



TRINIDAD & TOBAGO SECURITIES & EXCHANGE COMMISSION

www.ttsec.org.tt

The Trinidad and Tobago Securities and Exchange Commission ("the Commission") is responsible for ensuring that the securities industry operates in a fair, transparent and efficient manner in order to protect the rights of investors.

The Commission regulates the market by registering all securities issued to the public, all issuers of those securities, all market actors, i.e., brokers, dealers, traders, underwriters, securities companies and investment advisers; and all self-regulatory organizations.

HOW DOES REGISTERING WITH THE COMMISSION PROTECT INVESTORS?

Registration requires all issuers of securities and market actors ("registrants") to provide the Commission with pertinent information regarding the company, its directors and the securities being offered to the public or to investors. 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 and experience requirements, and permits different activities. The Commission ensures that the companies are genuine entities with a registered office, headed 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 his business. This information is also available for public viewing at the Commission.

However, the provision of information does not end after the initial registration. Registrants are required to continuously provide the Commission, as well as investors, with information inclusive of changes which may positively or negatively impact the performance of their business and the securities available to investors.

IS REGISTRATION AN ENDORSEMENT?

While we advise investors to deal only with issuers and market actors 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 the product.

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.

The Commission has provided a listing of companies and individuals who are authorized and registered to sell securities as at March 31, 2011 as indicated on the following pages.

WANT TO KNOW MORE?

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

DEFINITION OF TERMS

Broker/Dealer

An individual or 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 his/her client. When acting as a dealer, a broker/dealer executes trades for his/her 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.

Reporting Issuer

A corporation that has issued or proposes to issue securities to the public and is subject to the continuous disclosure requirements of the Commission.

Self-Regulatory Organization

A non-governmental organization 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.

Trader

An employee of a broker who executes buy and sell orders for the broker and its clients either on a stock exchange or the over-the-counter market.

Underwriter

One who arranges a new issue of securities and agrees to purchase any unsold securities thereby guaranteeing full subscription.

Securities Company

A securities company is a hybrid in that it is a company that can act as a Broker and/or Dealer and /or Investment Adviser and /or Underwriter.

LIST OF REGISTRANTS: CONT'D

REPORTING ISSUERS

REPORTING ISSUERS			
1. Add Venture Capital Fund Limited	24. FirstCaribbean International Bank Limited	47. National Insurance Property Development Company Limited	71. Scotia DBG Investments Limited
2. Agostini's Limited	25. Flavorite Foods Limited	48. National Maintenance Training and Security Company Limited	72. Scotiabank Trinidad & Tobago Limited
3. AIC Corporate Funds Inc.	26. FNCU Venture Capital Company Limited	49. Neal & Massy Holdings Limited	73. St Christopher Air and Sea Ports Authority
4. Airports Authority of Trinidad and Tobago	27. Fortress Caribbean High Interest Fund Limited	50. Nestle Trinidad and Tobago Limited	74. St. Kitts Urban Development Corporation Limited
5. Angostura Holdings Limited	28. Fortress Caribbean Property Fund Limited	51. One Caribbean Media Limited	75. Supreme Ventures Limited
6. Angostura Limited	29. Fortress Global Value Fund Limited	52. Point Lisas Industrial Port Development Corporation Limited	76. TCL Leasing Limited
7. ANSA MoAL Limited	30. Fortress Mutual Fund Limited	53. Port Authority of Trinidad and Tobago	77. TCL Service Limited
8. Ansa Merchant Bank Limited	31. GraceKennedy Limited	54. Prestige Holdings Limited	78. Telecommunications Services of Trinidad and Tobago Limited
9. BCB Holdings Limited	32. Guardian Holdings Limited	55. Public Transport Service Corporation	79. The Barbados Shipping & Trading Company Limited
10. Berger Paints Trinidad Limited	33. Guardian Media Limited	56. RBC Financial (Caribbean) Limited	80. The Home Mortgage Bank
11. BWA West Indies Airways Limited	34. Intercommercial Bank Limited	57. RBTT Bank Barbados Limited	81. The National Football Stadium Company Limited
12. Capital & Credit Merchant Bank Limited	35. Jamaica Money Market Brokers Limited	58. RBTT Bank Limited	82. The West Indian Tobacco Company Limited
13. Capital and Credit Financial Group Limited	36. Jamaica Public Service Company Limited	59. RBTT Finance Limited	83. Tourism & Industrial Development Company of Trinidad & Tobago Limited
14. Caroni (1975) Limited	37. Jamaica Select Index Fund Limited	60. RBTT Merchant Bank Limited	84. Transjamaican Highway Limited
15. Citibank (Trinidad and Tobago) Limited	38. L.J. Williams Limited	61. ReadyMix (West Indies) Limited	85. Trinidad and Tobago Housing Development Corporation
16. Citicorp Merchant Bank Limited	39. La Brea Industrial Development Company Limited	62. Republic Bank Limited	86. Trinidad and Tobago Mortgage Finance Company Limited
17. Cool Petroleum (St. Lucia) Limited	40. Life Settlements Funds Limited	63. Republic Finance and Merchant Bank Limited	87. Trinidad and Tobago Unit Trust Corporation
18. Development Finance Limited	41. Mega Insurance Company Limited	64. Royal Bank of Canada	88. Trinidad Cement Limited
19. Dynamic Equity Fund II Limited	42. Mora Ven Holdings Limited	65. Royal Skandia Life Assurance Limited	89. Trinidad Select Index Fund Limited
20. Dynamic Equity Venture Fund Limited	43. National Commercial Bank Jamaica Limited	66. Sagior Asset Management (Trinidad and Tobago) Limited	90. Unilever Caribbean Limited
21. Education Facilities Company Limited	44. National Enterprises Limited	67. Sagior Financial Corporation	91. Unit Trust Corporation (Cayman) SPC Limited
22. First Citizens Asset Management Limited	45. National Flour Mills Limited	68. Sagior Funds Incorporated	92. Urban Development Corporation of Trinidad & Tobago Limited
23. First Citizens Bank Limited	46. National Infrastructure Development Company Limited	69. Schroder Investment Management (Luxembourg) S.A	93. VT Umbrella Fund PCC Limited
		70. Scotia DB&G Caribbean Income Fund Inc	94. Water & Sewerage Authority

