



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

LIST OF REGISTRANTS AS AT 31ST MARCH 2017

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?

Registration 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 the securities being distributed. **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 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 requirement 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.** Reg-

istrants 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 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

An individual who is employed by a Brokerage firm from a foreign jurisdiction. This individual aligns himself/herself with a local Broker-Dealer who sponsors his/her registration with the Commission. A Sponsored Broker-Dealer 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 listing of its Broker-Dealers, Investment Advisers, Underwriters, Self-Regulatory Organizations and Reporting Issuers as at March 31st, 2017 as indicated on the following pages.

REGISTERED REPRESENTATIVES

NO.	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER-DEALER	TYPE OF REGISTERED REPRESENTATIVE
1	Abdool, Rayana	Guardian Asset Management and Investment Services Limited	Advising and Brokering
2	Agostini, Chantal	Guardian Asset Management and Investment Services Limited	Advising and Brokering
3	Akan, Myrnelle	SHBL Investments Company Limited	Advising
4	Alexander, Liesel	KCL Capital Market Brokers Limited	Advising, Brokering and Underwriting
5	Alexander, Lisa Maria	JMMB Investments (Trinidad and Tobago) Limited	Brokering
6	Ali, Christopher	Guardian Asset Management and Investment Services Limited	Advising and Brokering
7	Ali, Salma	West Indies Stockbrokers Limited	Brokering
8	Alleyne, Harold	Caribbean Stockbrokers Limited	Brokering and Underwriting
9	Antoine, Ru Ann	First Citizens Investment Services Limited	Advising
10	Avey, Richard	Guardian Life of the Caribbean Limited	Advising
11	Awai, Gary	Development Finance Limited	Advising, Brokering and Underwriting
12	Babb, Tammie	FCL Financial Limited	Advising
13	Bain, Asha	Guardian Asset Management and Investment Services Limited	Associate
14	Balgobin, Robert	KSBM Asset Management Limited	Advising and Brokering
15	Balroop, Meera	RBC Merchant Bank (Caribbean) Limited	Brokering
16	Basdeo, Anderson	Citicorp Merchant Bank Limited	Brokering
17	Basdeo, Roshan	JMMB Securities (T&T) Limited	Associate
18	Bell-Smythe, Nicholas	Development Finance Limited	Associate
19	Bharath, Renata	Bourse Brokers Limited	Associate
20	Bhimull, Chenise	Sheppard Securities Limited	Underwriting
21	Boissiere, Andrew	RBC Merchant Bank (Caribbean) Limited	Advising and Brokering
22	Boodram, Rodney	Guardian Asset Management and Investment Services Limited	Brokering
23	Bridgewater, Joanne Cheryl	Republic Securities Limited	Advising
24	Bridglal, Anuradha	First Citizens Bank Limited	Underwriting
25	Camacho, James	Sagcor Life Incorporated	Brokering and Underwriting
26	Carter, Ronald	JMMB Investments (Trinidad and Tobago) Limited	Brokering and Underwriting
27	Carter, Ronald	JMMB Securities (T&T) Limited	Associate
28	Castagne, John Paul C	Sheppard Securities Limited	Advising
29	Castillo-Simeon, Natalie	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
30	Chamely, Anna	Guardian Asset Management and Investment Services Limited	Brokering
31	Chang, Andrew	JMMB Investments (Trinidad and Tobago) Limited	Brokering
32	Chen, Nancy	West Indies Stockbrokers Limited	Associate
