



MMRF Presentation

JUNE 13TH 2017

YARA AUDITORIUM, ARTHUR LOK JACK GRADUATE SCHOOL OF BUSINESS

Overview

- ❑ TTSEC Review of MMRF forms
- ❑ Errors
- ❑ Initiatives to Address Issues
- ❑ Current and Future Submissions
- ❑ Upload Platform Guidance
- ❑ Communication on MMRF
- ❑ Questions
- ❑ Closing Remarks

TTSEC Review of MMRF Forms

- All Submissions validated
- Repeated errors
 - Large number of resubmissions
 - Skewing data
- Large Submissions/Resubmissions not received within timelines
- Accuracy of data submitted is the responsibility of the registrant
 - TTSEC will not be amending registrant submissions

Upload Platform

Issues – Upload Platform

All fields marked with an asterisk (*) are required.

Month *

Please select end of quarter month.

September

Year *

Please select end of quarter year.


2016

Registrant Name *

XYZ Limited

Registrant MMRF Submissions *



Uploaded file must be of type xlsx.



thealphabet

File name: TheAlphabetCompany_2017-06-12_12-01-04.xlsx

File size: 832 KB



Cover Sheet



Drop down list not utilised.

In some instances registrants created their own list of items.

Name of Reporting Entity	The Alphabet Company Limited
Type of Reporting Entity	CIS
Relevant Date of Report	
Name of Senior Officer Reporting	Frank Bobb
Date Report Made	
Number of Clients	6,501.25
Group Affiliation	None
Exchange Rate USD	
Where Applicable:	
Name of CIS	
Name of CIS Manager	
Reporting Currency	TTD

NB - Information must be presented on an unconsolidated basis.



If reporting entity is a CIS, the name of the reporting entity must be the name of the CIS manager and the type of reporting entity must be CIS.

Name of Reporting Entity	The Alphabet Company Limited
Type of Reporting Entity	CIS
Relevant Date of Report	
Name of Senior Officer Reporting	Frank Bobb
Date Report Made	
Number of Clients	6,501.25
Group Affiliation	Financial Group
Exchange Rate USD	
Where Applicable:	
Name of CIS	
Name of CIS Manager	
Reporting Currency	TTD

NB - Information must be presented on an unconsolidated basis.



Not all required fields are populated.

Name of Reporting Entity	The Alphabet Company Limited
Type of Reporting Entity	CIS
Relevant Date of Report	
Name of Senior Officer Reporting	Frank Bobb
Date Report Made	
Number of Clients	6,501.25
Group Affiliation	Financial Group
Exchange Rate USD	
Where Applicable:	
Name of CIS	
Name of CIS Manager	
Reporting Currency	TTD

NB - Information must be presented on an unconsolidated basis.



Only information related to the reporting entity should be reflected on the Cover Sheet

Name of Reporting Entity	The Alphabet Company Limited
Type of Reporting Entity	Broker-Dealer
Relevant Date of Report	30-Sep-16
Name of Senior Officer Reporting	Matt Collinghan
Date Report Made	Tuesday, 29 November 2016
Number of Clients	
Group Affiliation	Bank Group
Exchange Rate USD	6.6508
Where Applicable:	
Name of CIS	FeatherMountains Money Market CDS Fund
Name of CIS Manager	TTHL Securities Limited
Reporting Currency	USD

NB - Information must be presented on an unconsolidated basis.



Balance Sheet (MMRF 01)

The "Unappropriated earnings/loss in current period" within the balance sheet must agree with the income statement.

