

NAME OF FORM: SEC-MMRF05 – REPURCHASE AGREEMENT (REPO) PORTFOLIO SEC-MMRF05

| REFERENCE NUMBER | AREA/ITEM | INSTRUCTIONS |
|------------------|---|---|
| | BROKER-DEALERS REPO PORTFOLIO COMPOSITION – ASSETS AND LIABILITIES | <p>This form must be completed by Broker-Dealers that sell Repurchase Agreements (“Repo”). The form collects information on each security assigned to a Broker-Dealer’s Repo portfolio. Where any of these securities are assigned to a Repo, this form requires that the Broker-Dealer classifies the Repo buyer into one of the following categories:</p> <ul style="list-style-type: none"> • TT Banks • TT Credit Unions • Other TT Financial Institutions • Insurance • Pension Funds • Retail • Other Corporate <p>Unless otherwise stated all amounts are to be expressed in TTD.</p> |
| 5001 | TT Government Securities | List all investments in securities issued in T&T by the GORTT. |
| 5002 | TT Non-Financial State Agencies | List all investments in securities that have been issued by non- financial state agencies within T&T. For the purposes of this form, non-financial state agencies will include those that are formed by statute or incorporated under the Companies Act and owned by corporation sole. |
| 5003 | TT Financial State Agencies | List all investments in securities that have been issued by financial state agencies within T&T. For the purposes of this form, financial state agencies will include those that are formed by statute or incorporated under the Companies Act and owned by corporation sole. |
| 5004 | TT Government Eurobonds | List all investments in securities that have been issued outside T&T by the GORTT in a currency other than TTD. |
| 5005 | TT Bonds Financial Sector | List all investments in securities, denominated in both TTD and foreign currencies, issued by financial institutions within T&T excluding TT financial state agencies. |
| 5006 | TT Other Corporate Bonds | List all investments in fixed income securities, denominated in both TTD and foreign currencies, issued by non-financial institutions within T&T excluding TT non-financial state agencies. |
| 5007 | TT Equity | List all investments in equity securities listed on the TTSE (excluding CISs listed on the TTSE). |

NAME OF FORM: SEC-MMRF05 – REPURCHASE AGREEMENT (REPO) PORTFOLIO SEC-MMRF05

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| 5008 | TT CISs | List all investments in CISs domiciled and registered in T&T. |
| 5009 | Foreign CISs | List all investments in foreign CISs domiciled and registered in a foreign jurisdiction. |
| 5010 | Foreign Equity | List all investments in equity securities issued by entities not domiciled in T&T excluding foreign CISs. |
| 5011 | Foreign Government Securities | List all investments in securities issued by foreign governments. |
| 5012 | Foreign Non-Government Securities | List all investments in securities issued by foreign non-government entities, excluding foreign equities. |
| 5013 | Real Estate | List all investments in assets that are land or buildings. |
| 5014 | Other Assets | List all investments in other assets, both foreign and local that are not referenced in 4001-4013. |
| 5016 | Foreign Clients | State the total value of the Registrant’s Repo portfolio that relates to foreign clients in Column X. |
| 5017 | Portfolio Duration | State the portfolio duration, if applicable. |
| | Name of Issuer | State the legal name of the security issuer. |
| | Coupon | State the annual coupon rate paid by the fixed income security, where applicable. (For example a Coupon Rate of 5.875% should be written as 5.875 and not 0.05875.) |
| | Type | Select from the drop down menu whether the security has a fixed or floating rate, where the security cannot be classified as fixed or floating select Not Applicable. |
| | Valuation Category | <p>This category is intended to capture how Reporting Entities value the securities held within their portfolios. Select one of the following categories from the drop-down menu relating to the pricing information used in the Reporting entity’s valuation methodology:</p> <p>Level 1 - securities within the portfolio which are valued by quoted prices on an organized exchange.</p> <p>Level 2 - This includes securities whose fair value requires the use of valuation techniques using inputs that are directly observable in the market which are not included within Level 1. Examples of observable market inputs include: quoted prices for similar assets, interest rates, yield curve, credit spreads, etc.</p> |