33	Chen, Nicholas	First Citizens Bank Limited	Advising
34	Chin Wing, Deneika	First Citizens Investment Services Limited	Advising and Brokering
35	Chin, Ian	Ansa Merchant Bank Limited	Advising and Brokering
36	Chin, Ian	Ansa Securities Limited	Advising and Brokering
37	Clarke, Andre	Trinidad and Tobago Unit Trust Corporation	Underwriting
38	Clarke, John Peter	Republic Bank Limited	Brokering and Underwriting
39	Clarke, Leslie	Murphy Clarke Financial Limited	Advising and Brokering
40	Clement, Esmond	Guardian Asset Management and Investment Services Limited	Advising and Brokering
41	Clifton, R. Emile	Trinidad and Tobago Unit Trust Corporation	Brokering
42	Coonai, Ryan	West Indies Stockbrokers Limited	Brokering
43	Crooks, Victoria Marie	Sheppard Securities Limited	Brokering
44	Darbasie, Karen	First Citizens Bank Limited	Advising, Brokering and Underwriting
45	Dasrathisingh, Jamie	JMMB Bank (T&T) Limited	Advising and Brokering
46	De Gale-Harry, Jisma	Trinidad and Tobago Unit Trust Corporation	Advising
47	De Montichard-Carter, Tracy	Marquis Portfolio Managers Limited	Brokering
48	De Someaux, Candice	West Indies Stockbrokers Limited	Advising and Brokering
49	Dillon, Genevieve	Trinidad and Tobago Unit Trust Corporation	Associate
50	Dindial, Leanna	Guardian Asset Management and Investment Services Limited	Underwriting
51	Dookie, Dave	First Citizens Investment Services Limited	Advising
52	Edwards, Desmond	Trinidad and Tobago Unit Trust Corporation	Brokering
53	Evans, Richard	Trinidad and Tobago Unit Trust Corporation	Associate
54	Eve, Patricia Albertina	Republic Securities Limited	Advising
55	Fadahuni, Lai	SHBL Investments Company Limited	Advising, Brokering and Underwriting
56	Ferguson, Andrew	Maritime Capital Limited	Advising
57	Ferreira, Giselle	JMMB Investments (Trinidad and Tobago) Limited	Brokering
58	Ferreira, Greg	First Citizens Asset Management Limited	Advising, Brokering and Underwriting
59	Ford, Brent	Guardian Group Trust Limited	Advising and Brokering
60	Ford, Brent	Guardian Asset Management and Investment Services Limited	Advising
61	Forde, Maria	Trinidad and Tobago Unit Trust Corporation	Brokering
62	Frazer, Brian	Scotia Investments (Trinidad and Tobago) Limited	Associate
63	Gajadhar, Kerry	Caribbean Stockbrokers Limited	Brokering and Underwriting
64	Gajadhar, Usha	The Home Mortgage Bank	Advising
65	Gatt, Gordon Anthony	Sheppard Securities Limited	Advising
66	Gill, Sherwin M.	Trinidad and Tobago Unit Trust Corporation	Brokering
67	Goliker, Amol	First Citizens Asset Management Limited	Advising, Brokering and Underwriting
68	Gooden, Steven O'Neil	NCB Global Finance Limited	Brokering and Underwriting
69	Gordon, Winston Earl	Firstline Securities Limited	Brokering
70	Gosein, Godfrey Robert	Republic Securities Limited	Associate
71	Grannum, Jonathan	Guardian Asset Management and Investment Services Limited	Advising, Brokering and Underwriting
72	Guyadeen, Michael	Firstline Securities Limited	Advising
73	Guyadeen-Gosine, Karen	Trinidad and Tobago Unit Trust Corporation	Advising
74	Hackett-Murray, Desiree	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
75	Hernandez, Alicia	Firstline Securities Limited	Advising
76	Hernandez, Judy	Firstline Securities Limited	Advising, Brokering and Underwriting
77	Hill, Gregory	Ansa Merchant Bank Limited	Advising and Brokering
78	Hill, Gregory	Ansa Securities Limited	Advising, Brokering and Underwriting
79	Hinkson, Duane	Development Finance Limited	Advising, Brokering and Underwriting