INVESTMENT ADVISERS

INVESTMENT ADVISERS	RENEWAL DATE
1. Altus Company Limited	15-Jun-2011
2. Burris, Stephen	9-Mar-2012
3. Caribbean Development Capital Limited	7-Dec-2011
4. Clewett, Nigel	10-Aug-2011
5. FCL Financial Limited	15-Jan-2012
6. FirstCaribbean International Bank (Trinidad & Tobago) Limited	31-May-2011
7. Funds International Limited	2-Feb-2012
8. Global Financial Brokers Limited	4-Dec-2011
9. Guardian Life of the Caribbean Limited	12-Oct-2011
10. Goolcharan, Vishal	11-Jan-2012
11. International Wealth and Investment Network Limited	13-Jun-2011
12. Involve Financial Limited	13-Jul-2011
13. Marquis Portfolio Managers Limited	10-Jun-2011
14. Mondial (Trinidad) Limited	4-Dec-2011
15. Mottley, Wendell	9-May-2011
16. Quan-Soon, Ian	15-Aug-2011
17. RBTT Asset Management Limited	1-Oct-2011
18. Republic Securities Limited	4-Dec-2011
19. The Beacon Asset Management Limited	7-May-2011
20. Valley, Kenneth	21-Aug-2011
21. Vega Capital Management Limited	14-Apr-2011

