



## LIST OF REGISTRANTS AS AT 31<sup>ST</sup> MARCH 2020

**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 securities market by registering all securities that are distributed to the public, all issuers of those securities, and market intermediaries directly involved in the issuance, offering and sale of those securities e.g. **Broker-Dealers, Investment Advisers, Underwriters, and Self-Regulatory Organizations**. Certain employees or officers of Broker-Dealers, Investment Advisers and Underwriters are also required to be registered with the Commission as Registered Representatives.

### **HOW DOES REGISTERING WITH THE COMMISSION PROTECT INVESTORS?**

The Registration process requires all registrants (issuers of securities as well as market intermediaries such as **Broker-Dealers, Investment Advisers, and Underwriters**) to provide the Commission with pertinent information regarding the registrant itself (such as background information on its operations, management and financial position) as well as any securities that the registrant intends to distribute. **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, experience, and financial requirements, and permits the registrant to conduct different activities. **The Commission ensures that the companies are genuine entities with a registered office, staffed 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 requirements of the law with respect to capital and educational qualifications, and discloses any information that may affect the conduct and integrity of his/her 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?**



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While we advise investors to deal only with registrants 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 a registrant or security.**

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.**

### **DEFINITION OF TERMS**

- ***Broker-Dealer***  
A 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.
- ***Registered Representative***  
An employee or officer of a registered Broker-Dealer, Investment Adviser or Underwriter who liaises with members of the public on behalf of their employers further to the offering, distribution or sale of securities.
- ***Reporting Issuer***  
A corporation that has issued or proposes to distribute 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.
- ***Sponsored Broker-Dealer or Sponsored Investment Adviser***  
An individual who is employed by a Brokerage firm from a foreign jurisdiction. This individual aligns himself/herself with a local Broker-Dealer or Investment Adviser who sponsors his/her registration with the Commission. A Sponsored Broker-Dealer or Sponsored



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Investment Adviser that is registered with the Commission can conduct securities business in Trinidad and Tobago for a maximum of 90 days in a calendar year.

- ***Underwriter***

A company that arranges for the issuance or distribution of securities and/or agrees to purchase any unsold securities thereby guaranteeing full subscription.

**In accordance with the requirements of Section 52(8) of the Securities Act, 2012, the Commission has provided a list of its Registrants and Self-Regulatory Organizations as at 31<sup>st</sup> March, 2020 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).



## LIST OF REGISTRANTS AS AT 31<sup>ST</sup> MARCH 2020

<b>BROKER-DEALERS</b>	
1	Admiral Limited
2	Ansa Merchant Bank Limited
3	Ansa Securities Limited
4	Bourse Brokers Limited
5	Bourse Securities Limited
6	Capital Markets Elite Group Limited
7	Caribbean Stockbrokers Limited
8	Citicorp Merchant Bank Limited
9	Development Finance Limited
10	First Citizens Bank Limited
11	First Citizens Brokerage and Advisory Services Limited
12	First Citizens Depository Services Limited
13	First Citizens Investment Services Limited
14	FirstCaribbean International Bank (Trinidad & Tobago) Limited
15	Firstline Securities Limited
16	Guardian Asset Management and Investment Services Limited
17	Guardian Group Trust Limited
18	JMMB Bank (T&T) Limited
19	JMMB Investments (Trinidad and Tobago) Limited
20	JMMB Securities (T&T) Limited
21	KCL Capital Market Brokers Limited
22	KSBM Asset Management Limited
23	Maritime Capital Limited
24	Murphy Clarke Financial Limited
25	NCB Global Finance Limited
26	RBC Investment Management (Caribbean) Limited
27	Republic Bank Limited
28	Republic Securities Limited
29	Sagicor Life Incorporated
30	Scotia Investments (Trinidad and Tobago) Limited
31	Scotiabank Trinidad and Tobago Limited
32	Sheppard Securities Limited
33	The Home Mortgage Bank
34	Trinidad and Tobago Unit Trust Corporation
35	West Indies Stockbrokers Limited



## LIST OF REGISTRANTS AS AT 31<sup>ST</sup> MARCH 2020

<b>INVESTMENT ADVISERS</b>	
<b>1</b>	Aspire Fund Management Company Limited
<b>2</b>	Burris, Stephen
<b>3</b>	Clewett, Nigel
<b>4</b>	FCL Financial Limited
<b>5</b>	First Citizens Portfolio and Investment Management Services Limited
<b>6</b>	Guardian Life of the Caribbean Limited
<b>7</b>	Marquis Portfolio Managers Limited
<b>8</b>	Mondial (Trinidad) Limited
<b>9</b>	Republic Wealth Management Limited
<b>10</b>	SEAF Caribbean Management LLC
<b>11</b>	SHBL Investments Company Limited
<b>12</b>	Waterloo Capital Advisors Limited
<b>13</b>	Williams, Aldon Philip