NAME OF FORM: SEC-MMRF05 – REPURCHASE AGREEMENT (REPO) PORTFOLIO SEC-MMRF05

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| | | Level 3 - securities within the portfolio which are valued using techniques that are based on unobservable market inputs and necessitates the use of internal information, assumptions and estimates to determine the fair value of a security. |
| | Indicate if pledged (Yes/No) | State whether the security has been pledged by selecting either “Yes” or “No” from the drop-down menu. |
| | ISIN/CUSIP (if app) | State the security’s ISIN or CUSIP number, if applicable. |
| | Maturity Date (dd/mm/yyyy) | State the date on which the security will mature, if applicable. |
| | Number of units | State the total number of shares or nominal amount of the security held. |
| | Price currency (TTD, USD, etc.) | State the currency in which the price of the security is quoted, for e.g. USD, TTD, GBP, XCD etc. |
| | Price per unit | State the market price per unit of the security at the end of the reporting period, if applicable. |
| | TT\$ | State the market value of the security where it is denominated in TTD. |
| | US\$ (converted to TT\$) | State the TT dollar equivalent of the market value of the security where it is denominated in USD. |
| | Other (converted to TT\$) | State the TT dollar equivalent of the market value of the security where it is denominated in a currency other than TTD or USD. |
| | TT Banks | State the value of the liability to TT Banks that are collateralized by the respective security. This number should reconcile with the Balance Sheet and Client Assets form, SEC-MMRF01 reference number 1221. |
| | TT Credit Unions | State the value of the liability to TT Credit Unions that are collateralized by the respective security. This number should reconcile with the Balance Sheet and Client Assets form, SEC-MMRF01 reference number 1222. |
| | Other TT Financial Institutions | State the value of the liability to Other TT Financial Institutions that are collateralized by the respective security. This number should reconcile with the Balance Sheet and Client Assets form, SEC-MMRF01 reference number 1223. |
| | Insurance | State the value of the liability to Insurance companies that are collateralized by the respective security. This number should reconcile with the Balance Sheet and Client Assets form, SEC-MMRF01 reference number 1224. |
| | Pension Funds | State the value of the liability to Pension Funds that are collateralized by the respective security. This number should reconcile with the Balance Sheet and Client Assets form, SEC-MMRF01 reference number 1225. |

NAME OF FORM: SEC-MMRF05 – REPURCHASE AGREEMENT (REPO) PORTFOLIO SEC-MMRF05

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| | Retail | State the value of the liability to Retail customers that are collateralized by the respective security. This number should reconcile with the Balance Sheet and Client Assets form, SEC-MMRF01 reference number 1226. |
| | Other Corporate | State the value of the liability to Other Corporate customers that are collateralized by the respective security. This number should reconcile with the Balance Sheet and Client Assets form, SEC-MMRF01 reference number 1227. |
| | Effective Margin | This is a calculated field that automatically calculates the effective margin on Repurchase Agreement transactions. |

NAME OF FORM: SEC-MMRF05 – REPURCHASE AGREEMENT (REPO) PORTFOLIO SEC-MMRF05

APPENDIX 1 - CATEGORIZATION OF STATE AGENCIES (PROVISIONAL)

| TT Non- Financial State Agencies | TT Financial State Agencies |
|---|--|
| Accreditation Council of Trinidad and Tobago | Agricultural Development Bank of Trinidad and Tobago |
| Adoption Board of Trinidad and Tobago | Board of Management of the Student Revolving Loan Fund |
| Advisory Friendly Societies Council | Caribbean Leasing Company Limited |
| Advisory Town Planning Panel | Central Bank of Trinidad and Tobago |
| Agricultural Society of Trinidad and Tobago | Clico Trust Corporation Limited (Clico Investment Fund) |
| Agricultural Tribunals of Trinidad and Tobago - North | Deposit Insurance Corporation |
| Agricultural Tribunals of Trinidad and Tobago - South | Development Finance Limited |
| Agricultural Tribunals of Trinidad and Tobago - Tobago | DFL Caribbean Holdings Limited |
| Air Transport Licensing Authority | Export-Import Bank of Trinidad and Tobago Limited |
| Airports Authority of Trinidad and Tobago | First Citizens (St. Lucia) Limited |
| Alutrint Limited | First Citizens Asset Management Limited |
| Arima Borough Corporation | First Citizens Bank (Barbados) Limited |
| Atlantic 1 Holdings LLC | First Citizens Bank Limited |
| Atlantic 4 LNG Company of Trinidad and Tobago Unlimited | First Citizens Brokerage & Advisory Services |
| Atlantic LNG 4 Holdings Limited | First Citizens Costa Rica S.A |
| Betting Levy Board | First Citizens Financial Services (St. Lucia) Limited |
| Board of Architecture of Trinidad & Tobago | First Citizens Holdings Limited |
| Board of Engineering | First Citizens Investment Services (Barbados) Limited |
| Board of Film Censors | First Citizens Investment Services Limited |
| Board Regulating the Practice of Medicine and Related Professions | First Citizens Securities Trading Limited |
| Boiler Examiners Board | First Citizens Trustee Services Limited |
| Cadet Force Advisory Committee | Green Fund Advisory Committee |
| Caribbean Agriculture Research and Development Institute | Heritage and Stabilisation Fund |
| Caribbean Airlines Limited | Home Mortgage Bank (HMB) 100% own by The National Insurance Board of Trinidad and Tobago (NIBTT) |

