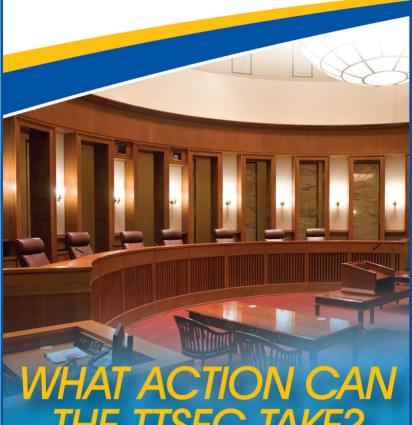


## INVES



## 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.

## 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

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