140 Capital **BALANCE SHEET (MMRF 01)**

1401 Ordinary Shares	9,876.00	
1402 Amounts due to Unit holders	-	
1403 Share Premium	-	
1404 Preference shares	-	
1405 Revaluation and other non distributable reserves	7,654.00	
1406 Retained earnings in previous years	87,654.00	
1407 Unappropriated earnings/loss in current year	1,238.00	
1408 TOTAL CAPITAL	106,422.00	
150 TOTAL LIABILITIES AND CAPITAL	38,641,285.85	

INCOME STATEMENT (MMRF 02)

	25,318,332.00	
2210 Extraordinary items (before tax)	-	
2211 TOTAL EXPENSES	25,318,332.00	
230 EARNINGS/(LOSS) BEFORE TAX	3,042,218.00	
240 Tax	(26,362.59)	
250 Distributions	-	
260 UNAPPROPRIATED EARNINGS/(LOSS)	3,068,580.59	

Inaccurate completion of the notes section

BALANCE SHEET MMRF 01

1015	Other	1	11,878.91	
			12,520,668.83	
102	Cash and Cash equivalents			
1021	Held within T&T (converted to TT\$)		74,653.00	
1022	Held outside T&T (converted to TT\$)	2	12,758.00	
			87,411.00	
103	Loans		-	
104	Amounts due from Related Parties		119,476.34	
105	Other current assets	3	-	
106	TOTAL CURRENT ASSETS		12,727,556.17	
107	Securities			
1071	Securities not assigned to repos (from Securities Portfolio)		2,784,072.42	
1072	Securities assigned to repos (from Repo Portfolio Form)		75,320.00	
108	TOTAL SECURITIES		2,859,392.42	
109	Non-Current Assets			
1091	Fixed Assets		86.77	
1092	Loans		-	
1093	Intangible Assets		-	
1094	Investments in Subsidiaries and Associated Companies		110,487.34	
1095	Other Non-Current Assets	4	-	
110	TOTAL NON-CURRENT ASSETS		110,574.11	
111	TOTAL ASSETS		15,697,522.70	

NOTES TO THE ACCOUNTS

Provide notes to the relevant accounts

1 Rebates 11,878.91

2 DBS Vickers 12,758.00

3 Prepaid Expenses 558,361.00
 Accounts 7,426.00
 Receivable 1,891,031.00
 Savinvest 2,503,799.00
 Dividends 80.00
 Deferred Taxes 81,085.00
 Corporation Taxes 1,752,993.00

4



Text is included in some line items.

BALANCE SHEET (MMRF 01)

			Converted
NOTES	TOTAL	TT\$	US\$
100 ASSETS	TT\$		
Current Assets other than securities			
101 Trade Debtors			
1011 TT Banks	1,567,890,765.00	1,567,890,765.00	
1012 Foreign Banks	-		
1013 Other Financial Institutions	39,032,335.00	39,032,335.00	Not Applicable
1014 Clients	-		

Balance Sheet Line item # 1071 and Securities Portfolio Line # 4015 must agree

BALANCE SHEET (MMRF 01) LINE 1071

107	Securities		
1071	Securities not assigned to repos (from Securities Portfolio Form)		35240975,306.00
1072	Securities assigned to repos (from Repo Portfolio Form)		-
108	TOTAL SECURITIES		35240975,306.00
109	Non-Current Assets		
1091	Fixed Assets		-
1092	Loans		-
1093	Intangible Assets		-
1094	Investments in Subsidiaries and Associated Companies		-
1095	Other Non-Current Assets	4	-

SECURITIES PORTFOLIO (MMRF 04) LINE 4015

4015	Total Securities Not Assigned To Repos	10230744,739.00
4016	Portfolio Duration	

Balance Sheet Line item # 1072 and Repo Portfolio Assets Line # 5015 must agree

BALANCE SHEET (MMRF 01) LINE 1072

107	Securities		
1071	Securities not assigned to repos (from Securities Portfolio Form)		35240975,306.00
1072	Securities assigned to repos (from Repo Portfolio Form)		-
108	TOTAL SECURITIES		35240975,306.00
109	Non-Current Assets		
1091	Fixed Assets		-
1092	Loans		-
1093	Intangible Assets		-
1094	Investments in Subsidiaries and Associated Companies		-
1095	Other Non-Current Assets	4	-

