

# FORM 11

## FINANCIAL STATEMENT CERTIFICATION

Pursuant to sections 65(1) and 66(1) of the Securities Act, 2012 and By-law 3 of the Securities (General) By-Laws, 2015

<b>General Instructions:</b>	<p>This certificate must accompany the filing of all financial statements with the Commission. This certificate should be certified by the Chief Executive Officer and two (2) directors of the Registrant or SelfRegulatory Organization. Where the Chief Executive Officer is unavailable to sign the certificate, the certificate should be signed by any other duly authorized senior officer whose proof of authorization must be submitted with this form.</p> <p>The completed certificate and accompanying financial statements should be addressed to:</p> <p>The Director Disclosure Registration and Corporate Finance Trinidad and Tobago Securities and Exchange Commission 57-59 Dundonald Street Port of Spain Trinidad</p>
	<p>Insert in the relevant placeholders:</p> <ol style="list-style-type: none"><li>1. The name(s) and position(s) of the certifying officer(s). Where this Form is being submitted in respect of:<ol style="list-style-type: none"><li>a. an Interim Financial Statement, it must be certified by the Chief Executive Officer or equivalent of the Registrant or -Regulatory Self Organization; or</li><li>b. an annual comparative financial statement, it must be certified by the Chief Executive Officer and two directors of the reporting issuer;</li></ol></li><li>2. Whether the financial statements are interim financial statements or annual comparative financial statements</li><li>3. The period to which the financial statements relate</li></ol>

# FORM 11

## FINANCIAL STATEMENT CERTIFICATION

Pursuant to sections 65(1) and 66(1) of the Securities Act, 2012 and by-law 3 of the Securities (General) By-Laws, 2015

We, \_\_\_\_\_ (*identify the certifying officers, the Registrant or Self-Regulatory Organization, and their positions at the Registrant or Self-Regulatory Organization*), certify that:

We have reviewed the \_\_\_\_\_ (*state whether Interim or Annual Comparative*) financial statements, to which this certificate relates, of

\_\_\_\_\_ (*insert name of Registrant or Self-Regulatory*

*Organization*) for the period ending \_\_\_\_\_ (*state the period to which the financial statements relate*).

Based on our knowledge, the \_\_\_\_\_ (*state whether Interim or Annual Comparative*) financial statements do not contain any untrue statement of a material fact or omit a material fact required to be stated or that is necessary to make the financial statement not misleading in light of the circumstances under which it was made, with respect to the period

covered by the \_\_\_\_\_ (*state whether Interim or Annual Comparative*) financial statements.

Based on our knowledge, the \_\_\_\_\_ (*state whether Interim or Annual Comparative*) financial statements fairly present in all material respects the financial condition, results of operations and cash flows of the reporting issuer as of the date for the periods presented

in the \_\_\_\_\_ (*state whether Interim or Annual Comparative*) financial statements.

Date: \_\_\_\_\_

\_\_\_\_\_  
**Print Name**

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**Position**

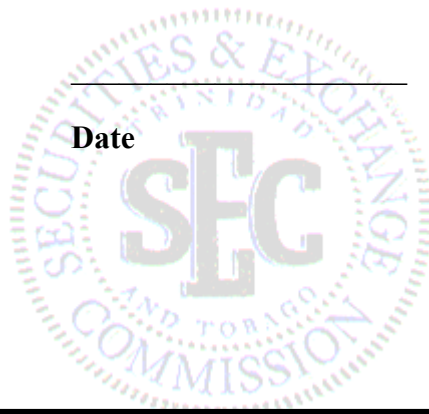
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**Date**



**FOR OFFICIAL USE ONLY**

<b>Tool</b>	<b>ID Information</b>
Registrant's Number	
Director's Number	
Document / Record Number	
Record's Management Date Received (dd/mm/yyyy)	

Approved By : \_\_\_\_\_

Date (DD/MM/YYYY) \_\_\_\_\_