



TRINIDAD & TOBAGO
SECURITIES & EXCHANGE
COMMISSION

INVESTOR TIPS CALENDAR

2012
CALENDAR

www.ttsec.org.tt

TRINIDAD & TOBAGO
SECURITIES & EXCHANGE
COMMISSION

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



About The Trinidad and Tobago Securities and Exchange Commission

The Securities and Exchange Commission ("the Commission") was established by the Securities Industry Act 1995. It is an autonomous body whose role is to provide for the regulation of the securities market in Trinidad and Tobago.

[Learn More](#)



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10-Nov-2011

Order for settlement re Jamaica Public Service Company Limited

In the Matter of the Contraventions of Section 64 (3) of the Securities Industry Act, 1995 By Jamaica Public Service Company Limited And In The Matter of A Proposed Settlement Agreement Pursuant To Part VIII of Securities Industry (Hearings And Settlement Practice Rules, 2008 ("the Rules")

3-Oct-2011

Order for settlement re TIDCO

In the Matter of Contraventions of Sections 64 (3), 65 (1) and 66 (1) of the Securities Industry Act, 1995 and By-Laws 55 (1) and 56 (1) of the Securities Industry Act, 1997 By Tourism and Industrial Development Corporation Limited

30-Sep-2011

Order for settlement re C

In the Matter of Contraventions of Sections 64 (3), 65 (1) and 66 (1) of the Securities Industry Act, 1995 and By-Laws 55 (1) and 56 (1) of the Securities Industry Act, 1997 By C

27-Sep-2011

Order for settlement re C

In the Matter of Contraventions of Sections 64 (3), 65 (1) and 66 (1) of the Securities Industry Act, 1995 and By-Laws 55 (1) and 56 (1) of the Securities Industry Act, 1997 By C

27-Sep-2011

Order for settlement re C

In the Matter of Contraventions of Sections 64 (3), 65 (1) and 66 (1) of the Securities Industry Act, 1995 and By-Laws 55 (1) and 56 (1) of the Securities Industry Act, 1997 By C

27-Sep-2011

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27-Sep-2011

Order for settlement re C

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27-Sep-2011

Order for settlement re C

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27-Sep-2011

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27-Sep-2011

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27-Sep-2011

Order for settlement re C

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27-Sep-2011

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27-Sep-2011

JANUARY 2012 GETTING TO KNOW THE TTSEC

The Trinidad and Tobago Securities and Exchange Commission is the primary regulator of the securities industry in Trinidad and Tobago. We register, authorize and regulate individuals and products in accordance with our Legislation.

Some people are investors and they don't even know it.

- Do you own shares or units in a mutual fund?
- Do you own stocks or shares in any company?
- Do you receive dividend payments?
- Have you received payments from your workplace in the form of bonds or shares?

If you answer yes to any of these questions then you are an investor! Our calendar provides some investor education tips designed for you to Invest with Confidence!



INVESTOR TIPS CALENDAR

JANUARY

2012

SUN

MON

TUE

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NEW YEAR'S DAY

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DECEMBER

2011

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FEBRUARY

2012

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

FEBRUARY 2012

HOW DOES THE COMMISSION REGULATE THE SECURITIES MARKET?

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;
 - all self regulatory organizations (for example, stock exchanges and securities associations);
- Maintaining continuous surveillance over the market to ensure that there is transparent, fair and equitable dealing in securities;
- Receiving and investigating complaints from aggrieved persons;
- Enforcing the provisions of the Securities Industry Act including the imposition of sanctions and penalties for non compliance;
- Conducting Investor Education programmes.



INVESTOR TIPS CALENDAR

FEBRUARY

2012

SUN	MON	TUE	WED	THU	FRI	SAT
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19	20 CARNIVAL MONDAY	21 CARNIVAL TUESDAY	22	23	24	25
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JANUARY 2012

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MARCH 2012

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MARCH 2012

I'M INTERESTED IN INVESTING.

- WHAT SHOULD I DO?

- First you should determine your investment goals and risk tolerance (how comfortable you are with different levels of risk).
- Next you can do research on the different types of products and services that are offered for sale.
- Ensure that both the products and the persons selling them are registered with the TTSEC.
- Then get professional advice from a registered investment adviser who can help you match your goals with investment instruments that are right for you.
- N.B. Advisers are not authorized to hold your cash or transact business on your behalf



INVESTOR TIPS CALENDAR

MARCH

2012

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SPIRITUAL BAPTIST (SHOUTER) LIBERATION DAY

FEBRUARY 2012							APRIL 2012						
SUN	MON	TUE	WED	THU	FRI	SAT	SUN	MON	TUE	WED	THU	FRI	SAT
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APRIL 2012

KNOW WHERE YOU ARE GOING

Investing is part of a bigger picture - things you want to achieve over time and the type of lifestyle you want. Many investments can and should be considered big ticket items. So why do so many of us invest more time in buying a car or planning a vacation than we do in choosing a financial adviser or even deciding what to do with our money? Set financial goals and evaluate them regularly.