SECURITIES COMPANIES

SECURITIES COMPANY NAME	CLASSES OF BUSINESS	RENEWAL DATE
1. AIC Capital Market Brokers Limited	Dealer, Investment Adviser, Underwriter	17-Mar-2012
2. AIC Securities Limited	Broker, Dealer, Investment Adviser, Underwriter	9-Oct-2011
3. Ansa Merchant Bank Limited	Broker (G), Dealer, Investment Adviser, Underwriter	4-Dec-2011
4. Ansa Securities Limited	Broker (G), Dealer, Investment Adviser, Underwriter	18-Sep-2011
5. Bourse Brokers Limited	Broker, Dealer	11-Jan-2012
6. Bourse Securities Limited	Broker, Dealer, Investment Adviser, Underwriter	4-Dec-2011
7. Caribbean Stockbrokers Limited	Broker, Dealer, Investment Adviser, Underwriter	13-Jun-2011
8. Citicorp Merchant Bank Limited	Broker (G), Dealer, Underwriter	10-Oct-2011
9. Development Finance Limited	Dealer, Investment Adviser, Underwriter	4-Dec-2011
10. First Capital Union Financial Brokers Limited	Broker	7-Feb-2012
11. First Citizens Asset Management Limited	Dealer, Investment Adviser, Underwriter	9-Apr-2012
12. First Citizens Bank Limited	Broker (G), Investment Adviser, Underwriter	10-Jan-2012
13. First Citizens Brokerage and Advisory Services Limited	Broker, Dealer, Investment Adviser, Underwriter	6-Mar-2012
14. First Citizens Investment Services Limited	Broker, Dealer, Investment Adviser, Underwriter	26-Apr-2012
15. First Citizens Securities Trading Limited	Dealer, Investment Adviser, Underwriter	4-Dec-2011
16. FirstCaribbean International Bank (Trinidad and Tobago) Limited	Broker (G)	18-Mar-2012
17. First Global (Trinidad and Tobago) Limited	Dealer, Investment Adviser, Underwriter	13-Jul-2011
18. Firstline Securities Limited	Dealer, Investment Adviser, Underwriter	2-Mar-2012
19. General Finance Corporation Limited	Dealer, Investment Adviser, Underwriter	21-Feb-2012
20. Guardian Asset Management Limited	Broker, Dealer, Investment Adviser, Underwriter	10-Mar-2012
21. Intercommercial Bank Limited	Dealer, Investment Adviser, Underwriter	30-Jun-2011
22. Intercommercial Trust and Merchant Bank Limited	Dealer, Investment Adviser, Underwriter	22-Mar-2012
23. KSBM Asset Management Limited	Broker, Dealer, Investment Adviser, Underwriter	18-Mar-2012
24. Murphy Clarke Financial Limited	Dealer, Investment Adviser, Underwriter	8-Dec-2011
25. RBTT Merchant Bank Limited	Broker, Dealer, Underwriter	13-Aug-2011
26. Republic Bank Limited	Dealer, Investment Adviser, Underwriter	4-Dec-2011
27. Republic Finance and Merchant Bank Limited	Underwriter	4-Dec-2011
28. Republic Securities Limited	Broker	4-Dec-2011
29. Sagior Asset Management (Trinidad and Tobago) Limited	Dealer, Investment Adviser, Underwriter	12-Jan-2012
30. Sagior Life Incorporated	Dealer, Investment Adviser, Underwriter	11-Jan-2012
31. Scotia Investments (Trinidad and Tobago) Limited	Broker, Dealer, Investment Adviser, Underwriter	25-May-2011
32. Scotiabank Trinidad & Tobago Limited	Underwriter	4-Dec-2011
33. Scotiabank and Merchant Bank Trinidad and Tobago Limited	Dealer, Investment Adviser, Underwriter	4-Dec-2011
34. Sheppard Securities Limited	Broker	22-Mar-2012
35. Trinidad and Tobago Unit Trust Corporation	Broker (G), Dealer, Investment Adviser, Underwriter	12-Dec-2011
36. West Indies Stockbrokers Limited	Broker, Dealer, Investment Adviser, Underwriter	9-May-2011

SELF-REGULATORY ORGANIZATIONS

SELF-REGULATORY ORGANIZATIONS	RENEWAL DATE
1. The Trinidad and Tobago Stock Exchange Limited	24-Apr-2012
2. The Trinidad and Tobago Central Depository Limited	7-Nov-2011

TRADERS

TRADERS	COMPANY	RENEWAL DATE
1. Basdeo, Roshan	Bourse Securities Limited	27-Sep-2011
2. Chen, Nancy	West Indies Stockbrokers Limited	27-Jan-2012
3. Chin, Ian	RBTT Merchant Bank Limited	30-Jun-2011
4. Eve, Patricia	Republic Securities Limited	23-Jun-2011
5. Gajadar, Kerry	Caribbean Stockbrokers Limited	7-Sep-2011
6. Inmiss-Bernard, Judy	Republic Securities Limited	4-Dec-2011
7. Julien, Jason	First Citizens Investment Services Limited	30-Jun-2011
8. Leons, Keron	First Citizens Investment Services Limited	16-Nov-2011
9. Mahabirsingh, Sherma	First Citizens Investment Services Limited	13-Nov-2011
10. Mohammed, Shaun	Bourse Brokers Limited	20-May-2011
11. Mootearam, Charissa	First Citizens Brokerage and Advisory Services Limited	8-Feb-2012
12. Ramnath-Singh, Gail	Caribbean Stockbrokers Limited	4-Dec-2011
13. Savary, Hilary	AIC Securities Limited	17-Feb-2012
14. Sookhoo, Anganie	RBTT Merchant Bank Limited	18-Mar-2012
15. Viera, Lisa Ann	AIC Securities Limited	16-Feb-2012
16. Wells-Fraser, Bernadette	AIC Securities Limited	12-Jun-2011

