



# TRINIDAD & TOBAGO SECURITIES & EXCHANGE COMMISSION

[www.ttsec.org.tt](http://www.ttsec.org.tt)

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 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 that the information meets the requirements of the law and is available to the public.

Firms and individuals are registered by category - each registration category attracts different educational and experience requirements, and permits different activities. The Commission ensures that the companies are genuine entities with a registered office, headed by qualified professionals who possess the knowledge, skills and experience to conduct the class of business for which the companies are being registered.

## 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 impact the performance of their business and the securities available to investors.

## IS REGISTRATION AN ENDORSEMENT?

While we advise investors to deal only with issuers and market actors that are registered with the Commission, 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, 2010 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](http://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.

## LIST OF REGISTRANTS

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, 2010.

### BROKERS

BROKERS	COMPANY	RENEWAL DATE
1. Akan, Myrnelle V.	AIC Securities Limited	4-Dec-2010
2. Ali, Salma	West Indies Stockbrokers Limited	17-Nov-2010
3. Alleyne, Harold	Caribbean Stockbrokers Limited	13-Dec-2010
4. Bridgewater, Joanne	Republic Securities Limited	16-Nov-2010
5. Carrera-Justiz, Francisco	Personal	15-Aug-2010
6. Clarke, Peter	Personal	4-Dec-2010
7. Fadahunsi, Lai	AIC Securities Limited	10-Oct-2010
8. Gosein, Godfrey	Republic Securities Limited	9-May-2010
9. Ho Sing Loy, Ameen	RBTT Merchant Bank Limited	13-Aug-2010
10. Husain, Syed Samie	Personal	13-Jul-2010
11. Manmohan, Adrian	West Indies Stockbrokers Limited	10-Apr-2010
12. Mayers, Robert	Personal	15-Jun-2010
13. Montes, Francisco	Personal	15-Aug-2010
14. Mullings, Donavan	Bourse Brokers Limited	4-Dec-2010
15. Narine, Ian	Scotia Investments Trinidad and Tobago Limited	10-Apr-2010
16. Padmore, Winston	Personal	4-Dec-2010
17. Ramkhelawan, Subhas	Bourse Securities Limited	4-Dec-2010
18. Seebaran, Madree	Bourse Securities Limited	9-Oct-2010

### BROKERS CONT'D

BROKERS	COMPANY	RENEWAL DATE
19. Sheppard, George	Sheppard Securities Limited	14-Nov-2010
20. St. Louis, Leslie	CMMB Securities and Asset Management Limited	15-Mar-2011
21. Syne, Sascha	Caribbean Money Market Brokers Limited	8-Feb-2011
22. Thomas, Rowland	Scotia Investments Trinidad and Tobago Limited	17-Sep-2010

  

BROKERS IN GOVERNMENT OF TRINIDAD & TOBAGO BONDS ALONE		
BROKERS	COMPANY	RENEWAL DATE
1. Darbasie, Karen	Citicorp Merchant Bank Limited	10-Oct-2010
2. Khan, Dale	Trinidad and Tobago Unit Trust Corporation	30-Dec-2010
3. Khodai, Keshwar	First Citizens Bank Limited	23-Jan-2011
4. Lashley, Maria	Trinidad and Tobago Unit Trust Corporation	12-Dec-2010
5. Maharaj, Varun	Ansa Merchant Bank Limited & Ansa Securities Limited	10-Oct-2010
6. Rahaman, Hassan Philip	FirstCaribbean International Bank (Trinidad and Tobago) Limited	18-Mar-2011
7. Shah, Reaaz	FirstCaribbean International Bank (Trinidad and Tobago) Limited	18-Mar-2011
8. Tang Nian, Stephen	RBTT Merchant Bank Limited	27-Oct-2010