Keep in mind that investing is an ongoing process, so check regularly to see how your investments are doing.



INVESTOR TIPS CALENDAR

APRIL

2012

SUN	MON	TUE	WED	THU	FRI	SAT
1	2	3	4	5	6 GOOD FRIDAY	7
8	9 EASTER MONDAY	10	11	12	13	14
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MARCH 2011						
SUN	MON	TUE	WED	THU	FRI	SAT
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MAY 2012						
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MAY 2012

KNOW WHO YOU ARE DEALING WITH

A qualified adviser can help you chart the course, but it's important to play an active role in planning your financial future. Find someone who is properly qualified and registered to provide investment advice— call the Commission to check or visit our website for a list of all registrants. Make sure you are comfortable asking the adviser questions and don't hesitate to interview more than one person. You have the right to switch advisers if you are not satisfied with the relationship.

Need help getting started? Visit the Trinidad and Tobago Securities and Exchange Commission's website at www.ttsec.org.tt for tips on the steps you should take **BEFORE** deciding to invest your hard earned dollars.



INVESTOR TIPS CALENDAR

MAY

2012

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INDIAN ARRIVAL DAY

APRIL 2011						
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JUNE 2012						
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JUNE 2012

FOLLOW YOUR MONEY!

- KNOW WHAT YOU'RE INVESTING IN.

Some up-front research is time well spent. Read documents carefully, including the fine print. Understand exactly how the investment works and the amount of risk associated with it before investing in securities.

A security is an investment instrument that has value and can be traded or transferred. Some examples of securities include:

- Stocks/shares
- Mutual funds
- Bonds
- Treasury bills

Remember "Do not put all your eggs in one basket!"

For more information about investment products visit www.ttsec.org.tt and check out the **Glossary** tab under Investor Resources.



INVESTOR TIPS

CALENDAR

JUNE

2012

SUN	MON	TUE	WED	THU	FRI	SAT
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17	18	19 LABOUR DAY	20	21	22	23
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MAY 2011

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JULY 2012

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JULY 2012

WHAT IS A MUTUAL FUND?

IN A MUTUAL FUND:

- Investors' funds are pooled and invested in a combination of stocks, bonds and other securities so that investors are able to diversify their holdings and spread their risk.
- Investment decisions are made by dedicated fund managers so that investors benefit from the expertise of professional investment managers

Mutual fund products are available from different sources. Ensure that the products are registered before purchasing. Take the time to understand the characteristics of the mutual fund before investing.



INVESTOR TIPS CALENDAR

JULY

2012

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JUNE 2011						
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AUGUST 2012						
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AUGUST 2012

WHAT DOES A BROKER DO?

In order to invest in stocks or shares on the stock exchange you will need the services of a Broker. Brokers source and trade securities at the price at which their client is willing to invest.

As at November 2011 there are seven brokerage houses registered to operate in Trinidad and Tobago:

1. AIC Securities Limited
2. Bourse Brokers Limited
3. Caribbean Stockbrokers Limited
4. First Citizens Brokerage and Advisory Services Ltd. (formerly known as CMMB Securities Ltd.)
5. Scotia Investments Limited
6. Republic Securities Limited
7. West Indies Stockbrokers Limited (WISE)



INVESTOR TIPS CALENDAR

AUGUST

2012

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JULY 2011						
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SEPTEMBER 2012						
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SEPTEMBER 2012

WHAT IS A PYRAMID SCHEME?



- PYRAMID SCHEMES ARE A FORM OF FRAUD!**
- A pyramid scheme is a scam that asks participants to enroll other people into the scheme.
 - Persons are actually paid from the money brought in by the additional inductees, rather than from any real investment.
 - When no additional persons join the scheme the person running the scheme disappears with your money.

- BEFORE INVESTING IN ANY PRODUCT YOU SHOULD:**
- Ask for a prospectus or information memorandum which are documents that describe the securities being offered for sale
 - Understand how the investment operates and get all details in writing
 - Ensure that both the product and the seller are registered with the TTSEC.
 - Be suspicious of any person who guarantees above market investment returns or assures you that there is no risk

REMEMBER
"If it sounds too good to be true... it usually is!"



INVESTOR TIPS CALENDAR

SEPTEMBER

2012

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AUGUST 2011						
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OCTOBER 2012						
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OCTOBER 2012

WHAT ARE MY INVESTOR RIGHTS?

