



TRINIDAD AND TOBAGO Securities & Exchange Commission

The Trinidad and Tobago Securities and Exchange Commission ("the Commission") is responsible for ensuring that the securities industry operates in a fair, transparent and efficient manner in order to protect the rights of investors.

The Commission regulates the market initially 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; and all self-regulatory organizations.

How does registering with the Commission protect investors?

Registration requires all issuers of securities and market actors ("registrants") to provide the Commission with pertinent information regarding the company, its directors and the securities being offered to the public or to investors. The Commission ensures the information meets legislative requirements.

Firms and individuals are registered by category – each registration category attracts different education and experience requirements, and permits different activities. We ensure that the companies are genuine entities with a registered office, headed by qualified professionals who possess the knowledge, skills and experience to conduct the transactions.

What are the qualifications for registration?

Registration will not be granted unless the Commission is satisfied that an applicant is fit and proper, meets the requirement of the law with respect to capital, and educational qualifications and discloses any information that may affect the conduct and integrity of his business. This information is also available for public viewing at the Commission.

However, the provision of information does not end after the initial registration. Registrants are required to continuously provide the Commission, as well as investors, with information inclusive of changes which may positively or negatively affect the performance of their business and the securities available to investors.

Is registration an endorsement?

While we advise all investors to deal only with those issuers and market actors that are registered with the Commission for the reasons mentioned above, please note that registration with the Commission is NOT an endorsement of the registrant or of any security. The Commission provides neither guarantee nor opinion on the performance of the product.

Always remember even though you are dealing with someone who is registered with the Commission, you should evaluate

the registrant and the securities being offered and if necessary, seek independent financial advice before making an investment decision.

The Commission has provided a listing of companies and individuals who are authorized and registered to sell securities as at March 31, 2009 as indicated on the following pages.

Want to know more?

For additional information, you are invited to contact, the Trinidad and Tobago Securities and Exchange Commission, at (868) 624-2991, or visit our website at www.ttsec.org.tt

Definition of terms

Broker/Dealer

An individual or firm acting as an intermediary between a buyer and a seller of securities, usually for a fee or a commission. When acting as a broker, a broker/dealer executes orders on behalf of his/her client. When acting as a dealer, a broker/dealer executes trades for his/her firm's own account.

Investment Adviser

An individual or firm that advises clients on investment in, or the purchase or sale of securities on a professional basis.

Reporting Issuer

A corporation that has issued or proposes to issue securities to the public and is subject to the continuous disclosure requirements of the Commission.

Self-regulatory Organization

A non-governmental organization that has the power to create and enforce industry regulations and standards. The priority is to protect investors through the establishment of rules that promote ethics and equality.

Trader

An employee of a broker who executes buy and sell orders for the broker and its clients either on a stock exchange or the over-the-counter market.

Underwriter

One who arranges a new issue of securities and agrees to purchase any unsold securities thereby guaranteeing full subscription.

Securities Company

A securities company is a hybrid in that it is a company that can act as a Broker and/or Dealer and/or Investment Adviser and/or Underwriter.



TRINIDAD AND TOBAGO Securities & Exchange Commission

List of Registrants 2009-2010

The Public is hereby notified of the list of valid registrants, by class of registrant, on the Register of the Trinidad and Tobago Securities and Exchange Commission, pursuant to Section 53(5)(a) of the Securities Industry Act, 1995 as at March 31, 2009.