REPO PORTFOLIO (MMRF 05) LINE 5015

REPO ASSETS (SECURITIES ASSIGNED TO REPOS)		
Category of Security	Name of Issuer	VALUE (TT\$)
SHOULD YOU REQUIRE ADDITIONAL SPACE PLEASE ADD ROWS AS NEEDED PLEASE ENSURE THE VALUE COLUMN REFLECTS YOUR ACTUAL PORTFOLIO		
5015	TOTAL PORTFOLIO	6,776,098.00

Balance Sheet Line item # 1228 and Repo Portfolio Liabilities Line # 5015 and Repo Activity Summary Line # 6300 must agree

BALANCE SHEET (MMRF 01) LINE 1228

1223	Other financial institutions	-
1224	Insurance	-
1225	Pension Funds	-
1226	Retail	-
1227	Other Corporate	6
1228	Total Repo Liabilities	-
123	Amounts due to Related Parties	65432,109.00
124	Non-bank Loans	-
125	Other Current Liabilities	7
126	TOTAL CURRENT LIABILITIES	66419,763.00
127	Bank Loans	
1271	Secured Bank Loans (domestic)	-
1272	Unsecured Bank Loans (domestic)	-

REPO PORTFOLIO (MMRF 05) LINE 5015

Category of Security	Name of Issuer	VALUE (TT\$)
SHOULD YOU REQUIRE ADDITIONAL SPACE PLEASE ADD ROWS AS NEEDED PLEASE ENSURE THE VALUE COLUMN REFLECTS YOUR ACTUAL PORTFOLIO		
5015	TOTAL PORTFOLIO	6,776,098.00

REPO ACTIVITY SUMMARY (MMRF 06) LINE 6300

6102	Repos fully encashed (Before Maturity)	244,545.00	5656,556.00
6103	Repos partially encashed (Before Maturity)	0.00	0.00
6104	Repos rolled over (reinvested in repos)	65655,555.00	57676,766.00
6200	New repos opened	0.00	0.00
6300	Position at end of period	119337,884.00	57679,536.00

Balance Sheet does not balance by material amounts in some instances.

BALANCE SHEET (MMRF 01) ASSETS

109	Non-Current Assets	
1091	Fixed Assets	86.77
1092	Loans	-
1093	Intangible Assets	-
1094	Investments in Subsidiaries and Ass	110,487.34
1095	Other Non-Current Assets	4
110	TOTAL NON-CURRENT ASSETS	110,574.11
111	TOTAL ASSETS	15,697,522.70

BALANCE SHEET LIABILITIES AND CAPITAL (MMRF 01)

130	TOTAL LIABILITIES	66419,763.00
140	Capital	
1401	Ordinary Shares	-
1402	Amounts due to Unit holders	599864,523.00
1403	Share Premium	-
1404	Preference shares	-
1405	Revaluation and other non distributable reserves	-
1406	Retained earnings in previous years	976523,789.00
1407	Unappropriated earnings/loss in current year	(61,926.08)
1408	TOTAL CAPITAL	1576326,385.92
150	TOTAL LIABILITIES AND CAPITAL	1642746,148.92

The Client Assets Managed section of the Balance Sheet is not being completed

160	CLIENT ASSETS MANAGED			
1601	TT Government and Government ed	-		
1602	TT Government Eurobonds	-		
1603	TT Bonds Financial Sector	-		
1604	TT Other Corporate Bonds	-		
1605	TT Equity	-		
1606	TT CISs (Mutual funds)	-		
1607	Foreign CISs (Mutual funds)	-		
1608	Foreign Government Securities	-		
1609	Foreign Non-government Securities	-		
1610	Foreign Equity	-		
1611	Cash and cash equivalents	-		
1612	Reverse Repos	-		
1613	Other assets (not covered)	-		9
1614	TOTAL CLIENT ASSETS	-		

834,654.00	55,768.00	778,886.00	
523,356.00		523,356.00	
624,443.00	56,565.00		567,878.00
23965,198.00	23000,089.00	965,109.00	
86542,543.00	86542,543.00		
6738009,876.00	6738009,876.00		
65190871,287.00		65190871,287.00	
90.00		90.00	
6321,918.00		5668,009.00	653,909.00
1089744,030.00		1089744,030.00	
53805,563.00	45465,657.00	450,097.00	7889,809.00
99354,971.00	99009,873.00	345,098.00	
2,455.90	2,455.00		0.90
73290600,384.90			