# LIST OF REGISTRANTS: CONT'D

## REPORTING ISSUERS

### REPORTING ISSUERS

1. Add Venture Capital Fund Limited	26. First Citizens Bank Limited	51. One Caribbean Media Limited	76. Supreme Ventures Limited
2. Agostini's Limited	27. FirstCaribbean International Bank Limited	52. Pan Caribbean Asset Management Limited	77. TCL Leasing Limited
3. AIC Corporate Funds Inc.	28. Flavorite Foods Limited	53. Point Lisas Industrial Port Development Corporation Limited	78. TCL Service Limited
4. Airports Authority of Trinidad and Tobago	29. FNCU Venture Capital Company Limited	54. Port Authority of Trinidad and Tobago	79. Telecommunications Services of Trinidad and Tobago Limited
5. Alstons Limited	30. Fortress Caribbean Property Fund Limited	55. Prestige Holdings Limited	80. The Barbados Shipping & Trading Company Limited
6. Angostura (Barbados) Limited	31. Furness Trinidad Limited	56. Public Transport Service Corporation	81. The Home Mortgage Bank
7. Angostura Holdings Limited	32. GraceKennedy Limited	57. RBC Financial (Caribbean) Limited	82. The National Football Stadium Company Limited
8. Angostura Limited	33. Guardian Holdings Limited	58. RBTT Bank Barbados Limited	83. The Vehicle Management Corporation of Trinidad & Tobago Limited
9. ANSA McAL Limited	34. Intercommercial Bank Limited	59. RBTT Bank Limited	84. The West Indian Tobacco Company Limited
10. Ansa Merchant Bank Limited	35. Jamaica Money Market Brokers Limited	60. RBTT Finance Limited	85. Tourism & Industrial Development Company of Trinidad & Tobago Limited
11. BCB Holdings Limited	36. Jamaica Public Service Company Limited	61. RBTT Merchant Bank Limited	86. Transjamaican Highway Limited
12. Berger Paints Trinidad Limited	37. Jamaica Select Index Fund Limited	62. Readymix (West Indies) Limited	87. Trinidad and Tobago Housing Development Corporation
13. BWIA West Indies Airways Limited	38. L.J. Williams Limited	63. Republic Bank Limited	88. Trinidad and Tobago Mortgage Finance Company Limited
14. Capital & Credit Merchant Bank Limited	39. La Brea Industrial Development Company Limited	64. Republic Finance and Merchant Bank Limited	89. Trinidad and Tobago Unit Trust Corporation
15. Capital and Credit Financial Group Limited	40. Life Settlements Funds Limited	65. Royal Bank of Canada	90. Trinidad Cement Limited
16. Caroni (1975) Limited	41. Mega Insurance Company Limited	66. Royal Skandia Life Assurance Limited	91. Trinidad Publishing Company Limited
17. Citibank (Trinidad and Tobago) Limited	42. Mora Ven Holdings Limited	67. Sagicor Financial Corporation	92. Trinidad Select Index Fund Limited
18. Citicorp Merchant Bank Limited	43. National Commercial Bank Jamaica Limited	68. Sagicor Funds Incorporated	93. Unilever Caribbean Limited
19. Cool Petroleum (St. Lucia) Limited	44. National Enterprises Limited	69. Sagicor Merchant Limited	94. Unit Trust Corporation (Cayman) SPC Limited
20. Development Finance Limited	45. National Flour Mills Limited	70. Schroder Investment Management (Luxembourg) S.A	95. Urban Development Corporation of Trinidad & Tobago Limited
21. Dynamic Equity Fund II Limited	46. National Infrastructure Development Company Limited	71. Scotia DB&G Caribbean Income Fund Inc	96. Valpark Shopping Plaza Limited
22. Dynamic Equity Venture Fund Limited	47. National Insurance Property Development Company Limited	72. Scotia DBG Investments Limited	97. VT Umbrella Fund PCC Limited
23. Education Facilities Company Limited	48. National Maintenance Training and Security Company Limited	73. Scotiabank Trinidad & Tobago Limited	98. Water & Sewerage Authority
24. Empresa Generadora de Electricidad Haina, S.A. (EGE Haina)	49. Neal & Massy Holdings Limited	74. St Christopher Air and Sea Ports Authority	
25. First Citizens Asset Management Limited	50. Nestle Trinidad and Tobago Limited	75. St. Kitts Urban Development Corporation Limited	

