



**Securities and Exchange Commission
COMMUNICATIONS UNIT
57-59 Dundonald Street
Port of Spain**

MEDIA RELEASE

March 8, 2007

**Trinidad and Tobago Securities and Exchange Commission hosts
Securities Investigator's Training Programme**



Regional regulators of securities markets from the Bahamas, Barbados and Guyana attended a Securities Investigator's Training Programme hosted by the Securities and Exchange Commission (SEC). The training was primarily held for the staff of the Market Regulation & Surveillance, Legal Advisory & Enforcement and Policy Research & Planning Divisions of the Commission.

The facilitator ***Mr. Ross Oake, President of Ross Oake & Associates Inc. Forensic and Investigative Services*** conducted the programme over the period **March 5 to 8, 2007** at the **Trinidad Hilton and Conference Centre** from 8:30 a.m. to 4:30 p.m. daily.

The programme covered topics on the fundamentals of securities investigations and specifically addressed the following areas among others:

1. Legal Powers and Procedures
2. Assessing the Complaint/Information
3. Ethical Interviewing
4. Preparing for the Court/Hearing

At the start of the programme Mr. Osborne Nurse Chairman of the Commission urged participants to use this training as part of a toolkit to ensure compliance as well as to ensure proper market conduct. The programme would school participants in how evidence is to be presented, defended and adjudicated upon.

The chairman went on to encourage regional participants to visit their local counterparts and view the tools that the SEC has developed to make their work easier. One such tool is the Securities Market Watch (SMW) which works on the Horizon platform to provide information such as product/price volume charts for all securities and for the composite index. The Commission receives a ticker tape with a fifteen minute delay and has the ability to review information on the buying and selling brokers and their accounts.

END OF RELEASE

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