

## Topics to be Covered



- Role and functions of the Securities and Exchange Commission
- Continuous Reporting Obligations
- Compliance, Surveillance and Investigation
- Insider Trading
- Investment Options and Investment Decision making



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and Exchange Commission

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Trinidad & Tobago  
Securities and  
Exchange Commission

**Investor  
Education  
Programme  
2005**



*We regulate the  
securities market*

## INVESTOR EDUCATION PROGRAMME 2005

### Overview of the Programme

The Mission of the Trinidad and Tobago Securities and Exchange Commission (“the Commission”) is to “*administer the Securities Industry Act to protect the investor, promote integrity and transparency and foster the development of the capital market through a committed and competent team of professionals.*”

It is therefore the Commission’s role as regulator of the securities market to ensure that all actors in the market are fully au courant with the relevant regulations governing their participation in the market and also prescribing their roles and responsibilities. The Commission must also ensure that investors in the various instruments offered in the market are protected against market irregularities, including fraud and market manipulation.

The Investor Education Programme has been designed to

inform investors about their rights and responsibilities and to equip them with the tools they need to participate intelligently in the market.

### Programme Objectives



- Inform market participants, researchers and the general public about the role and functions of the Trinidad and Tobago Securities and Exchange Commission;
- Educate investors and registrants about their rights and obligations;
- Enlighten investors about risks associated with investment instruments;
- Publish, on the TTSEC website, information covering some important fundamentals about the securities market and through its website links provide access to other information on the securities industry.

### Target Groups



#### *Market Actors:*

- Registered Investment Advisers
- Reporting Issuers
- Brokers
- Investment Advisers

#### *Special Groups:*

- Members of the Credit Union League of Trinidad and Tobago
- Secondary School Students
- Undergraduate Students of the University of the West Indies, St. Augustine Campus

#### *Members of the General Public*