<b>UNDERWRITERS</b>	
<b>1</b>	RBC Merchant Bank (Caribbean) Limited

<b><u>SPONSORED BROKER-DEALERS</u></b>		
<b>NO.</b>	<b>NAME OF SPONSORED BROKER-DEALER</b>	<b>ASSOCIATED BROKER-DEALER</b>
<b>1</b>	Cusimano, Paul	Scotia Investments (Trinidad and Tobago) Limited
<b>2</b>	George, Christopher	Scotia Investments (Trinidad and Tobago) Limited
<b>3</b>	Juarez, Yuly	Scotia Investments (Trinidad and Tobago) Limited
<b>4</b>	Stollmeyer, Scott	Scotia Investments (Trinidad and Tobago) Limited
<b>5</b>	Vandewater, Thomas	Scotia Investments (Trinidad and Tobago) Limited
<b>6</b>	Ylagan, Carlo	Scotia Investments (Trinidad and Tobago) Limited



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### SPONSORED INVESTMENT ADVISERS

NO.	NAME OF SPONSORED INVESTMENT ADVISER	ASSOCIATED INVESTMENT ADVISER
1	Cugliari, Fernando	FirstCaribbean International Bank (Trinidad and Tobago) Limited
2	Jenkins, Paul	FirstCaribbean International Bank (Trinidad and Tobago) Limited

### SELF-REGULATORY ORGANISATIONS

1	The Trinidad and Tobago Central Depository Limited
2	The Trinidad and Tobago Stock Exchange Limited

### REGISTERED REPRESENTATIVES

NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER-DEALER, INVESTMENT ADVISER, OR UNDERWRITER	TYPE OF REGISTERED REPRESENTATIVE	
1	Achaiba, Anastacia	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
2	Achong, Sean	Ansa Merchant Bank Limited	Brokering
3	Akan, Myrnelle	SHBL Investments Company Limited	Advising
4	Alexander, Liesel	KCL Capital Market Brokers Limited	Advising, Brokering and Underwriting
5	Alexander, Liesel	Aspire Fund Management Company Limited	Advising
6	Alexander, Lisa Maria	JMMB Investments (Trinidad and Tobago) Limited	Brokering
7	Ali, Amanda	Republic Securities Limited	Associate
8	Ali, Christopher	First Citizens Bank Limited	Brokering
9	Ali, Salahudeen	Maritime Capital Limited	Brokering
10	Ali, Salma	West Indies Stockbrokers Limited	Brokering
11	Ali, Shan	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
12	Ali, Tennisha	First Citizens Portfolio and Investment Management Services Limited	Advising



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13	Ali-Ramkissoon, Alisa	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
14	Alleyne, Candice	Scotiabank Trinidad and Tobago Limited	Associate
15	Alleyne, Harold	Caribbean Stockbrokers Limited	Advising, Brokering and Underwriting
16	Aparicio-Owen, Talia	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
17	Armoogan, Andrea	Scotiabank Trinidad and Tobago Limited	Associate
18	Ashby, Lyndelle	KCL Capital Market Brokers Limited	Advising
19	Ashton, Chevorn	Guardian Asset Management and Investment Services Limited	Advising
20	Austin, Marsha	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
21	Avey, Richard	Guardian Life of the Caribbean Limited	Advising
22	Awai, Gary	Development Finance Limited	Advising, Brokering and Underwriting
23	Ayin, Graeme	Guardian Asset Management and Investment Services Limited	Advising and Brokering
24	Babb, Tammie	FCL Financial Limited	Advising
25	Bain, Asha	Guardian Asset Management and Investment Services Limited	Associate
26	Balgobin, Robert	KSBM Asset Management Limited	Advising and Brokering
27	Balroop, Meera	West Indies Stockbrokers Limited	Brokering
28	Baptiste, Jason	Scotiabank Trinidad and Tobago Limited	Brokering
29	Bartholomew, Tracy	Republic Bank Limited	Brokering
30	Basdeo, Anderson	Citicorp Merchant Bank Limited	Brokering
31	Basdeo, Roshan	JMMB Securities (T&T) Limited	Associate
32	Beharry, Amanda	First Citizens Investment Services Limited	Advising