TRADERS IN GOVERNMENT OF TRINIDAD AND TOBAGO BONDS ALONE

TRADERS	COMPANY	RENEWAL DATE
1. Basdeo, Anderson	Citicorp Merchant Bank Limited	16-Nov-2011
2. Ghany, Rianna Sarah	First Citizens Bank Limited	31-Jan-2012
3. Martineau, Dan	Ansa Merchant Bank Limited	13-Jan-2012
4. Melville, Cecilia	Citicorp Merchant Bank Limited	10-Oct-2011
5. Wallace, Chivonne	First Citizens Bank Limited	31-Jan-2012

UNDERWRITERS

UNDERWRITERS	RENEWAL DATE
1. FirstCaribbean International Bank (Bahamas) Limited	13-Jun-2011
2. FirstCaribbean International Bank (Trinidad & Tobago) Limited	4-Dec-2011

LIST OF REGISTRANTS

THE PUBLIC IS HEREBY NOTIFIED OF THE LIST OF VALID REGISTRANTS, BY CLASS OF REGISTRANT, ON THE REGISTER OF THE TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION, PURSUANT TO SECTION 53(5)(A) OF THE SECURITIES INDUSTRY ACT, 1995 AS AT MARCH 31, 2010.

BROKERS

BROKERS	COMPANY	RENEWAL DATE
1. Akan, Mymelle V.	AIC Securities Limited	4-Dec-2011
2. Ali, Salma	West Indies Stockbrokers Limited	17-Nov-2011
3. Alleyne, Harold	Caribbean Stockbrokers Limited	13-Dec-2011
4. Alviar, Oscar	Personal	8-Dec-2011
5. Balram, Kisoraj	First Capital Union Financial Brokers Limited	7-Feb-2012
6. Bridgewater, Joanne	Republic Securities Limited	16-Nov-2011
7. Carrera-Justiz, Francisco	Personal	15-Aug-2011
8. Cugliari, Fernando	Personal	8-Dec-2011
9. Fadahunsi, Lai	AIC Securities Limited	10-Oct-2011
10. Fletcher, Claire	Scotia Investments Trinidad and Tobago Limited	30-Dec-2011
11. Gosein, Godfrey	Republic Securities Limited	9-May-2011
12. Ho Sing Loy, Ameen	RBTT Merchant Bank Limited	13-Aug-2011
13. Johnson, Alvin	Caribbean Stockbrokers Limited	4-Dec-2011
14. Manmohan, Adrian	West Indies Stockbrokers Limited	10-Apr-2011
15. Montes, Francisco	Personal	15-Aug-2011
16. Mullings, Donavan	Bourse Brokers Limited	4-Dec-2011
17. Narine, Ian	Personal	10-Apr-2011
18. Padmore, Winston	Personal	4-Dec-2011

BROKERS CONT'D

BROKERS	COMPANY	RENEWAL DATE
19. Ramkhelawan, Sarodh	Bourse Securities Limited	18-Feb-2012
20. Ramkhelawan, Subhas	Bourse Securities Limited	4-Dec-2011
21. Salvary, Brent	KSBM Asset Management Limited	18-Jan-2012
22. Seebaran, Madree	Bourse Securities Limited	9-Oct-2011
23. Sheppard, George	Sheppard Securities Limited	14-Nov-2011
24. St. Louis, Leslie	First Citizens Brokerage & Advisory Services Limited	15-Mar-2012
25. Syne, Sascha	First Citizens Investment Services Limited	8-Feb-2012
26. Tang Nian, Stephen	RBTT Merchant Bank Limited	8-December -2011
BROKERS IN GOVERNMENT OF TRINIDAD & TOBAGO BONDS ALONE		
1. Darbasie, Karen	Citicorp Merchant Bank Limited	10-Oct-2011
2. Khan, Dale	Trinidad and Tobago Unit Trust Corporation	30-Dec-2011
3. Khodai, Keshwar	First Citizens Bank Limited	23-Jan-2012
4. Maharaj, Varun	Ansa Merchant Bank Limited & Ansa Securities Ltd.	10-Oct-2011
5. Rahaman, Hassan	FirstCaribbean International Bank (Trinidad and Tobago) Limited	18-Mar-2012
6. Shah, Reaaz	FirstCaribbean International Bank (Trinidad and Tobago) Limited - has not been renewed	18-Mar-2012
7. Tang Nian, Stephen	RBTT Merchant Bank Limited	27-Oct-2011



Trinidad and Tobago

Securities and Exchange Commission

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