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NO.	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER-DEALER	TYPE OF REGISTERED REPRESENTATIVE
80	Ho Sing Loy, Ameen	RBC Merchant Bank (Caribbean) Limited	Brokering
81	Holder, Omar	Trinidad and Tobago Unit Trust Corporation	Advising
82	Hosam-Israël, Stacy	Guardian Asset Management and Investment Services Limited	Advising and Brokering
83	Hosein, Narisa	Guardian Asset Management and Investment Services Limited	Advising, Brokering and Underwriting
84	Howell, Brendon	Republic Bank Limited	Brokering
85	Hunte, Ricardo	Guardian Asset Management and Investment Services Limited	Advising and Brokering
86	Innis-Bernard, Judy Charis	Republic Securities Limited	Associate
87	Jackman, Janice	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
88	Jackman-Slater, Ihsan	Ansa Merchant Bank Limited	Brokering
89	Jagbirsingh, Candace	RBC Merchant Bank (Caribbean) Limited	Underwriting
90	Jagroop, Vishwatee	First Citizens Investment Services Limited	Brokering
91	James, Carolyn	Bourse Securities Limited	Brokering
92	James, Michael	Guardian Asset Management and Investment Services Limited	Associate
93	Jogie, Andy	RBC Merchant Bank (Caribbean) Limited	Brokering and Underwriting
94	Johnson, Alvin	Caribbean Stockbrokers Limited	Brokering
95	Jullien, Jason	First Citizens Bank Limited	Advising and Brokering
96	Kalicharan, Ramcharan	KSBM Asset Management Limited	Advising, Brokering and Underwriting
97	King, Dalia Patrice	Firstline Securities Limited	Advising, Brokering and Underwriting
98	King, Keith Michael	Firstline Securities Limited	Brokering and Advising
99	King, Maxine Cheryl	Firstline Securities Limited	Advising
100	Lakhan, Jagdesh	Infinity Financial Engineering Limited	Advising and Brokering
101	Lalla, Jeremy	Guardian Asset Management and Investment Services Limited	Advising
102	Lambert, Daniel	FCL Financial Limited	Associate
103	Law, Shineille	First Citizens Investment Services Limited	Advising
104	Law, Suein	Republic Wealth Management Limited	Associate
105	Leggard, Kaffi	Sheppard Securities Limited	Associate
106	Leons, Keron	First Citizens Investment Services Limited	Brokering and Underwriting
107	Lewis, Phillip Andrew	Firstline Securities Limited	Advising
108	Mac Quan, Keisha	First Citizens Investment Services Limited	Advising
109	Mahabirsingh, Margaret	First Citizens Investment Services Limited	Brokering
110	Mahabirsingh, Sherna	First Citizens Investment Services Limited	Associate
111	Maharaj, Aneela	Guardian Asset Management and Investment Services Limited	Advising
112	Maingot, Danielle	Murphy Clarke Financial Limited	Brokering
113	Majid, Fareesha	Murphy Clarke Financial Limited	Brokering
114	Manmohan, Adrian	West Indies Stockbrokers Limited	Associate
115	Manohar, Seema	Bourse Brokers Limited	Advising
116	Mansoor, Natalie Marie	RBC Investment Management (Caribbean) Limited	Advising and Brokering
117	Marajh, Adita	Guardian Asset Management and Investment Services Limited	Advising, Brokering and Underwriting
118	Marcus, Kriss	Development Finance Limited	Advising