## INVESTMENT ADVISERS

INVESTMENT ADVISERS	RENEWAL DATE
1. Altus Company Limited	15-Jun-2010
2. Burris, Stephen	9-Mar-2011
3. Caribbean Development Capital Limited	7-Dec-2010
4. Caribbean Investment Management Company (Trinidad) Limited	8-Nov-2010
5. Clewett, Nigel	10-Aug-2010
6. Dynamic Equity Limited	16-Aug-2010
7. FCL Financial Limited	15-Jan-2011
8. FirstCaribbean International Bank (Trinidad & Tobago) Limited	31-May-2010
9. Global Financial Brokers Limited	4-Dec-2010
10. Guardian Life of the Caribbean Limited	12-Oct-2010
11. Goolcharan, Vishal	11-Jan-2011
12. International Wealth and Investment Network Limited	13-Jun-2010
13. Involve Financial Limited	13-Jul-2010
14. Marquis Portfolio Managers Limited	10-Jun-2010
15. Mondial (Trinidad) Limited	4-Dec-2010
16. Mottley, Wendell	9-May-2010
17. RBTT Asset Management Limited	1-Oct-2010
18. Republic Securities Limited	4-Dec-2010
19. The Beacon Asset Management Limited	7-May-2010
20. Valley, Kenneth	21-Aug-2010
21. Vega Capital Management Limited	14-Apr-2010
22. Welthecon Investment Managers Limited	10-Apr-2010

## SELF-REGULATORY ORGANIZATIONS

SELF-REGULATORY ORGANIZATIONS	RENEWAL DATE
1. The Trinidad and Tobago Stock Exchange Limited	24-Apr-2010
2. The Trinidad and Tobago Central Depository Limited	8-Nov-2010

## TRADERS

TRADERS	COMPANY	RENEWAL DATE
1. Basdeo, Roshan	Bourse Securities Limited	27-Sep-2010
2. Bridgewater, Joanne	Republic Securities Limited	9-May-2010
3. Chen, Nancy	West Indies Stockbrokers Limited	27-Jan-2011
4. Dulal, Carla	Scotia Investments Trinidad and Tobago Limited	16-Nov-2010
5. Eve, Patricia	Republic Securities Limited	23-Jun-2010
6. Gajadhar, Kerry	Caribbean Stockbrokers Limited	7-Sep-2010
7. Inniss-Bernard, Judy	Republic Securities Limited	4-Dec-2010
8. Leons, Keron	Caribbean Money Market Brokers Limited	16-Nov-2010
9. Mahabirsingh, Sherma	Caribbean Money Market Brokers Limited	13-Nov-2010
10. Mohammed, Shaun	Bourse Brokers Limited	20-May-2010
11. Mooteram, Charissa	CMMB Securities & Asset Management Limited	8-Feb-2011
12. Ramkhelawan, Sarodh	Bourse Securities Limited	13-Jul-2010
13. Ramnath-Singh, Gail	Caribbean Stockbrokers Limited	4-Dec-2010
14. Savary, Hilary	AIC Securities Limited	17-Feb-2011
15. Sookhoo, Anganie	RBTT Merchant Bank Limited	18-Mar-2011
16. Viera, Lisa Ann	AIC Securities Limited	16-Feb-2011
17. Wells-Fraser, Bernadette	AIC Securities Limited	12-Jun-2010