NAME OF FORM: SEC-MMRF05 – REPURCHASE AGREEMENT (REPO) PORTFOLIO SEC-MMRF05

| TT Non- Financial State Agencies | TT Financial State Agencies |
|---|---|
| Caribbean Industrial Research Institute (CARIRI) | National Insurance Board of Trinidad and Tobago |
| Caribbean New Media Group Limited | National Investment Fund Holding Company Ltd |
| Caroni GREEN Limited | Portfolio Credit Management Limited |
| Central Public Assistance Board | Taurus Services Limited |
| Central Tenders Board | Trinidad and Tobago International Financial Centre Management Company Limited |
| Chaguanas Borough Corporation | Trinidad and Tobago Mortgage Finance Company Limited |
| Chaguaramas Development Authority | Trinidad and Tobago Unit Trust Corporation |
| Cipriani College of Labour and Co-operative Studies (formerly Ciprani Labour College) | |
| Cocoa and Coffee Industry Board | |
| Cocoa Development Company of Trinidad and Tobago Limited | |
| College of Science, Technology and Applied Arts | |
| Commissions Board | |
| Community Improvement Services Limited (Special Purpose) | |
| Consumer Guidance Council | |
| Council of Legal Education | |
| Council of the Pharmacy Board of Trinidad and Tobago | |
| Couva/Tabaquite/Talparo Regional Corporation | |
| Criminal Injuries Compensation Board | |
| Customs Brokers Board | |
| Diego Martin Regional Corporation | |
| East Port of Spain Development Company Limited (Special Purpose) | |
| Eastern Caribbean Gas Pipeline Company Limited | |
| Eastern Regional Health Authority | |
| Education Facilities Company Limited (Special Purpose) | |
| EIF Exploration Trinidad B.V. | |
| Emergency Ambulance Services Board | |

NAME OF FORM: SEC-MMRF05 – REPURCHASE AGREEMENT (REPO) PORTFOLIO SEC-MMRF05

| TT Non- Financial State Agencies | TT Financial State Agencies |
|--|------------------------------------|
| Environmental Commission | |
| Environmental Management Authority | |
| Equal Opportunity Commission | |
| Equal Opportunity Tribunal | |
| Estate Management and Business Development Company Limited (Special Purpose) | |
| Evolving TecKnologies and Enterprise Development Company Limited | |
| Export Centres Company Limited | |
| ExporTT Limited (formerly BDC) | |
| Fire Service Examination Board | |
| Firearms Appeal Board | |
| Friendly Societies | |
| Golden Grove - Buccoo Limited | |
| Government Human Resource Services Company Limited | |
| Government Information Services Limited | |
| Human Capital Development Facilitation Company Limited | |
| Industrial Court | |
| Industrial Relations Advisory Committee | |
| Institute of Marine Affairs | |
| Integrity Commission | |
| International Centre for Genetic Engineering and Biotechnology | |
| InvesTT Limited | |
| La Brea Industrial Development Company Limited | |
| Lake Asphalt of Trinidad and Tobago (1978) Limited | |
| Land Settlement Agency | |
| Land Survey Board | |
| Law Reform Commission | |
| Law Revision Commission | |