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33	Beharrylal, Roshini	Scotiabank Trinidad and Tobago Limited	Associate
34	Bell-Smythe, Nicholas	Development Finance Limited	Associate
35	Bhagan, Candice	West Indies Stockbrokers Limited	Brokering
36	Bharath, Renata	Bourse Brokers Limited	Associate
37	Bissessar, Avinash	JMMB Bank (T&T) Limited	Advising, Brokering and Underwriting
38	Blackman, Mark-Anthony	JMMB Investments (Trinidad and Tobago) Limited	Associate
39	Bleasdell, Jason	KCL Capital Market Brokers Limited	Associate
40	Bobb, Sheldon	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
41	Boissiere, Andrew	RBC Merchant Bank (Caribbean) Limited	Underwriting
42	Boneo, Matthew	Scotiabank Trinidad and Tobago Limited	Associate
43	Borde-Ferreira, Sabrina	RBC Investment Management (Caribbean) Limited	Advising and Brokering
44	Bosland, Dirk	First Citizens Depository Services Limited	Brokering
45	Bridglal, Anuradha	First Citizens Bank Limited	Advising
46	Camacho, James	Sagicor Life Incorporated	Underwriting
47	Cameron, Rachael	Guardian Asset Management and Investment Services Limited	Associate
48	Carter, Tracy	Marquis Portfolio Managers Limited	Advising
49	Carvalho, Ashley	Guardian Asset Management and Investment Services Limited	Associate
50	Cassim, Marc	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
51	Chamely, Anna	Firstline Securities Limited	Advising
52	Charles, Renee	Ansa Merchant Bank Limited	Brokering
53	Chen, Nicholas	First Citizens Bank Limited	Advising





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<b>54</b>	Chin, Ian	Ansa Merchant Bank Limited	Advising and Brokering
<b>55</b>	Chin, Ian	Ansa Securities Limited	Advising and Brokering
<b>56</b>	Clarke, Andre	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
<b>57</b>	Clarke, Christopher	Scotia Investments (Trinidad and Tobago) Limited	Brokering
<b>58</b>	Clarke, John Peter	Republic Bank Limited	Underwriting
<b>59</b>	Clarke, Leslie	Murphy Clarke Financial Limited	Brokering and Underwriting
<b>60</b>	Clifton, R. Emile	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
<b>61</b>	Crooks, Victoria Marie	Sheppard Securities Limited	Brokering
<b>62</b>	Daljitsingh, Sasheka	Guardian Asset Management and Investment Services Limited	Associate
<b>63</b>	Darbasié, Karen	First Citizens Bank Limited	Brokering
<b>64</b>	Dasrathsingh, Jamie	JMMB Bank (T&T) Limited	Advising, Brokering and Underwriting
<b>65</b>	De Montrichard, Gene	Marquis Portfolio Managers Limited	Advising
<b>66</b>	Des Vignes, Michelle	KCL Capital Market Brokers Limited	Advising
<b>67</b>	Dillon, Genevieve	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
<b>68</b>	Dindial, Leanna	Guardian Asset Management and Investment Services Limited	Associate
<b>69</b>	Donaldson, Graham Duff	Mondial (Trinidad) Limited	Advising
<b>70</b>	Donaldson-Jeffrey, Amril	First Citizens Portfolio and Investment Management Services Limited	Advising
<b>71</b>	Dookie, Dave	Waterloo Capital Advisors Limited	Advising
<b>72</b>	Dookie, Saffia	First Citizens Bank Limited	Associate



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<b>73</b>	Drayton, Amichai	The Home Mortgage Bank	Advising, Brokering and Underwriting
<b>74</b>	Eligon, Michelle	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
<b>75</b>	Evans, Richard	Trinidad and Tobago Unit Trust Corporation	Brokering
<b>76</b>	Eve, Patricia Albertina	Republic Securities Limited	Associate
<b>77</b>	Fadahunsi, Lai	SHBL Investments Company Limited	Advising
<b>78</b>	Ferguson, Andrew	Maritime Capital Limited	Advising and Brokering
<b>79</b>	Ferreira, Greg	First Citizens Investment Services Limited	Brokering
<b>80</b>	Ford, Brent	Guardian Group Trust Limited	Advising, Brokering and Underwriting
<b>81</b>	Ford, Brent	Guardian Asset Management and Investment Services Limited	Advising and Brokering
<b>82</b>	Forde, Maria	Trinidad and Tobago Unit Trust Corporation	Advising
<b>83</b>	Frazer, Brian	Scotia Investments (Trinidad and Tobago) Limited	Brokering
<b>84</b>	Gajadhar, Kerry	Caribbean Stockbrokers Limited	Associate
<b>85</b>	Gajadhar, Usha	The Home Mortgage Bank	Brokering and Underwriting
<b>86</b>	Gatt, Gordon Anthony	Sheppard Securities Limited	Advising
<b>87</b>	Gayapersad, Camille	First Citizens Investment Services Limited	Associate
<b>88</b>	Gill, Sherwin M.	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
<b>89</b>	Girod, Renata	JMMB Investments (Trinidad and Tobago) Limited	Advising
<b>90</b>	Gordon, Winston Earl	Firstline Securities Limited	Associate
<b>91</b>	Gransauil, Paul-Michael	Guardian Asset Management and Investment Services Limited	Advising
<b>92</b>	Grell, Stephen	Citicorp Merchant Bank Limited	Underwriting



