	National Infrastructure Development Company Limited
44.	National Insurance Property Development Company Limited
45.	National Investment Fund Holding Company Limited



LIST OF REGISTRANTS AS AT 31ST MARCH, 2023

REPORTING ISSUERS

46.	National Maintenance Training and Security Company Limited
47.	NCB Financial Group Limited
48.	Nestle Trinidad and Tobago Limited
49.	One Caribbean Media Limited
50.	Point Lisas Industrial Port Development Corporation Limited
51.	Port Authority of Trinidad and Tobago
52.	Prestige Holdings Limited
53.	Public Transport Service Corporation
54.	RBC Merchant Bank (Caribbean) Limited
55.	RBC Royal Bank (Trinidad and Tobago) Limited
56.	RBTT Finance Limited
57.	Republic Bank Limited
58.	Republic Financial Holdings Limited
59.	Republic TT\$ Fixed Income Securities Fund
60.	RGM Property Fund
61.	Royal Bank of Canada
62.	Royal Skandia Life Assurance Limited
63.	Sagicor Financial Company Limited
64.	Sagicor Financial Corporation Limited
65.	Sagicor Funds Incorporated
66.	Sagicor Go-Mutual Funds
67.	Samaan Tree Fund
68.	Savinvest India Asia Fund
69.	Scotia Canadian Equity Fund
70.	Scotia Caribbean Income Fund Inc.
71.	Scotia Global Equity Fund
72.	Scotia Money Market Fund
73.	Scotia Trinidad and Tobago Fixed Income Fund
74.	Scotia Trinidad and Tobago Growth and Income Fund
75.	Scotia Trinidad and Tobago Short Term Income Fund
76.	Scotia US Dollar Bond Fund
77.	Scotia US Equity Fund
78.	Scotiabank Trinidad and Tobago Limited
79.	St. Christopher Air and Sea Ports Authority
80.	St. Kitts Urban Development Corporation Limited
81.	Telecommunications Services of Trinidad and Tobago Limited
82.	The Home Mortgage Bank
83.	The Sports Company of Trinidad and Tobago Limited
84.	The West Indian Tobacco Company Limited



LIST OF REGISTRANTS AS AT 31ST MARCH, 2023

REPORTING ISSUERS

85.	Tourism & Industrial Development Company of Trinidad & Tobago Limited
86.	Trinidad and Tobago Housing Development Corporation
87.	Trinidad and Tobago Mortgage Finance Company Limited
88.	Trinidad and Tobago NGL Limited
89.	Trinidad and Tobago Unit Trust Corporation
90.	Trinidad Cement Limited
91.	Unilever Caribbean Limited
92.	Urban Development Corporation of Trinidad & Tobago Limited
93.	UTC (Cayman) SPC Ltd
94.	Water & Sewerage Authority

SELF-REGULATORY ORGANISATIONS

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