Brokers

| Brokers | Company | Renewal Date |
|-----------------------------|---|--------------|
| 1 Akan, Myrnelle V. | AIC Securities Limited | 4-Dec-09 |
| 2 Alexander, Lisa-Maria | Dehring, Bunting and Golding (Trinidad) Limited | 13-Sep-09 |
| 3 Ali, Salma | West Indies Stockbrokers Limited | 17-Nov-09 |
| 4 Alleyne, Harold | Caribbean Stockbrokers Limited | 13-Dec-09 |
| 5 Carrera-Justiz, Francisco | Personal | 15-Aug-09 |
| 6 Clarke, Peter | Personal | 4-Dec-09 |
| 7 Fadahunsi, Lai | AIC Securities Limited | 27-Nov-09 |
| 8 Gosein, Godfrey | Republic Securities Limited | 9-May-09 |
| 9 Husain, Syed Samie | Personal | 13-Jul-09 |
| 10 Johnson, Alvin | Caribbean Stockbrokers Limited | 4-Dec-09 |
| 11 Manmohan, Adrian | West Indies Stockbrokers Limited | 10-Apr-09 |
| 12 Montes, Francisco | Personal | 15-Aug-09 |
| 13 Mullings, Donavan | Bourse Brokers Limited | 4-Dec-09 |
| 14 Narine, Ian | Dehring, Bunting and Golding (Trinidad) Limited | 26-May-09 |
| 15 Padmore, Winston | Personal | 4-Dec-09 |
| 16 Pariagh, Edgar | CMMB Securities and Asset Management Limited | 15-Feb-10 |
| 17 Ramkhelawan, Subhas | Bourse Securities Limited | 4-Dec-09 |
| 18 Salvary, Brent | CMMB Securities and Asset Management Limited | 12-Jan-10 |
| 19 Seebaran, Madree | Bourse Securities Limited | 9-Oct-09 |
| 20 Sheppard, George | Sheppard Securities Limited | 14-Nov-2009 |
| 21 St. Louis, Leslie | CMMB Securities and Asset Management Limited | 15-Mar-10 |

Investment Advisers cont.

| | |
|--|-----------|
| 4 Caribbean Investment Management Company (Trinidad) Limited | 8-Dec-09 |
| 5 Clewitt, Nigel | 10-Aug-09 |
| 6 Colonial Life Insurance Company (Trinidad) Limited | 7-Jun-09 |
| 7 Douglas, George Robert | 12-Jan-10 |
| 8 Dynamic Equity Limited | 16-Aug-09 |
| 9 FCL Financial Limited | 15-Jan-10 |
| 10 FirstCaribbean International Bank (Trinidad & Tobago) Limited | 31-May-09 |
| 11 Funds International Limited | 2-Feb-10 |
| 12 Global Financial Brokers Limited | 4-Dec-09 |
| 13 Golding, Jon * | 10-Apr-09 |
| 14 Guardian Life of the Caribbean Limited | 12-Oct-09 |
| 15 Intelligent Investment Services Limited | 13-Jun-09 |
| 16 International Wealth and Investment Network Limited | 13-Jun-09 |
| 17 Marquis Portfolio Managers Limited | 10-Jun-09 |
| 18 Mondial (Trinidad) Limited | 4-Dec-09 |
| 19 Mottley, Wendell | 9-May-09 |
| 20 Quan Soon, Ian | 9-Mar-10 |
| 21 Rambarran, Anston Jwala | 11-Sep-09 |
| 22 RBTT Asset Management Limited | 1-Oct-09 |
| 23 RBTT Financial Advisers Limited | 1-Oct-09 |
| 24 Republic Securities Limited | 4-Dec-09 |
| 25 The Beacon Asset Management Limited | 7-May-09 |
| 26 Valley, Kenneth | 21-Aug-09 |
| 27 Vega Capital Management Limited | 14-Apr-09 |
| 28 Welthecon Investment Managers Limited | 10-Apr-09 |

*Has indicated his intention not to renew his registration

Brokers in Government of Trinidad and Tobago Bonds Alone

| Brokers (G) | Company | Renewal Date |
|----------------------|---|--------------|
| 1 Dabarsie, Karen | Citicorp Merchant Bank Limited | 10-Oct-09 |
| 2 Khodai, Keshwar | First Citizens Bank Limited | 23-Jan-10 |
| 3 Lashley, Maria | Trinidad and Tobago Unit Trust Corporation | 12-Dec-09 |
| 4 Maharaj, Varun | Ansa Merchant Bank Limited | 10-Oct-09 |
| 5 Quashie, Theron | RBTT Merchant Bank Limited | 10-Oct-09 |
| 6 Seepersad, Suzanne | FirstCaribbean International Bank (Trinidad and Tobago) Limited | 10-Oct-09 |
| 7 Supersad, Sabrina | Intercommercial Trust and Merchant Bank Limited | 22-Mar-10 |
| 8 Tang Nian, Stephen | RBTT Merchant Bank Limited | 10-Oct-09 |