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<b>93</b>	Guevara, Joshua	Capital Markets Elite Group Limited	Associate
<b>94</b>	Guyadeen-Gosine, Karen	Trinidad and Tobago Unit Trust Corporation	Advising
<b>95</b>	Hackett-Murray, Desiree	Trinidad and Tobago Unit Trust Corporation	Advising
<b>96</b>	Hamel-Smith, Aliyah	Admiral Limited	Advising and Brokering
<b>97</b>	Hamel-Smith, Shane	Sheppard Securities Limited	Advising
<b>98</b>	Hay, Lee	KCL Capital Market Brokers Limited	Advising
<b>99</b>	Henry, Ornella	JMMB Investments (Trinidad and Tobago) Limited	Associate
<b>100</b>	Hepburn, Karrian	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
<b>101</b>	Hernandez, Alicia	Firstline Securities Limited	Advising, Brokering and Underwriting
<b>102</b>	Hernandez, Jody	Firstline Securities Limited	Advising and Brokering
<b>103</b>	Hill, Gregory	Ansa Merchant Bank Limited	Advising, Brokering and Underwriting
<b>104</b>	Hill, Gregory	Ansa Securities Limited	Advising and Brokering
<b>105</b>	Hilton-Clarke, Jacqueline	KCL Capital Market Brokers Limited	Advising
<b>106</b>	Holder, Omar	Trinidad and Tobago Unit Trust Corporation	Advising
<b>107</b>	Hosein, Narisa	Guardian Asset Management and Investment Services Limited	Advising, Brokering and Underwriting
<b>108</b>	Hosein, Sean	Bourse Brokers Limited	Advising
<b>109</b>	Hunte, Ricardo	Guardian Asset Management and Investment Services Limited	Advising and Brokering
<b>110</b>	Israel, Stacy	First Citizens Investment Services Limited	Advising
<b>111</b>	Jackman, Ihsan	Guardian Group Trust Limited	Advising, Brokering, Underwriting



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<b>112</b>	Jackman, Janice	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
<b>113</b>	Jadoo, Vishal	Firstline Securities Limited	Advising, Brokering and Underwriting
<b>114</b>	Jagbirsingh, Candace	RBC Merchant Bank (Caribbean) Limited	Underwriting
<b>115</b>	James, Kerron	Republic Wealth Management Limited	Advising
<b>116</b>	John, Trever	Guardian Asset Management and Investment Services Limited	Advising and Brokering
<b>117</b>	Johnson, Carolyn	Caribbean Stockbrokers Limited	Brokering
<b>118</b>	Joseph, Kyle	Scotiabank Trinidad and Tobago Limited	Associate
<b>119</b>	Joseph, Ru-Ann	First Citizens Investment Services Limited	Advising
<b>120</b>	Julien, Jason	First Citizens Bank Limited	Brokering
<b>121</b>	Kalicharan, Ramcharan	KSBM Asset Management Limited	Advising and Brokering
<b>122</b>	Kalideen, Don-Christian	Guardian Asset Management and Investment Services Limited	Associate
<b>123</b>	Katwaroo, Darren	Scotiabank Trinidad and Tobago Limited	Associate
<b>124</b>	Kelshall, Carla	Republic Wealth Management Limited	Advising
<b>125</b>	Khan, Meera	Scotiabank Trinidad and Tobago Limited	Associate
<b>126</b>	King, Adah	KCL Capital Market Brokers Limited	Associate
<b>127</b>	King, Dalia Patrice	Firstline Securities Limited	Advising, Brokering and Underwriting
<b>128</b>	King, Keith Michael	Firstline Securities Limited	Advising, Brokering and Underwriting
<b>129</b>	King, Mary	Mondial (Trinidad) Limited	Advising
<b>130</b>	King, Maxine Cheryl	Firstline Securities Limited	Advising, Brokering and Underwriting



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<b>131</b>	Klien, Ray Tristyn Burt	Republic Bank Limited	Underwriting
<b>132</b>	Lakhan, Jagdesh	Waterloo Capital Advisors Limited	Advising
<b>133</b>	Lambert, Daniel	FCL Financial Limited	Advising
<b>134</b>	Leach, Keron	The Home Mortgage Bank	Advising, Brokering and Underwriting
<b>135</b>	Leander Yeates, Lisa	Republic Securities Limited	Brokering
<b>136</b>	Leggard, Kaffi	Sheppard Securities Limited	Associate
<b>137</b>	Leons, Keron	First Citizens Investment Services Limited	Associate
<b>138</b>	Lewis, Darlene	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
<b>139</b>	Lewis, Phillip Andrew	Firstline Securities Limited	Associate
<b>140</b>	Lewis-Best, Leah	KCL Capital Market Brokers Limited	Associate
<b>141</b>	Lum Sang-De Silva, Gina	West Indies Stockbrokers Limited	Brokering
<b>142</b>	Mac Quan, Keisha	First Citizens Investment Services Limited	Advising
<b>143</b>	Maharaj, Gangadai	Scotiabank Trinidad and Tobago Limited	Associate
<b>144</b>	Maharaj, Laura	Scotiabank Trinidad and Tobago Limited	Associate
<b>145</b>	Maharaj, Melissa-Jo	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
<b>146</b>	Maharaj, Varma	First Citizens Portfolio and Investment Management Services Limited	Advising
<b>147</b>	Maingot, Danielle	Murphy Clarke Financial Limited	Advising
<b>148</b>	Majid, Fareesha	Murphy Clarke Financial Limited	Brokering
<b>149</b>	Manmohan, Adrian	West Indies Stockbrokers Limited	Brokering
<b>150</b>	Mansoor, Natalie Marie	RBC Investment Management (Caribbean) Limited	Advising and Brokering
<b>151</b>	Marajh, Adita	Guardian Asset Management and Investment Services Limited	Advising and Brokering