Balance Sheet- CIS (MMRF 01)

All unitholder funds of a CIS should be presented as “amounts due to unitholders”

130	TOTAL LIABILITIES	66419,763.00
140	Capital	
1401	Ordinary Shares	-
1402	Amounts due to Unit holders	599864,523.00
1403	Share Premium	-
1404	Preference shares	-
1405	Revaluation and other non distributable reserves	-
1406	Retained earnings in previous years	976523,789.00
1407	Unappropriated earnings/loss in current year	(61,926.08)
1408	TOTAL CAPITAL	1576326,385.92
150	TOTAL LIABILITIES AND CAPITAL	1642746,148.92

A CIS balance sheet must not have any information under "Client Assets Managed"

160 CLIENT ASSETS MANAGED

1601 TT Government and Government equivalent securities

1602 TT Government Eurobonds

1603 TT Bonds Financial Sector

1604 TT Other Corporate Bonds

1605 TT Equity

1606 TT CISs (Mutual funds)

1607 Foreign CISs (Mutual funds)

1608 Foreign Government Securities

1609 Foreign Non-government Securities

1610 Foreign Equity

1611 Cash and cash equivalents

1612 Reverse Repos

1613 Other assets (not covered above)

1614 TOTAL CLIENT ASSETS

9

834,654.00	55,768.00	778,886.00	
523,356.00		523,356.00	
624,443.00	56,565.00		567,878.00
23965,198.00	23000,089.00	965,109.00	
86542,543.00	86542,543.00		
6738009,876.00	6738009,876.00		
65190871,287.00		65190871,287.00	
90.00		90.00	
6321,918.00		5668,009.00	653,909.00
1089744,030.00		1089744,030.00	
53805,563.00	45465,657.00	450,097.00	7889,809.00
99354,971.00	99009,873.00	345,098.00	
2,455.90	2,455.00		0.90
73290600,384.90			

Cash held in CIS' portfolios should be included in the balance sheet and not in the CIS portfolio form.

BALANCE SHEET (MMRF 01)

102	Cash and Cash equivalents		
1021	Held within T&T (converted to TT\$)		98765,253.00
1022	Held outside T&T (converted to TT\$)	2	-
			98765,253.00
103	Loans		-
104	Amounts due from Related Parties		-
105	Other current assets	3	473,797.00
106	TOTAL CURRENT ASSETS		1706162,150.00

CIS PORTFOLIO (MMRF 03)

3015	Other Assets	
	Barclay's Account	8021,723.00
	Swedish Bank Group	89760,972.00
		-
		-
		97782,695.00
3016	TOTAL PORTFOLIO	2622894,741.65
3017	Portfolio Duration	

Balance Sheet Line item # 1071 and CIS Portfolio Line # 3016 must agree

BALANCE SHEET (MMRF 01) LINE 1071

107	Securities		
1071	Securities not assigned to repos (from Securities Portfolio Form)		35240975,306.00
1072	Securities assigned to repos (from Repo Portfolio Form)		-
108	TOTAL SECURITIES		35240975,306.00
109	Non-Current Assets		
1091	Fixed Assets		-
1092	Loans		-
1093	Intangible Assets		-
1094	Investments in Subsidiaries and Associated Companies		-
1095	Other Non-Current Assets	4	-

CIS PORTFOLIO (MMRF 03) LINE 3016

		-	97,782,695.00
3016	TOTAL PORTFOLIO	-	2,622,894,741.65
3017	Portfolio Duration		
		VALUE\$	Non-Resident (Converted to TT\$)

Income and Expenditure Form (MMRF 02)

