



THE TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

was established by an Act of Parliament entitled the Securities Industry Act 1995 ('SIA 95'). The Commission's role is to regulate the securities market in the twin-island Republic of Trinidad and Tobago, promote transparency and integrity and foster the orderly growth and development in the capital market.



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

THE COMMISSION HAS THE FOLLOWING PRIMARY FUNCTIONS:-

- **ADVISE** the Honourable Minister of Finance on all matters relating to the securities industry;
- **MAINTAIN** surveillance over the securities market and ensure orderly, fair and equitable dealings in securities;
- **REGISTER, AUTHORISE or REGULATE** (in accordance with the Act) self regulatory organisations, securities companies, brokers, dealers, traders, underwriters, issuers and investment advisers and consequently control and supervise their activities with the aim of maintaining proper standards of conduct and professionalism in the securities business;
- **PROTECT** the integrity of the securities market against any abuses arising from the practice of insider trading; and
- **CREATE and PROMOTE** such conditions in the securities market (as may seem to it necessary, advisable or appropriate) to ensure the orderly growth and development of the capital market.

WHAT ACTION CAN THE TTSEC TAKE?

- The staff of the Commission conducts investigations into violations of the SIA 95 as authorised by the Commission;
- The Commission functions as a quasi-judicial body and conducts hearings into matters related to the securities market for which it can issue penalties and make orders conditionally or otherwise;
- The Commission can make orders cancelling the registration of a market actor or requiring the resignation of company directors or senior officers of a reporting issuer where it considers it to be in the public interest;
- The Commission can also seek an Order of the High Court requiring restitution or disgorgement of profits or seek sanctions in the criminal courts.

INVESTOR EDUCATION

In its ongoing efforts to ensure that the investor is protected, the Communications Unit of the TTSEC continues to conduct investor education programmes with the private/public sector, professional groups, NGOs/CBOs and FBOs and educational institutions. This programme has an overall goal of informing, educating and empowering investors so that they can ultimately make wise investment decisions, know their rights and responsibilities and be cognisant of scams. We encourage all citizens or groups that are interested in investor education or becoming more investor literate, to visit our website www.ttsec.org.tt or call 624-2991.



Trinidad and Tobago Securities and Exchange Commission

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REGULATING THE SECURITIES INDUSTRY SO THAT YOU CAN - INVEST WITH CONFIDENCE!