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<b>152</b>	Mark, Roz	Capital Markets Elite Group Limited	Advising and Brokering
<b>153</b>	Mark, Sekou	Trinidad and Tobago Unit Trust Corporation	Advising
<b>154</b>	Marrast, Madonna	First Citizens Investment Services Limited	Associate
<b>155</b>	Martinez, Miguel	Citicorp Merchant Bank Limited	Underwriting
<b>156</b>	Mathewson, David Lyle	SEAF Caribbean Management LLC	Advising
<b>157</b>	McKell, Romesh	First Citizens Investment Services Limited	Advising
<b>158</b>	Mohammed, Amani	First Citizens Investment Services Limited	Associate
<b>159</b>	Mohammed, Dwayne	Guardian Asset Management and Investment Services Limited	Advising
<b>160</b>	Mohammed, Naseeb	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
<b>161</b>	Mohammed, Nisha	FirstCaribbean International Bank (Trinidad & Tobago) Limited	Brokering and Underwriting
<b>162</b>	Mohammed, Reshard	Scotia Investments (Trinidad and Tobago) Limited	Brokering
<b>163</b>	Mohammed, Ronald	Bourse Securities Limited	Associate
<b>164</b>	Mohammed, Salisha	Guardian Asset Management and Investment Services Limited	Associate
<b>165</b>	Mohammed, Shaun	First Citizens Brokerage and Advisory Services Limited	Associate
<b>166</b>	Mohammed, Xoceketzal	First Citizens Portfolio and Investment Management Services Limited	Advising
<b>167</b>	Mohammed, Zinora	KCL Capital Market Brokers Limited	Advising
<b>168</b>	Mongroo, Nirmala	First Citizens Brokerage and Advisory Services Limited	Associate



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<b>169</b>	Monteil, Shannon	Guardian Asset Management and Investment Services Limited	Associate
<b>170</b>	Moonsammy, Vishwadai	The Home Mortgage Bank	Associate
<b>171</b>	Moore, Nichelle	Guardian Asset Management and Investment Services Limited	Associate
<b>172</b>	Morrison, Joseph	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
<b>173</b>	Mungal, Denise	Guardian Asset Management and Investment Services Limited	Advising and Brokering
<b>174</b>	Murrell, Nicole	Guardian Asset Management and Investment Services Limited	Advising and Brokering
<b>175</b>	Muzaffarr, Bibi Ruhanna	RBC Investment Management (Caribbean) Limited	Advising
<b>176</b>	Nuzum, Adrian	Sheppard Securities Limited	Associate
<b>177</b>	O'Neil Gooden, Steven	NCB Global Finance Limited	Advising, Brokering and Underwriting
<b>178</b>	Ollivierre, Cyprian James	Citicorp Merchant Bank Limited	Brokering
<b>179</b>	Oxley-Fullerton, Judy	First Citizens Depository Services Limited	Brokering
<b>180</b>	Pagee, Gillian	First Citizens Investment Services Limited	Advising
<b>181</b>	Pantin, Clarissa	West Indies Stockbrokers Limited	Associate
<b>182</b>	Pardais, Maria	First Citizens Portfolio and Investment Management Services Limited	Advising
<b>183</b>	Parrage, Ryan	Waterloo Capital Advisors Limited	Associate
<b>184</b>	Pascal, Anand	Guardian Life of the Caribbean Limited	Advising
<b>185</b>	Pasea, Christian	Sagicor Life Incorporated	Brokering
<b>186</b>	Patrick, Cole	Firstline Securities Limited	Advising, Brokering and Underwriting
<b>187</b>	Pemberton, Tiffany	Development Finance Limited	Brokering