Reporting entities are not populating the required notes section

212	Dividend Income		709,550.00
213	Dividend Income (Subsidiary and Affiliates)		-
214	Other Income	1	239,000.00
215	TOTAL INCOME		28,360,550.00
220	EXPENDITURE		
2201	Staff related expenses		17,899,999.00
2202	Brokerage and commission paid		-
2203	Net decrease in value of securities		-
2204	Impairment Loss		-
2205	Interest Expense (non-repo)		45,675.00
2206	Repo interest paid		7,224,768.00
2207	Other Operating expenses		147,890.00
2208	Other expenses	2	-
2209	Net loss on foreign currency translation		-

SHOULD YOU REQUIRE ADDITIONAL SPACE PLEASE ADD ROWS AS NEEDED

NOTES TO THE ACCOUNTS

Provide notes to the relevant accounts

1

2

CISs should report management fees, trustee fees etc. in “Other expenses” (line code 2208). Accompanying notes for this line item must be provided.

213	Dividend Income (Subsidiary and Affiliates)		-
214	Other Income	1	239,000.00
215	TOTAL INCOME		28,360,550.00
220	EXPENDITURE		
2201	Staff related expenses		17,899,999.00
2202	Brokerage and commission paid		-
2203	Net decrease in value of securities		-
2204	Impairment Loss		-
2205	Interest Expense (non-repo)		45,675.00
2206	Repo interest paid		7,224,768.00
2207	Other Operating expenses		147,890.00
2208	Other expenses	2	27,169.00
2209	Net loss on foreign currency translation		-
			25,345,501.00
2210	Extraordinary items (before tax)		-
2211	TOTAL EXPENSES		25,345,501.00

SHOULD YOU REQUIRE ADDITIONAL SPACE PLEASE ADD ROWS AS NEEDED

NOTES TO THE ACCOUNTS

Provide notes to the relevant accounts

1	Other Income	218,814.00
	Gain on	
	Disposal of	
	Investment	66,734.00
		285,548.00
2	management	
	fees	16,900.00
	trustee fees	1,256.00
	other expenses	9,013.00
		27,169.00

Text items are included in some line items.

220 EXPENDITURE

2201 Staff related expenses
 2202 Brokerage and commission paid
 2203 Net decrease in value of securities
 2204 Impairment Loss
 2205 Interest Expense (non-repo)
 2206 Repo interest paid
 2207 Other Operating expenses
 2208 Other expenses
 2209 Net loss on foreign currency translation

2

-		
-		
4376,316.00	54329	4321987
-		
-		Not applicable
-		
6,532.00	6532	
87,642.00	87642	
-	Not Applicable	
4470,490.00		
-		
4470,490.00		

2210 Extraordinary items (before tax)

2211 TOTAL EXPENSES

Portfolio Forms



CIS Portfolio (MMRF 03): Matured Securities were included in the portfolio.

Category of Security	Name of Issuer	Maturity Date (dd/mm/yyyy)
SHOULD YOU REQUIRE ADDITIONAL SPACE PLEASE ADD ROWS AS NEEDED PLEASE ENSURE THE VALUE COLUMN REFLECTS YOUR ACTUAL PORTFOLIO		
3004 TT Government Eurobonds		
	GORTT	Friday, 01 January 2010

CIS Portfolio (MMRF 03): NAVs not identified as fixed or floating.

	Non-Resident (Converted to TT\$)
3018 Total Subscriptions (\$) for Quarter End (excluding reinvestment of distributions)	
3019 Total Subscriptions (\$) for Quarter End (related to reinvestments of distributions)	
3020 Total Redemptions (\$) for Quarter End	
3021 Net Encashment	
3022 Net Assets of Fund at Quarter End (Converted to TT\$)	12,376,129.06
3023 Number of Units at Quarter End	583,763.34
3024 Fixed or Floating NAV	
3025 NAV Per Unit	-
3026 CIS Yield/Interest rate at Quarter End	2%
3027 If Fixed NAV Fund, state Fixed NAV per unit (Converted to TT\$)	

CIS Portfolio (MMRF 03): Data entered is not consistent with the format type of the columns