- Your most important rights are the right to information, your right to choose and your right to redress.
- This means that you should receive truthful information about the investments that are being offered to you. You should also get information about a firm's history and expertise in the securities business, as well as up to date financial information.
- You should be given investment advice and provided with choices that are consistent with your personal goals and tolerance for risk.
- Your advisors should also outline for you the complaint process in which you must engage, if you are to seek redress.

REMEMBER that your investment losing money due to prevailing market conditions is **NOT** a legitimate basis for a complaint since with all investments there is an inherent risk!



INVESTOR TIPS CALENDAR

OCTOBER

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SEPTEMBER 2011						
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NOVEMBER 2012						
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NOVEMBER 2012

WHAT ACTION CAN THE TTSEC TAKE?

- The Commission operates under the Securities Industry Act, Chapter 83:02 ("the SIA") and its relevant By-Laws
- The staff of the Commission conducts investigations into violations of the SIA as authorized 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.

If things have gone wrong and you want to make a complaint you can telephone, come in to our offices or check online for our complaints procedure and form.

For more information about our recent actions visit www.ttsec.org.tt and check out the Legal Framework>Contraventions tab.



INVESTOR TIPS CALENDAR

NOVEMBER 2012

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DECEMBER 2012						
SUN	MON	TUE	WED	THU	FRI	SAT
30	31					1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29

www.ttsec.org.tt



Trinidad and Tobago Securities and Exchange Commission
57-59 Dundonald Street, Port of Spain, Trinidad, W.I.
• Phone: (868)-624-2991 • Fax: (868)-624-2995 • E-mail: ttsec@ttsec.org.tt

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

DECEMBER 2012

HOW CAN I LEARN MORE ABOUT INVESTING?

Apart from doing your own research, you can request an Investor Education outreach session which is conducted by staff of the Commission at your preferred venue. The sessions are tailored to suit the needs of the audience but generally:

- Inform individuals about the Role of the TTSEC
- Educate persons about their rights and responsibilities as investors
- Inform individuals about the benefits and risks associated with specific types of investments
- Help persons to develop the tools to make informed decisions on using and managing their money

You can visit the TTSEC website at www.ttsec.org.tt and request an outreach session by completing our online form.



INVESTOR TIPS CALENDAR

DECEMBER

2012

SUN	MON	TUE	WED	THU	FRI	SAT
30	31					1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25 CHRISTMAS DAY	26 BOXING DAY	27	28	29

NOVEMBER 2011						
SUN	MON	TUE	WED	THU	FRI	SAT
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	

JANUARY 2013						
SUN	MON	TUE	WED	THU	FRI	SAT
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31		

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2013



INVESTOR TIPS CALENDAR

BUILDING STAKEHOLDER CONFIDENCE IN THE CAPITAL MARKET.

2013

JANUARY

SUN	MON	TUE	WED	THU	FRI	SAT
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31		

FEBRUARY

SUN	MON	TUE	WED	THU	FRI	SAT
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28		

MARCH

SUN	MON	TUE	WED	THU	FRI	SAT
31					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30

APRIL

SUN	MON	TUE	WED	THU	FRI	SAT
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30				

MAY

SUN	MON	TUE	WED	THU	FRI	SAT
			1	2	3	4
5	6	7	8	9	10	11
12	13	14	15	16	17	18
19	20	21	22	23	24	25
26	27	28	29	30	31	

JUNE

SUN	MON	TUE	WED	THU	FRI	SAT
30						1
2	3	4	5	6	7	8
9	10	11	12	13	14	15
16	17	18	19	20	21	22
23	24	25	26	27	28	29

JULY

SUN	MON	TUE	WED	THU	FRI	SAT
	1	2	3	4	5	6
7	8	9	10	11	12	13
14	15	16	17	18	19	20
21	22	23	24	25	26	27
28	29	30	31			

AUGUST

SUN	MON	TUE	WED	THU	FRI	SAT
				1	2	3
4	5	6	7	8	9	10
11	12	13	14	15	16	17
18	19	20	21	22	23	24
25	26	27	28	29	30	31

SEPTEMBER

SUN	MON	TUE	WED	THU	FRI	SAT
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30					

OCTOBER

SUN	MON	TUE	WED	THU	FRI	SAT
		1	2	3	4	5
6	7	8	9	10	11	12
13	14	15	16	17	18	19
20	21	22	23	24	25	26
27	28	29	30	31		

NOVEMBER

SUN	MON	TUE	WED	THU	FRI	SAT
					1	2
3	4	5	6	7	8	9
10	11	12	13	14	15	16
17	18	19	20	21	22	23
24	25	26	27	28	29	30

DECEMBER

SUN	MON	TUE	WED	THU	FRI	SAT
1	2	3	4	5	6	7
8	9	10	11	12	13	14
15	16	17	18	19	20	21
22	23	24	25	26	27	28
29	30	31				

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