NAME OF FORM: SEC-MMRF05 – REPURCHASE AGREEMENT (REPO) PORTFOLIO SEC-MMRF05

| TT Non- Financial State Agencies | TT Financial State Agencies |
|---|------------------------------------|
| Legal Aid and Advisory Authority | |
| LIAT (1974) Limited | |
| Livestock and Livestock Products Board | |
| Local Public Assistance Board - Caroni | |
| Local Public Assistance Board - Nariva/ Mayaro | |
| Local Public Assistance Board - Siparia/ St. Patrick East | |
| Local Public Assistance Board - St. Andrew | |
| Local Public Assistance Board - St. David | |
| Local Public Assistance Board - St. George Central | |
| Local Public Assistance Board - St. George East | |
| Local Public Assistance Board - St. George West | |
| Local Public Assistance Board - St. Patrick West/ La Brea/ Cedros | |
| Local Public Assistance Board - Tobago | |
| Local Public Assistance Board - Victoria East - Princess Town | |
| Local Public Assistance Board - Victoria West | |
| Maritime and Fisheries Institute of Trinidad and Tobago | |
| Mayaro/Rio Claro Regional Corporation | |
| MIC Institute of Technology Limited | |
| Minerals Advisory Committee | |
| Minimum Wages Board | |
| NALIS (Formerly San Fernando Carnegie Free Library) | |
| NALIS (Formerly Trinidad Public Library) | |
| Naparima Bowl | |
| National Agricultural Marketing and Development Corporation | |
| National Carnival Commission of Trinidad and Tobago | |
| National Commission for Self-Help Limited | |
| National Emergency Ambulance Services Authority | |

NAME OF FORM: SEC-MMRF05 – REPURCHASE AGREEMENT (REPO) PORTFOLIO SEC-MMRF05

| TT Non- Financial State Agencies | TT Financial State Agencies |
|---|------------------------------------|
| National Emergency Management Agency | |
| National Energy Corporation of Trinidad and Tobago Limited | |
| National Energy Skills Centre | |
| National Enterprises Limited | |
| National Entrepreneurship Development Company Limited | |
| National Flour Mills Limited | |
| National Health Services Company Limited | |
| National Helicopter Services Limited | |
| National Housing Authority (Now HDC) | |
| National Information and Communication Technology Company Limited | |
| National Infrastructure Development Company Limited (Special Purpose) | |
| National Institute of Higher Education Research, Science & Technology | |
| National Insurance Appeals Tribunal | |
| National Insurance Property Development Company Limited (NIPDEC) | |
| National Library and Information System Authority (NALIS) | |
| National Lotteries Control Board | |
| National Maintenance Training and Security Company Limited | |
| National Museum and Art Gallery (Royal Victoria Institute) | |
| National Quarries Company Limited | |
| National Schools Dietary Services Limited | |
| National Training Agency | |
| National Trust of Trinidad and Tobago | |
| National Wastewater Revolving Fund for Trinidad and Tobago | |
| NATPET Investments Company Limited | |
| NEL Power Holdings Limited | |
| NGC CNG Company Ltd | |
| NGC E&P (Barbados) Ltd | |

NAME OF FORM: SEC-MMRF05 – REPURCHASE AGREEMENT (REPO) PORTFOLIO SEC-MMRF05

| TT Non- Financial State Agencies | TT Financial State Agencies |
|--|------------------------------------|
| NGC E&P Investments (Barbados) Ltd | |
| NGC E&P Investments Limited | |
| NGC E&P Netherlands Cooperatief U.A | |
| NGC NGL Company Limited | |
| NGC Petrochemicals Limited | |
| NGC Pipeline Company Limited | |
| North Central Regional Health Authority | |
| North West Regional Health Authority | |
| Occupational Health & Safety Agency | |
| Oropune Development Limited | |
| Palo Seco Agricultural Enterprises Limited (Special Purpose) | |
| Penal/Debe Regional Corporation | |
| Pesticides and Toxic Chemical Control Board | |
| Petroleum Company of Trinidad and Tobago Limited | |
| Petrotrin EAP Services Limited | |
| Petrotrin Panama Incorporated | |
| Phoenix Park Gas Processors Limited | |
| Pilotage Authority | |
| Point Fortin Borough Corporation | |
| Point Lisas Industrial Port Development Corporation Limited | |
| Point Lisas Terminals Limited | |
| Police Complaints Authority | |
| Port of Spain City Corporation | |
| Port of Spain Waterfront Development Limited | |
| Power Generation Company of Trinidad and Tobago Limited | |
| Premier Quality Services Limited | |
| Prices Council | |