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<b>188</b>	Pereira, Marc Richard	Sheppard Securities Limited	Advising
<b>189</b>	Perez, Adrian	Guardian Group Trust Limited	Advising, Brokering and Underwriting
<b>190</b>	Persad, Brad	JMMB Bank (T&T) Limited	Advising, Brokering and Underwriting
<b>191</b>	Persad, Savon	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
<b>192</b>	Phelps, Alesha	Sagikor Life Incorporated	Underwriting
<b>193</b>	Phillips, Joel	Guardian Group Trust Limited	Advising, Brokering and Underwriting
<b>194</b>	Pirali, Aamir	Scotiabank Trinidad and Tobago Limited	Brokering
<b>195</b>	Pollard Jnr., Duke	Capital Markets Elite Group Limited	Advising and Brokering
<b>196</b>	Pounder, Giselle	Republic Securities Limited	Brokering
<b>197</b>	Prevatt, Osmond Cleaveland	The Home Mortgage Bank	Advising, Brokering and Underwriting
<b>198</b>	Prince, Jamila	Guardian Asset Management and Investment Services Limited	Associate
<b>199</b>	Ragbir, Sana	First Citizens Brokerage and Advisory Services Limited	Brokering
<b>200</b>	Rajkumar, Keisha	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
<b>201</b>	Ramdeen, Leon	Guardian Group Trust Limited	Advising, Brokering and Underwriting
<b>202</b>	Ramirez, Roberto	Scotiabank Trinidad and Tobago Limited	Underwriting
<b>203</b>	Ramjit, Shivani	Scotiabank Trinidad and Tobago Limited	Brokering
<b>204</b>	Ramkhelawan, Sarodh	Bourse Securities Limited	Brokering
<b>205</b>	Ramkhelawan, Subhas	Bourse Securities Limited	Brokering and Underwriting
<b>206</b>	Ramkhelawan, Subhas	Bourse Brokers Limited	Brokering and Underwriting





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<b>207</b>	Ramkissoon, Baldath	Republic Bank Limited	Brokering
<b>208</b>	Ramkissoon, Dana	First Citizens Investment Services Limited	Associate
<b>209</b>	Ramlal, Dereck	First Citizens Bank Limited	Advising
<b>210</b>	Ramlal, Natasha	West Indies Stockbrokers Limited	Associate
<b>211</b>	Ramlochan, Gideon	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
<b>212</b>	Ramlochan, Sean	Guardian Asset Management and Investment Services Limited	Advising
<b>213</b>	Ramnath, Andel	The Home Mortgage Bank	Advising, Brokering and Underwriting
<b>214</b>	Ramnath-Singh, Gail	Caribbean Stockbrokers Limited	Associate
<b>215</b>	Rampartap, Rondel	JMMB Investments (Trinidad and Tobago) Limited	Associate
<b>216</b>	Rampersad-Sookah, Annecia	Scotiabank Trinidad and Tobago Limited	Associate
<b>217</b>	Ramsahai, Rickhi	West Indies Stockbrokers Limited	Associate
<b>218</b>	Ramsaran, Anrika	Sheppard Securities Limited	Associate
<b>219</b>	Ramsumair-Mohammed, Shivana	First Citizens Investment Services Limited	Advising
<b>220</b>	Ramsumair-Pustam, Cathy-Ann	Ansa Merchant Bank Limited	Advising
<b>221</b>	Rawlins Bethel, Avionne	Guardian Asset Management and Investment Services Limited	Associate
<b>222</b>	Rochard, Wayne	First Citizens Bank Limited	Associate
<b>223</b>	Rodrigues, Herman	Mondial (Trinidad) Limited	Advising
<b>224</b>	Roopchand, Alicia	JMMB Investments (Trinidad and Tobago) Limited	Advising
<b>225</b>	Sa Gomes, Chip	Admiral Limited	Advising and Brokering
<b>226</b>	Sabga, Anthony Nigel	Ansa Merchant Bank Limited	Associate
<b>227</b>	Salazar, Krystal	Scotia Investments (Trinidad and Tobago) Limited	Brokering
<b>228</b>	Salloum, Christiane Michelle	Sheppard Securities Limited	Advising



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<b>229</b>	Salvary, Brent	KSBM Asset Management Limited	Advising and Brokering
<b>230</b>	Samodee, Keisha	Ansa Merchant Bank Limited	Associate
<b>231</b>	Samuel, Joanne	First Citizens Investment Services Limited	Advising
<b>232</b>	Sankar, Randall	First Citizens Investment Services Limited	Associate
<b>233</b>	Saunders, Sean	Trinidad and Tobago Unit Trust Corporation	Brokering
<b>234</b>	Scott, Deyson	Trinidad and Tobago Unit Trust Corporation	Advising
<b>235</b>	Seebaran, Madree	Bourse Brokers Limited	Brokering
<b>236</b>	Seebrath, Shawnee	Guardian Asset Management and Investment Services Limited	Associate
<b>237</b>	Seenath, Liz	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
<b>238</b>	Seepaul, Diana	First Citizens Bank Limited	Advising
<b>239</b>	Seepersad, Bliss	Guardian Asset Management and Investment Services Limited	Advising and Brokering
<b>240</b>	Seepersad, Shane	First Citizens Investment Services Limited	Brokering
<b>241</b>	Seepersadsingh, Sheldon	Scotiabank Trinidad and Tobago Limited	Associate
<b>242</b>	Sheppard, Alan Michael	Sheppard Securities Limited	Advising
<b>243</b>	Sheppard, George David	Sheppard Securities Limited	Brokering
<b>244</b>	Silva, Loise	Guardian Asset Management and Investment Services Limited	Associate
<b>245</b>	Singh, Amit	KSBM Asset Management Limited	Advising
<b>246</b>	Singh, Dianne	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
<b>247</b>	Singh, Lillian	Scotiabank Trinidad and Tobago Limited	Advising and Brokering