Category of Security	Name of Issuer	Coupon	Type	Valuation Category
SHOULD YOU REQUIRE ADDITIONAL SPACE PLEASE ADD ROWS AS NEEDED PLEASE ENSURE THE VALUE COLUMN REFLECTS YOUR ACTUAL PORTFOLIO				
3007 TT Equity				
	CRAFT SHARES	n/a	Not Applicable	Level 1
	MAPLE LEAF		Not Applicable	Level 1
	RANDY		Not Applicable	Level 1
	ANGELAR		Not Applicable	Level 1
	FACELESS		Not Applicable	Level 1

CIS Portfolio (MMRF 03), Securities Portfolio (MMRF 04), Repo Portfolio (MMRF 05): Drop down menus, categorisation and valuation categories

Category of Security	Name of Issuer	Coupon	Type	Valuation Category
SHOULD YOU REQUIRE ADDITIONAL SPACE PLEASE ADD ROWS AS NEEDED				
PLEASE ENSURE THE VALUE COLUMN REFLECTS YOUR ACTUAL PORTFOLIO				
001 TT Government Securities	Republic of Trinidad & Tobago		Fixed Rate	1
	Republic of Trinidad & Tobago	2.00		
	Republic of Trinidad & Tobago	n/a	Not Applicable	Level 2
	Republic of Trinidad & Tobago	3.75	Floating Rate	
	Petrotrin	3.00	Fixed Rate	Level 2

CIS Portfolio (MMRF 03), Securities Portfolio (MMRF 04), Repo Portfolio (MMRF 05): Incomplete details for securities in the portfolio.

Name of Issuer	Coupon	Type	Valuation Category	ISIN/CUSIP (if app)	Maturity Date (dd/mm/yyyy)	Number of units
ACTUAL PORTFOLIO						
Republic of Trinidad & Tobago			1	TTD000000990		171,000.00
Republic of Trinidad & Tobago	2.00			TTD000000101	Sunday, 30 November 2025	170,000.00

Repo Forms



Repo Portfolio (MMRF 05), Repo Activity Summary (MMRF 06): Repo liabilities held by foreign clients

REPO PORTFOLIO FORM (MMRF 05)

5015 TOTAL PORTFOLIO	67,969.00	43556,657.00	43624,626.00
5016 Foreign Clients	From the total above		624,814.00
5017 Portfolio Duration			9.19
Exchange Rate USD			

Consists of Foreign
Clients

REPO ACTIVITY SUMMARY (MMRF 06)

	Total	
	Local	Foreign
6000 At start of period	53738,985.00	779,446.00
6100 Repos maturing in period	56,656.00	776,676.00
6101 Repos fully encashed (At Maturity)	0.00	0.00
6102 Repos fully encashed (Before Maturity)	244,545.00	5656,556.00
6103 Repos partially encashed (Before Maturity)	0.00	0.00
6104 Repos rolled over (reinvested in repos)	65655,555.00	57676,766.00
6200 New repos opened	0.00	0.00
6300 Position at end of period	119337,884.00	57679,536.00

Repo Activity Summary (MMRF 06)

INCORRECT

	Number of contracts	
	Local	Foreign
6000 At start of period	60.00	
6100 Repos maturing in period	36.00	
6101 Repos fully encashed (At Maturity)	10.00	
6102 Repos fully encashed (Before Maturity)	0.00	
6103 Repos partially encashed (Before Maturity)	0.00	
6104 Repos rolled over (reinvested in repos)	40.00	
6200 New repos opened	6.00	
6300 Position at end of period	70.00	0.00
6400 Repo Rollover Ratios	111%	

CORRECT

	Number of contracts	
	Local	Foreign
6000 At start of period	60.00	
6100 Repos maturing in period	50.00	
6101 Repos fully encashed (At Maturity)	10.00	
6102 Repos fully encashed (Before Maturity)	0.00	
6103 Repos partially encashed (Before Maturity)	0.00	
6104 Repos rolled over (reinvested in repos)	40.00	
6200 New repos opened	6.00	
6300 Position at end of period	56.00	0.00
6400 Repo Rollover Ratios	80%	



Repo Transactions (MMRF 07): Only transactions for the relevant reporting period should be included.