## SECURITIES COMPANIES

SECURITIES COMPANY NAME	CLASSES OF BUSINESS	RENEWAL DATE
1. AIC Capital Market Brokers Limited	Dealer, Investment Adviser, Underwriter	17-Mar-2011
2. AIC Securities Limited	Broker, Dealer, Investment Adviser, Underwriter	9-Oct-2010
3. Ansa Merchant Bank Limited	Broker (G), Dealer, Investment Adviser, Underwriter	4-Dec-2010
4. Ansa Securities Limited	Broker (G), Dealer, Investment Adviser, Underwriter	18-Sep-2010
5. Bourse Brokers Limited	Broker, Dealer	11-Jan-2011
6. Bourse Securities Limited	Broker, Dealer, Investment Adviser, Underwriter	4-Dec-2010
7. Caribbean Money Market Brokers Limited	Broker, Dealer, Investment Adviser, Underwriter	26-Apr-2010
8. Caribbean Stockbrokers Limited	Broker, Dealer, Investment Adviser, Underwriter	13-Jun-2010
9. Citicorp Merchant Bank Limited	Broker (G), Dealer, Underwriter	10-Oct-2010
10. CMMB Securities & Asset Management Limited	Broker, Dealer, Investment Adviser, Underwriter	6-Mar-2011
11. Development Finance Limited	Dealer, Investment Adviser, Underwriter	4-Dec-2010
12. First Citizens Asset Management Limited	Dealer, Investment Adviser, Underwriter	17-Dec-2010
13. First Citizens Bank Limited	Broker (G), Investment Adviser, Underwriter	10-Jan-2011
14. First Citizens Securities Trading Limited	Dealer, Investment Adviser, Underwriter	4-Dec-2010
15. FirstCaribbean International Bank (Trinidad and Tobago) Limited	Broker (G)	18-Mar-2011
16. First Global (Trinidad and Tobago) Limited	Dealer, Investment Adviser, Underwriter	13-Jul-2010
17. Firstline Securities Limited	Dealer, Investment Adviser, Underwriter	2-Mar-2011
18. General Finance Corporation Limited	Dealer, Investment Adviser, Underwriter	21-Feb-2011
19. Guardian Asset Management Limited	Dealer, Investment Adviser, Underwriter	19-Jul-2010
21. Intercommercial Trust and Merchant Bank Limited	Dealer, Investment Adviser, Underwriter	22-Mar-2011
22. KSBM Asset Management Limited	Broker, Dealer, Investment Adviser, Underwriter	18-Mar-2011
23. RBTT Merchant Bank Limited	Broker, Dealer, Underwriter	13-Aug-2010
24. Republic Bank Limited	Dealer, Investment Adviser, Underwriter	4-Dec-2010
25. Republic Finance and Merchant Bank Limited	Underwriter	4-Dec-2010
26. Republic Securities Limited	Broker	4-Dec-2010
27. Sagicor Life Incorporated	Dealer, Investment Adviser, Underwriter	11-Jan-2011
28. Sagicor Merchant Limited	Dealer, Investment Adviser, Underwriter	12-Jan-2011
29. Scotia Investments (Trinidad and Tobago) Limited	Broker, Dealer, Investment Adviser, Underwriter	25-May-2010
30. Scotiabank Trinidad & Tobago Limited	Underwriter	4-Dec-2010
31. Scotiabank and Merchant Bank Trinidad and Tobago Limited	Dealer, Investment Adviser, Underwriter	4-Dec-2010
32. Sheppard Securities Limited	Broker	22-Mar-2011
33. Trinidad and Tobago Unit Trust Corporation	Broker (G), Dealer, Investment Adviser, Underwriter	12-Dec-2010
34. West Indies Stockbrokers Limited	Broker, Dealer, Investment Adviser, Underwriter	9-May-2010

## TRADERS IN GOVERNMENT OF TRINIDAD AND TOBAGO BONDS ALONE

TRADERS	COMPANY	RENEWAL DATE
1. Basdeo, Anderson	Citicorp Merchant Bank Limited	16-Nov-2010
2. Ghany, Rianna Sarah	First Citizens Bank Limited	31-Jan-2011
3. Martineau, Dan	Ansa Merchant Bank Limited	13-Jan-2011
4. Melville, Cecilia	Citicorp Merchant Bank Limited	10-Oct-2010
5. Wallace, Chivonne	First Citizens Bank Limited	31-Jan-2011

## UNDERWRITERS

UNDERWRITERS	RENEWAL DATE
1. First Caribbean International Bank (Bahamas) Limited	13-Jun-2010
2. First Caribbean International Bank (Trinidad & Tobago) Limited	4-Dec-2010



Trinidad and Tobago

Securities and Exchange Commission

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