NAME OF FORM: SEC-MMRF05 – REPURCHASE AGREEMENT (REPO) PORTFOLIO SEC-MMRF05

| TT Non- Financial State Agencies | TT Financial State Agencies |
|--|-----------------------------|
| Princes Town Regional Corporation | |
| Princess Elizabeth Home for Handicapped Children | |
| Printing and Packaging Industry Council | |
| Private Hospital Board | |
| Queen's Hall Board | |
| Registration, Recognition and Certification Board | |
| Regulated Industries Commission | |
| Rent Assessment Board - Arima | |
| Rent Assessment Board - Port of Spain | |
| Rent Assessment Board - San Fernando | |
| Rent Assessment Board - Tobago | |
| Rincon Development Limited | |
| Rural Development Company of Trinidad and Tobago Limited (Special Purpose) | |
| Salaries Review Commission | |
| San Fernando City Corporation | |
| San Juan/Laventille Regional Corporation | |
| Sangre Grande Regional Corporation | |
| Seafood Industry Development Company Limited | |
| Sentencing Commission | |
| Siparia Regional Corporation | |
| Social Displacement Unit | |
| South East Coast Consortium | |
| South West Regional Health Authority | |
| Sport and Culture Board of Management | |
| St. Dominic's Children's Home | |
| St. Jude's School for Girls | |
| St. Mary's Children's Home | |

NAME OF FORM: SEC-MMRF05 – REPURCHASE AGREEMENT (REPO) PORTFOLIO SEC-MMRF05

| TT Non- Financial State Agencies | TT Financial State Agencies |
|---|------------------------------------|
| St. Michael's School for Boys | |
| Statutory Authorities Service Commission | |
| Sugar Industry Labour Welfare Committee | |
| Tax Appeal Board | |
| Teak Samaan Poui | |
| Telecommunications Services of Trinidad and Tobago Limited | |
| The CEPEP Company Limited | |
| The Children's Authority of Trinidad and Tobago | |
| The Children's Life Fund Authority | |
| The Desalination Company of Trinidad and Tobago (Desalcott) | |
| The National Gas Company of Trinidad and Tobago Limited | |
| The Sports Company of Trinidad and Tobago (SporTT) | |
| The Sports Company of Trinidad and Tobago Limited (Special Purpose) | |
| The Trinidad and Tobago Solid Waste Management Company Limited | |
| The Vehicle Management Corporation of Trinidad and Tobago Limited | |
| Tobago Regional Health Authority | |
| Total E&P Trinidad B.V. | |
| Tourism Development Company Limited | |
| Trinidad and Tobago Association for Retarded Children | |
| Trinidad and Tobago Association for the Hearing Impaired | |
| Trinidad and Tobago Blind Welfare Association | |
| Trinidad and Tobago Boxing Board of Control | |
| Trinidad and Tobago Bureau of Standards | |
| Trinidad and Tobago Civil Aviation Authority | |
| Trinidad and Tobago Creative Industries Company Ltd | |
| Trinidad and Tobago Fashion Company Limited | |
| Trinidad and Tobago Film Company Limited | |

NAME OF FORM: SEC-MMRF05 – REPURCHASE AGREEMENT (REPO) PORTFOLIO SEC-MMRF05

| TT Non- Financial State Agencies | TT Financial State Agencies |
|--|------------------------------------|
| Trinidad and Tobago Free Zones Company Limited | |
| Trinidad and Tobago Hospitality and Tourism Institute | |
| Trinidad and Tobago LNG Limited (formerly NGC LNG (Train 4) Limited) | |
| Trinidad and Tobago Marine Petroleum Company Limited | |
| Trinidad and Tobago Music Company Limited | |
| Trinidad and Tobago National Commission for UNESCO | |
| Trinidad and Tobago National Emblems Committee | |
| Trinidad and Tobago National Petroleum Marketing Company Limited | |
| Trinidad and Tobago National Steel Symphony Orchestra | |
| Trinidad and Tobago NGL Limited | |
| Trinidad and Tobago Racing Authority | |
| Trinidad and Tobago Tourism Business Development Limited | |
| Trinidad Generation Unlimited (TGU) | |
| Trinidad Nitrogen Company Limited (TRINGEN) | |
| Trinidad Northern Areas Limited | |
| Trinidad Transport Board | |
| Trintoc Services Limited | |
| Tunapuna/Piarco Regional Corporation | |
| Union Estate Electricity Generation Company Limited | |
| University of the West Indies | |
| University of Trinidad and Tobago | |
| Urban Development Corporation of Trinidad and Tobago Limited | |
| Water Resources Agency | |
| Water Resources Management Unit | |
| Youth Training and Employment Partnership Programme (YTEPP) Limited | |
| Youth Training Centre, Trinidad and Tobago Prison Service | |
| Zoological Society of Trinidad and Tobago | |