119	Mark, Sekou	Trinidad and Tobago Unit Trust Corporation	Underwriting
120	Martinez, Miguel	Citicorp Merchant Bank Limited	Advising
121	McKell, Romesh	First Citizens Investment Services Limited	Associate
122	Mohammed, Amani	First Citizens Investment Services Limited	Associate
123	Mohammed, Camille	First Citizens Investment Services Limited	Brokering and Underwriting
124	Mohammed, Nisha	FirstCaribbean International Bank (Trinidad & Tobago) Limited	Brokering
125	Mohammed, Renshad	Scotia Investments (Trinidad and Tobago) Limited	Associate
126	Mohammed, Ronald	Bourse Securities Limited	Associate
127	Mohammed, Salisha	Guardian Asset Management and Investment Services Limited	Brokering
128	Mohammed, Shaun	First Citizens Brokerage and Advisory Services Limited	Advising
129	Mongroo, Nirmala	First Citizens Investment Services Limited	Brokering
130	Monseque, Tyrone	Capital Markets Elite Group Limited	Advising
131	Montichard, Gene	Marquis Portfolio Managers Limited	Advising
132	Moore, Carlene	First Citizens Bank Limited	Advising
133	Morris, Akhya	First Citizens Investment Services Limited	Brokering
134	Mullings, Donovan	Bourse Brokers Limited	Advising and Brokering
135	Mungal, Denise	Guardian Asset Management and Investment Services Limited	Advising and Brokering
136	Murrell, Nicole	Guardian Asset Management and Investment Services Limited	Advising
137	Oxley-Fullerton, Judy	First Citizens Asset Management Limited	Advising
138	Page, Gillian	First Citizens Investment Services Limited	Advising
139	Pascal, Anand	Guardian Life of the Caribbean Limited	Brokering
140	Pasea, Christian	Sagcor Life Incorporated	Brokering and Underwriting
141	Patrick, Cole	Firstline Securities Limited	Associate
142	Pemberton, Tiffany	Development Finance Limited	Brokering
143	Perreira, Marc Richard	Sheppard Securities Limited	Brokering
144	Persad, Mitoonlal	RBC Merchant Bank (Caribbean) Limited	Underwriting
145	Phelps, Alesha	Sagcor Life Incorporated	Advising and Brokering
146	Pollard Jr., Duke	Capital Markets Elite Group Limited	Advising and Brokering
147	Pounder, Danielle	Guardian Asset Management and Investment Services Limited	Associate
148	Prayman, Navita	First Citizens Asset Management Limited	Advising, Brokering and Underwriting
149	Prevatt, Osmond Cleaveland	The Home Mortgage Bank	Associate
150	Prince, Jamila	Guardian Asset Management and Investment Services Limited	Advising and Brokering
151	Rajkumar, Anil	Guardian Asset Management and Investment Services Limited	Advising and Brokering
152	Rajkumar, Keisha	Trinidad and Tobago Unit Trust Corporation	Advising, Brokering and Underwriting
153	Ramdeen, Leon	Guardian Group Trust Limited	Brokering
154	Ramkhalawan, Sarodh	Bourse Securities Limited	Brokering and Underwriting
155	Ramkhalawan, Subhas	Bourse Securities Limited	Brokering and Underwriting
156	Ramkhalawan, Subhas	Bourse Brokers Limited	Brokering
157	Ramkissoon, Baldath	Guardian Asset Management and Investment Services Limited	Advising
158	Ramlakhan, Prakash	Republic Bank Limited	Advising
		Infinity Financial Engineering Limited	Advising

