

TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

**In The Matter of the Contraventions of by-law 56 (1)
of the Securities Industry By-Laws, 1997 and section 66 (1) (a) of the Securities
Industry Act, 1995 (Act No. 32 of 1995) by RBTT Finance Limited**

And

**In The Matter of A Proposed
Settlement Agreement Pursuant To
Part VIII of
Securities Industry (Hearings And Settlements)
Practice Rules, 2008 ("the Rules")**

ORDER OF THE COMMISSION

Dated this 24th day of August, 2010

WHEREAS RBTT Finance Limited ("the Respondent"):

- (i) Failed to file its audited **COMPARATIVE FINANCIAL STATEMENT** with the Commission on or before **June 29, 2009** for year **2009**;
- (ii) Failed to file its **ANNUAL REPORT** with the Commission on or before **July 31, 2009** for the year **2009**.

hereinafter referred to collectively as ('the said Financial Statements').

AND WHEREAS by Notices of Contravention S.I. Nos. 197 of 2009 and 198 of 2009 dated December 31, 2009 the Commission advised the Respondent that it was in contravention of by-law 56(1) of the Securities Industry By-Laws, 1997 ("the By-Laws") and section 66 (1) (a) of the Securities Industry Act, 1995 ("the Act by failing to file the said Financial Statements with the Commission on or before the dates stipulated for submission.

AND WHEREAS by letters dated January 22, 2010 and February 1, 2010 the Respondent requested the staff of the Commission to enter into settlement discussions to determine whether the matter could be settled;

AND WHEREAS on the 20th day of August, 2010 the Respondent entered into a proposed settlement agreement with the Staff of the Commission which was signed by the duly

authorized representative of the Commission on behalf of the Staff and the Attorney at Law on behalf of the Respondent (“**the Settlement Agreement**”), in which the parties agreed to a settlement, subject to the approval of the Settlement Panel;

AND WHEREAS the Settlement Panel approved the Settlement Agreement and agreed to submit the Settlement Agreement to the Commission;

AND WHEREAS the Respondent has agreed to pay the sum of twenty four thousand Trinidad and Tobago dollars (\$24,000.00) to the Trinidad and Tobago Securities and Exchange Commission;

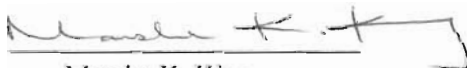
AND WHEREAS the Commission has considered the Settlement Agreement and is of the opinion that it is in the public interest to make this Order.


IT IS HEREBY ORDERED THAT:

- (a) The procedure outlined under the Securities Industry (Hearings and Settlements) Practice Rules, 2008 has been followed;
- (b) The Respondent has contravened By-Law 56(1) of the By-Laws and section 66 (1) (a) of the Act.
- (c) Pursuant to section 143 (1) of the Act, the Respondent shall within twenty-eight days of the making of this Order pay to the Commission the sum of \$24,000.00 as the fine in this matter.
- (d) This Order shall be published in the Trinidad and Tobago Gazette and in the daily newspaper.

Dated this 24th day of August, 2010


Deborah Thomas-Felix
Chairman


Marsha K. King
Commissioner


Vishnu Dhanpaul
Commissioner