Investment Advisers

| Investment Advisers | Renewal Date |
|---|--------------|
| 1 Alpha Savings and Trust Limited | 21-Dec-09 |
| 2 Burris, Stephen | 9-Mar-10 |
| 3 Caribbean Development Capital Limited | 7-Dec-09 |

Reporting Issuer

| Reporting Issuers |
|---|
| 1 Add Venture Capital Fund Limited |
| 2 Agostini's Limited |
| 3 AIC Corporate Funds Inc. |
| 4 Airports Authority of Trinidad and Tobago |
| 5 Alstons Limited |
| 6 Angostura (Barbados) Limited |
| 7 Angostura Holdings Limited |
| 8 Angostura Limited |
| 9 ANSA McAL Limited |
| 10 Ansa Merchant Bank Limited |
| 11 Berger Paints Trinidad Limited |
| 12 BWIA West Indies Airways Limited |
| 13 Capital & Credit Merchant Bank Limited |
| 14 Capital and Credit Financial Group Limited |
| 15 Caroni (1975) Limited |
| 16 Citibank (Trinidad and Tobago) Limited |
| 17 Citicorp Merchant Bank Limited |
| 18 Cool Petroleum (St. Lucia) Limited |
| 19 DB&G Caribbean Global Bond Fund Inc. |
| 20 Development Finance Limited |



TRINIDAD AND TOBAGO Securities & Exchange Commission

List of Registrants 2009-2010

- 21 Dynamic Equity Fund II Limited
- 22 Dynamic Equity Venture Fund Limited
- 23 Empresa Generadora de Electricidad Haina, S.A. (EGE Haina)
- 24 First Citizens Asset Management Limited
- 25 First Citizens Bank Limited
- 26 FirstCaribbean International Bank Limited
- 27 Flavorite Foods Limited
- 28 FNCU Venture Capital Company Limited
- 29 Fortress Caribbean Property Fund Limited
- 30 Furness Trinidad Limited
- 31 GraceKennedy Limited
- 32 Guardian Holdings Limited
- 33 Intercommercial Bank Limited
- 34 Jamaica Money Market Brokers Limited
- 35 Jamaica Public Service Company
- 36 Jamaica Select Index Fund Limited
- 37 L.J. Williams Limited
- 38 La Brea Industrial Development Company Limited
- 39 Life Settlements Funds Limited
- 40 Mega Insurance Company Limited
- 41 Mora Ven Holdings Limited
- 42 National Commercial Bank Jamaica Limited
- 43 National Enterprises Limited
- 44 National Flour Mills Limited
- 45 National Insurance Property Development Company Limited
- 46 National Maintenance Training and Security Company Limited
- 47 Neal & Massy Holdings Limited
- 48 Nestle Trinidad and Tobago Limited
- 49 One Caribbean Media Limited
- 50 Pan Caribbean Asset Management Limited
- 51 Phoenix Park Gas Processors Limited
- 52 Point Lisas Industrial Port Development Corporation Limited
- 53 Port Authority of Trinidad and Tobago
- 54 Prestige Holdings Limited
- 55 Public Transport Service Corporation
- 56 RBC Holdings (Trinidad and Tobago) Limited
- 57 RBTT Bank Barbados Limited
- 58 RBTT Bank Limited
- 59 RBTT Finance Limited
- 60 RBTT Financial Holdings Limited
- 61 RBTT Merchant Bank Limited
- 62 Readymix (West Indies) Limited
- 63 Republic Bank Limited
- 64 Republic Finance and Merchant Bank Limited
- 65 Royal Bank of Canada
- 66 Royal Skandia Life Assurance Limited
- 67 Sagicor Financial Corporation
- 68 Sagicor Funds Incorporated
- 69 Sagicor Merchant Limited
- 70 Schroder Investment Management (Luxembourg) S.A
- 71 Scotia DBG Investments Limited
- 72 Scotiabank Trinidad & Tobago Limited
- 73 St Christopher Air and Sea Ports Authority
- 74 St. Kitts Urban Development Corporation Ltd
- 75 Supreme Ventures Limited
- 76 TCL Leasing Limited
- 77 TCL Service Limited
- 78 Telecommunications Services of Trinidad and Tobago Limited
- 79 The Barbados Shipping & Trading Company Limited
- 80 The Home Mortgage Bank
- 81 The National Football Stadium Company Limited
- 82 The Vehicle Management Corporation of Trinidad & Tobago Limited
- 83 The West Indian Tobacco Company Limited
- 84 Tourism & Industrial Development Company of Trinidad & Tobago Limited
- 85 TransJamaican Highway Limited
- 86 Trinidad & Tobago Housing Development Corporation
- 87 Trinidad & Tobago Unit Trust Corporation
- 88 Trinidad Cement Limited
- 89 Trinidad Publishing Company Limited
- 90 Trinidad Select Index Fund Limited
- 91 Unilever Caribbean Limited
- 92 Unit Trust Corporation (Cayman) SPC Limited
- 93 Urban Development Corporation of Trinidad & Tobago Limited
- 94 Valpark Shopping Plaza Limited
- 95 Water & Sewerage Authority