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NO.	NAME OF REGISTERED REPRESENTATIVE	ASSOCIATED BROKER-DEALER	TYPE OF REGISTERED REPRESENTATIVE
159	Ramlal, Dereck	First Citizens Bank Limited	Advising
160	Ramlogan, Rawle	The Home Mortgage Bank	Advising, Brokering and Underwriting
161	Rammoth-Singh, Gail	Caribbean Stockbrokers Limited	Associate
162	Ramroop, Dariana	First Citizens Investment Services Limited	Advising
163	Ramsahai, Rickhi	West Indies Stockbrokers Limited	Brokering
164	Rawlins Bethel, Aivonne	Guardian Asset Management and Investment Services Limited	Associate
165	Roberts, Steve	Republic Wealth Management Limited	Advising
166	Rochard, Wayne	First Citizens Bank Limited	Associate
167	Roochand, Alicia	JMMB Investments (Trinidad and Tobago) Limited	Advising
168	Sabga, Anthony Nigel	Ansa Merchant Bank Limited	Associate
169	Salazar, Krystal	Scotia Investments (Trinidad and Tobago) Limited	Brokering
170	Salloum, Christiane Michelle	Sheppard Securities Limited	Advising
171	Salvary, Brent	KSBM Asset Management Limited	Advising and Brokering
172	Samodee, Keisha	First Citizens Investment Services Limited	Associate
173	Samour, Joanne	First Citizens Asset Management Limited	Advising
174	Saunders, Sean	Trinidad and Tobago Unit Trust Corporation	Brokering
175	Scott, Deyson	Trinidad and Tobago Unit Trust Corporation	Advising
176	Seebraith, Shawnee	Guardian Asset Management and Investment Services Limited	Associate
177	Seepaul, Diana	First Citizens Bank Limited	Advising
178	Seepersad, Bliss	Guardian Asset Management and Investment Services Limited	Advising and Brokering
179	Seepersad, Shane	First Citizens Investment Services Limited	Brokering
180	Shah, Reaaz	JMMB Bank (T&T) Limited	Advising, Brokering and Underwriting
181	Sheppard, Alan Michael	Sheppard Securities Limited	Advising
182	Sheppard, George David	Sheppard Securities Limited	Brokering
183	Silva,Loise	Guardian Asset Management and Investment Services Limited	Associate
184	Singh, Gia	First Citizens Investment Services Limited	Advising
185	Smith, Karen	Infinity Financial Engineering Limited	Advising
186	Somair, Sean	RBC Investment Management (Caribbean) Limited	Advising
187	Sookdeoisingh, Vicky	Guardian Asset Management and Investment Services Limited	Advising and Brokering
188	Sooknandan, Rishi	Citicorp Merchant Bank Limited	Brokering
189	Sookoo, Anganie	JMMB Investments (Trinidad and Tobago) Limited	Brokering
190	Sookoo, Jennifer	JMMB Investments (Trinidad and Tobago) Limited	Advising
191	St. Louis, Leslie	First Citizens Brokerage and Advisory Services Limited	Brokering
192	Stephens, Gerard	JMMB Investments (Trinidad and Tobago) Limited	Brokering
193	Sukhu, Rochelle	First Citizens Bank Limited	Advising
194	Tang Nian, Stephen	RBC Merchant Bank (Caribbean) Limited	Brokering
195	Telesford-Pierre, Trudie	KCL Capital Market Brokers Limited	Advising
196	Thomas, Rowland Marc	Guardian Asset Management and Investment Services Limited	Advising, Brokering and Underwriting
197	Thomas, Stephen	Citicorp Merchant Bank Limited	Brokering and Underwriting
198	Thompson, Leah Kimberley	Sheppard Securities Limited	Brokering
199	Titus, Heather	FirstCaribbean International Bank (Trinidad & Tobago) Limited	Brokering and Underwriting
200	Tom Yew, Katrine	Guardian Asset Management and Investment Services Limited	Advising and Brokering
201	Trestail, Robert	Sagcor Life Incorporated	Brokering
202	Valley, Kerwyn	KCL Capital Market Brokers Limited	Advising, Brokering and Underwriting
203	Valley, Kurt	First Citizens Asset Management Limited	Brokering
204	Van Lowe, Amoy	Trinidad and Tobago Unit Trust Corporation	Advising
205	Verguet, Thomas	Firstline Securities Limited	Advising, Brokering and Underwriting
206	Vieira, Lisa	SHBL Investments Company Limited	Associate
207	Vincent, Trisha	First Citizens Asset Management Limited	Advising
208	Wears, Jacqueline	KCL Capital Market Brokers Limited	Advising
209	Webster-Villafana, Akisha	Trinidad and Tobago Unit Trust Corporation	Associate
210	Wells-Fraser, Bernadette	JMMB Securities (T&T) Limited	Brokering
211	Whiskey, Tennille	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
212	Whiteman, Sharon	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
213	Wilson, Jonathan	Firstline Securities Limited	Advising, Brokering and Underwriting
214	Wilson-Mano, Linda	Trinidad and Tobago Unit Trust Corporation	Advising
215	Woo, Brian	First Citizens Bank Limited	Underwriting
216	Wynter, Paul	Guardian Asset Management and Investment Services Limited	Advising and Brokering
217	Young, Angus Peter	NCB Global Finance Limited	Advising, Brokering and Underwriting
218	Youseff, Daniel	First Citizens Investment Services Limited	Advising

BROKER-DEALERS

1	Ansa Merchant Bank Limited
2	Ansa Securities Limited
3	Bourse Brokers Limited
4	Bourse Securities Limited
5	Capital Markets Elite Group Limited
6	Caribbean Stockbrokers Limited
7	Citicorp Merchant Bank Limited
8	Development Finance Limited
9	First Citizens Asset Management Limited
10	First Citizens Bank Limited
11	First Citizens Brokerage and Advisory Services Limited
12	First Citizens Investment Services Limited
13	FirstCaribbean International Bank (Trinidad & Tobago) Limited
14	Firstline Securities Limited
15	Guardian Asset Management and Investment Services Limited
16	Guardian Group Trust Limited
17	JMMB Bank (T&T) Limited
18	JMMB Investments (Trinidad and Tobago) Limited
19	JMMB Securities (T&T) Limited
20	KCL Capital Market Brokers Limited
21	KSBM Asset Management Limited
22	Maritime Capital Limited
23	