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<b>248</b>	Singh, Mark	Firstline Securities Limited	Advising, Brokering, Underwriting
<b>249</b>	Somair, Sean Gregory	RBC Investment Management (Caribbean) Limited	Advising and Brokering
<b>250</b>	Sooknanan, Rishi	Citicorp Merchant Bank Limited	Brokering and Underwriting
<b>251</b>	Sookoo, Anganie	JMMB Investments (Trinidad and Tobago) Limited	Brokering
<b>252</b>	Sookoo, Anganie	JMMB Securities (T&T) Limited	Brokering
<b>253</b>	Sookoo, Jennifer	JMMB Investments (Trinidad and Tobago) Limited	Advising
<b>254</b>	St. Louis, Leslie	First Citizens Brokerage and Advisory Services Limited	Brokering
<b>255</b>	Sukhu, Rochelle	First Citizens Bank Limited	Advising
<b>256</b>	Surat Singh, Kavita	Ansa Merchant Bank Limited	Advising
<b>257</b>	Sylvester, Kristopher	Capital Markets Elite Group Limited	Advising and Brokering
<b>258</b>	Syne, Sacha	First Citizens Investment Services Limited	Brokering and Underwriting
<b>259</b>	Telesford-Pierre, Trudie	KCL Capital Market Brokers Limited	Advising
<b>260</b>	Thomas, Gary	Bourse Securities Limited	Advising
<b>261</b>	Thomas, Rowland Marc	Guardian Asset Management and Investment Services Limited	Advising, Brokering and Underwriting
<b>262</b>	Thompson, Cedric	Trinidad and Tobago Unit Trust Corporation	Brokering and Advising
<b>263</b>	Thompson, Leah Kimberley	Sheppard Securities Limited	Brokering
<b>264</b>	Tittil, Daniel	JMMB Securities (T&T) Limited	Brokering and Underwriting
<b>265</b>	Tittil, Daniel	JMMB Investments (Trinidad and Tobago) Limited	Brokering and Underwriting
<b>266</b>	Titus, Heather	FirstCaribbean International Bank (Trinidad & Tobago) Limited	Brokering and Underwriting



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<b>267</b>	Tom Yew, Katrine	Guardian Asset Management and Investment Services Limited	Advising and Brokering
<b>268</b>	Toney-Gooding, Marcia	First Citizens Depository Services Limited	Brokering
<b>269</b>	Trestrail, Robert	Sagicor Life Incorporated	Brokering
<b>270</b>	Valley, Kerwyn	KCL Capital Market Brokers Limited	Advising, Brokering and Underwriting
<b>271</b>	Valley, Kerwyn	Aspire Fund Management Company Limited	Advising
<b>272</b>	Valley, Kevin	KCL Capital Market Brokers Limited	Advising
<b>273</b>	Valley, Kieran	Aspire Fund Management Company Limited	Advising
<b>274</b>	van der Vaart, Hubertus Jan	SEAF Caribbean Management LLC	Advising
<b>275</b>	Verguet, Thomas	Firstline Securities Limited	Advising, Brokering and Underwriting
<b>276</b>	Vieira, Lisa	SHBL Investments Company Limited	Associate
<b>277</b>	Vincent, Trisha	First Citizens Investment Services Limited	Advising
<b>278</b>	Walcott, Alexia	First Citizens Investment Services Limited	Associate
<b>279</b>	Wallace, Wilfred Gregory	Mondial (Trinidad) Limited	Advising
<b>280</b>	Webster, Robert	SEAF Caribbean Management LLC	Advising
<b>281</b>	Webster-Villafana, Akisha	Trinidad and Tobago Unit Trust Corporation	Associate
<b>282</b>	Wells-Fraser, Bernadette	JMMB Securities (T&T) Limited	Associate
<b>283</b>	Westfield, Vanessa	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
<b>284</b>	Whiskey, Tennille	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering



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<b>285</b>	White, Darryl	RBC Merchant Bank (Caribbean) Limited	Underwriting
<b>286</b>	Whiteman, Sharon	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
<b>287</b>	Wilson, Jonathan	Firstline Securities Limited	Advising and Brokering
<b>288</b>	Wilson-Mano, Linda	Trinidad and Tobago Unit Trust Corporation	Advising
<b>289</b>	Woo, Brian	First Citizens Bank Limited	Underwriting
<b>290</b>	Wynter, Paul	Guardian Asset Management and Investment Services Limited	Advising and Brokering
<b>291</b>	Young, Angus Peter	NCB Global Finance Limited	Advising, Brokering and Underwriting
<b>292</b>	Youseff, Daniel	First Citizens Investment Services Limited	Advising and Underwriting
<b>293</b>	Zakour, Georgina	Sheppard Securities Limited	Associate