Self-Regulatory Organizations

Self-Regulatory Organizations

- | | Renewal Date |
|--|--------------|
| 1 The Trinidad and Tobago Stock Exchange Limited | 11-Aug-09 |
| 2 The Trinidad and Tobago Central Depository Limited | 8-Nov-09 |

Trader

- | Traders | Company | Renewal Date |
|------------------------|--|--------------|
| 1 Basdeo, Roshan | Bourse Securities Limited | 27-Sep-09 |
| 2 Bridgewater, Joanne | Republic Securities Limited | 9-May-09 |
| 3 Chen, Nancy | West Indies Stockbrokers Limited | 27-Jan-10 |
| 4 Eve, Patricia | Republic Securities Limited | 23-Jun-09 |
| 5 Fletcher, Claire | West Indies Stockbrokers Limited | 19-Mar-09 |
| 6 Gajadar, Kerry | Caribbean Stockbrokers Limited | 7-Sep-09 |
| 7 Inniss-Bernard, Judy | Republic Securities Limited | 4-Dec-09 |
| 8 Lamy, Lorin Shereece | AIC Securities Limited | 9-Aug-09 |
| 9 Mahabirsingh, Sherma | Caribbean Money Market Brokers Limited | 13-Nov-09 |
| 10. Shaun Mohammed | Bourse Brokers Limited | 20-May-09 |
| 11 Ramkhelawan, Sarodh | Bourse Securities Limited | 13-Jul-09 |



TRINIDAD AND TOBAGO Securities & Exchange Commission

List of Registrants 2009-2010

| | | | | <u>Underwriters</u> | | | |
|----|--------------------------|--|-----------|---------------------|---|--|-----------|
| | | | | <u>Underwriters</u> | <u>Renewal Date</u> | | |
| 12 | Ramnath-Singh, Gail | Caribbean Stockbrokers Limited | 4-Dec-09 | | | | |
| 13 | Salloum, Christiane | CMMB Securities and Asset Management Limited | 9-Mar-10 | | | | |
| 14 | Savary, Hilary | AIC Securities Limited | 17-Feb-10 | | | | |
| 15 | Thomas, Rowland Marc | Dehring Bunting and Golding (Trinidad) Limited | 12-Sep-09 | 1 | FirstCaribbean International Bank (Bahamas) Limited | | 13-Jun-09 |
| 16 | Vieria, Lisa Ann | AIC Securities Limited | 16-Feb-10 | 2 | FirstCaribbean International Bank (Trinidad & Tobago) Limited | | 4-Dec-09 |
| 17 | Wells-Fraser, Bernadette | AIC Securities Limited | 12-Jun-09 | | | | |

Traders in Government of Trinidad and Tobago Bonds Alone

| | | | |
|---|---------------------|--------------------------------|-----------|
| 1 | Ghany, Rianna Sarah | First Citizens Bank Limited | 31-Jan-10 |
| 2 | Martineau, Dan | Ansa Merchant Bank Limited | 13-Jan-10 |
| 3 | Melville, Cecilia | Citicorp Merchant Bank Limited | 10-Oct-09 |
| 4 | Wallace, Chivonne | First Citizens Bank Limited | 31-Jan-10 |