## LIST OF REGISTRANTS AS AT 31<sup>ST</sup> MARCH 2020

<b>REPORTING ISSUERS</b>	
<b>1</b>	Add Venture Capital Fund Limited
<b>2</b>	Agostini's Limited
<b>3</b>	Airports Authority of Trinidad and Tobago
<b>4</b>	Alignvest Acquisition II Corporation
<b>5</b>	Angostura Holdings Limited
<b>6</b>	Angostura Limited
<b>7</b>	ANSA McAL Limited
<b>8</b>	Ansa Merchant Bank Limited
<b>9</b>	Ansa Money Market Funds
<b>10</b>	BWIA West Indies Airways Limited
<b>11</b>	CIBC Private Client Fund Limited
<b>12</b>	CinemaONE Limited
<b>13</b>	Citibank (Trinidad and Tobago) Limited
<b>14</b>	Citicorp Merchant Bank Limited
<b>15</b>	Development Finance Limited
<b>16</b>	Dynamic Equity Fund II Limited
<b>17</b>	Education Facilities Company Limited
<b>18</b>	Endeavour Holdings Limited
<b>19</b>	Eppley Caribbean Property Fund Limited SCC
<b>20</b>	First Citizens Bank Limited
<b>21</b>	First Citizens Depository Services Limited
<b>22</b>	First Citizens Investment Services Limited
<b>23</b>	FirstCaribbean International Bank Limited
<b>24</b>	Flavorite Foods Limited
<b>25</b>	FNCU Venture Capital Company Limited
<b>26</b>	Furness Trinidad Limited
<b>27</b>	GraceKennedy Limited
<b>28</b>	Guardian Asset Management and Investment Services Limited
<b>29</b>	Guardian Holdings Limited
<b>30</b>	Guardian Media Limited
<b>31</b>	JMMB Bank (T&T) Limited
<b>32</b>	JMMB Group Limited
<b>33</b>	JMMB Life Goal Funds S2
<b>34</b>	L.J. Williams Limited
<b>35</b>	Massy Holdings Limited



## LIST OF REGISTRANTS AS AT 31<sup>ST</sup> MARCH 2020

<b>REPORTING ISSUERS</b>	
36	Mora Ven Holdings Limited
37	Mortgage Participation Fund
38	MPC Caribbean Clean Energy Limited
39	National Enterprises Limited
40	National Flour Mills Limited
41	National Infrastructure Development Company Limited
42	National Insurance Property Development Company Limited
43	National Investment Fund Holding Company Limited
44	National Maintenance Training and Security Company Limited
45	NCB Financial Group Limited
46	Nestle Trinidad and Tobago Limited
47	One Caribbean Media Limited
48	Point Lisas Industrial Port Development Corporation Limited
49	Port Authority of Trinidad and Tobago
50	Prestige Holdings Limited
51	Public Transport Service Corporation
52	RBC Merchant Bank (Caribbean) Limited
53	RBC Royal Bank (Trinidad and Tobago) Limited
54	Readymix (West Indies) Limited
55	Republic Bank Limited
56	Republic Financial Holdings Limited
57	Republic TT\$ Fixed Income Securities Fund
58	Royal Bank of Canada
59	Royal Skandia Life Assurance Limited
60	Sagicor Financial Corporation Limited
61	Sagicor Funds Incorporated
62	Samaan Tree Fund
63	Savinvest India Asia Fund
64	Scotia Caribbean Income Fund Inc.
65	Scotiabank Short-Term Income Fund Inc.
66	Scotiabank Trinidad and Tobago Fixed Income Fund Inc.
67	Scotiabank Trinidad and Tobago Growth Fund Inc.
68	Scotiabank Trinidad and Tobago Limited
69	St. Christopher Air and Sea Ports Authority
70	St. Kitts Urban Development Corporation Limited
71	Telecommunications Services of Trinidad and Tobago Limited
72	The Home Mortgage Bank



## LIST OF REGISTRANTS AS AT 31<sup>ST</sup> MARCH 2020

<b>REPORTING ISSUERS</b>	
<b>73</b>	The Sports Company of Trinidad and Tobago Limited
<b>74</b>	The West Indian Tobacco Company Limited
<b>75</b>	Tourism & Industrial Development Company of Trinidad & Tobago Limited
<b>76</b>	Trinidad and Tobago Housing Development Corporation
<b>77</b>	Trinidad and Tobago Mortgage Finance Company Limited
<b>78</b>	Trinidad and Tobago NGL Limited
<b>79</b>	Trinidad and Tobago Unit Trust Corporation
<b>80</b>	Trinidad Cement Limited
<b>81</b>	Unilever Caribbean Limited
<b>82</b>	Urban Development Corporation of Trinidad & Tobago Limited
<b>83</b>	UTC (Cayman) SPC Ltd
<b>84</b>	Water & Sewerage Authority