Securities Companies

| | Securities Company Name | Classes of Business | Renewal Date |
|----|---|---|---------------------|
| 1 | AIC Capital Market Brokers Limited | Dealer, Investment Adviser, Underwriter | 17-Mar-09 |
| 2 | AIC Securities Limited | Broker, Dealer, Investment Adviser, Underwriter | 10-Oct-09 |
| 3 | Ansa Merchant Bank Limited | Broker (G), Dealer, Investment Adviser, Underwriter | 4-Dec-09 |
| 4 | Ansa Securities Limited | Broker (G), Dealer, Investment Adviser, Underwriter | 18-Sep-09 |
| 5 | Bourse Brokers Limited | Broker, Dealer | 11-Jan-10 |
| 6 | Bourse Securities Limited | Broker, Dealer, Investment Adviser, Underwriter | 4-Dec-09 |
| 7 | Caribbean Money Market Brokers Limited | Broker, Dealer, Investment Adviser, Underwriter | 26-Apr-09 |
| 8 | Caribbean Stockbrokers Limited | Broker, Dealer, Investment Adviser, Underwriter | 13-Jun-09 |
| 9 | Citicorp Merchant Bank Limited | Broker (G), Dealer, Investment Adviser, Underwriter | 10-Oct-09 |
| 10 | CMMB Securities and Asset Management Limited | Broker, Dealer, Investment Adviser, Underwriter | 6-Mar-10 |
| 11 | Dehring, Bunting and Golding (Trinidad) Limited | Broker, Dealer, Investment Adviser, Underwriter | 25-May-09 |
| 12 | Development Finance Limited | Dealer, Investment Adviser, Underwriter | 4-Dec-09 |
| 13 | First Citizens Asset Management Limited | Dealer, Investment Adviser, Underwriter | 17-Dec-09 |
| 14 | First Citizens Bank Limited | Broker (G), Investment Adviser, Underwriter | 10-Jan-10 |
| 15 | First Citizens Securities Trading Limited | Dealer, Investment Adviser, Underwriter | 4-Dec-09 |
| 16 | First Global (Trinidad and Tobago) Limited | Dealer, Investment Adviser, Underwriter | 13-Jul-09 |
| 17 | FirstCaribbean International Bank (Trinidad & Tobago) Limited | Broker (G) | 10-Oct-09 |
| 18 | Firstline Securities Limited | Dealer, Investment Adviser, Underwriter | 2-Mar-10 |
| 19 | General Finance Corporation Limited | Dealer, Investment Adviser, Underwriter | 21-Feb-10 |
| 20 | Guardian Asset Management Limited | Dealer, Investment Adviser, Underwriter | 19-Jul-09 |
| 21 | Intercommercial Bank Limited | Dealer, Investment Adviser, Underwriter | 21-Jan-10 |
| 22 | Intercommercial Trust and Merchant Bank Limited | Broker (G), Dealer, Investment Adviser, Underwriter | 22-Mar-10 |
| 23 | RBTT Merchant Bank Limited | Broker (G), Dealer, Underwriter | 4-Dec-09 |
| 24 | Republic Bank Limited | Dealer, Investment Adviser, Underwriter | 4-Dec-09 |
| 25 | Republic Finance and Merchant Bank Limited | Underwriter | 4-Dec-09 |
| 26 | Republic Securities Limited | Broker | 4-Dec-09 |
| 27 | Sagicor Life Incorporated | Dealer, Investment Adviser, Underwriter | 11-Jan-10 |
| 28 | Sagicor Merchant Limited | Dealer, Investment Adviser, Underwriter | 12-Oct-09 |
| 29 | Scotiabank Trinidad & Tobago Limited | Underwriter | 4-Dec-09 |
| 30 | Scotiastrust and Merchant Bank Trinidad and Tobago Limited | Dealer, Investment Adviser, Underwriter | 4-Dec-09 |
| 31 | Sheppard Securities Limited | Broker | 22-Mar-10 |
| 31 | Trinidad and Tobago Unit Trust Corporation | Broker (G), Dealer, Investment Adviser, Underwriter | 12-Dec-09 |
| 32 | West Indies Stockbrokers Limited | Broker, Dealer, Investment Adviser, Underwriter | 9-May-09 |