			Collateral			
	Repurchase Date (dd/mm/yyyy)	Repo Interest Rate %	Name of Issuer	Coupon	Maturity Date (dd/mm/yyyy)	Type
Converted to TT\$						
2,500,000.00	Wednesday, 15 June 2016	3%	GORTT	3.20%	Wednesday, 12 June 2030	Fixed Rate
1,500,000.00	Wednesday, 29 June 2016	3%	Petrorin	4.00%	Wednesday, 12 June 2030	Fixed Rate
200,000.00	Thursday, 15 September 2016	3%	HMB	3.20%	Thursday, 18 January 2024	Fixed Rate
800,000.00	Friday, 16 September 2016	3%	GORTT	1.20%	Wednesday, 12 June 2030	Fixed Rate
5,094,032.22	Saturday, 17 September 2016	3%	GORTT	1.20%	Wednesday, 12 June 2030	Fixed Rate
2,000,000.00	Sunday, 18 September 2016	3%	Bank of T&T	1.20%	Thursday, 11 August 2022	Fixed Rate
5,000,000.00	Monday, 19 September 2016	2%	GORTT	1.20%	Wednesday, 12 June 2030	Not Applicable

Repo Transactions (MMRF 07): Overall average repo rate was not inputted.

	Client ID	Transaction ID	Indicate if pledged (Yes/No)	Currency (TT, US, etc)	Type of Contract (New/Rollover)
7000		ttsec-6	No	TT	New
		ttsec-7	No	TT	New
		ttsec-8	No	TT	Rollover
		ttsec-9	No	US	Rollover
		ttsec-10	No	TT	New
		ttsec-11	No	US	Rollover
Total Repo Transactions					
SHOULD YOU REQUIRE ADDITIONAL SPACE PLEASE ADD ROWS AS NEEDED					
7009	Overall Ave Repo Rate (weighted average cost of funding)				<div style="border: 2px solid red; width: 100px; height: 80px; margin: 0 auto;"></div>

Repo Transactions (MMRF 07): Treatment of Repos with multiple collateral securities

DATA DRAWN FROM TRADE CONFIRMATIONS			Collateral				
Transaction ID	Purchase amount \$	Repurchase amount \$	Name of Issuer	Coupon	Maturity Date (dd/mm/yyyy)	Type	ISIN if applicable
	In original currency	In original currency					
ttsec-1	10,000,000.00	12,000,000.00	GORTT	3.20%	Wednesday, 12 June 2030	Fixed Rate	
			HMB	3.75%	Thursday, 18 January 2024	Fixed Rate	

DATA DRAWN FROM TRADE CONFIRMATIONS			Collateral				
Transaction ID	Purchase amount \$	Repurchase amount \$	Name of Issuer	Coupon	Maturity Date (dd/mm/yyyy)	Type	ISIN if applicable
	In original currency	In original currency					
ttsec-1	10,000,000.00	12,000,000.00	GORTT	3.20%	Wednesday, 12 June 2030	Fixed Rate	
ttsec-1	10,000,000.00	12,000,000.00	HMB	3.75%	Thursday, 18 January 2024	Fixed Rate	

OTC, CIS Investor Breakdown, Private Placement and CIS Transaction Forms



OTC Form (MMRF 08): Transactions occurring outside of Trinidad and Tobago and the reporting period included

Transaction Date (dd/mm/yyyy)	Transaction ID	Client ID	Principal or Agent	Name of Issuer	ISIN if applicable	Number of Units	Currency (TT, US, etc.)
Thursday, 15 September 2016		87065	Principal	Apple Inc.		3,450.00	USD
Monday, 01 August 2016		87064	Agent	GORTT	TT770007176	2,458.00	TTD
Tuesday, 02 August 2016		87067	Principal	Ventura Holdings	VHL	87,763.00	TTD
Wednesday, 03 August 2016		87062	Agent	Adam Financial Holdings	AFH	8,763.00	TTD
Thursday, 04 August 2016		87061	Agent	GORTT	TT760007149	3,456.00	USD
Friday, 05 August 2016		87063	Agent	Republic Bank Holdings	RBH	1,256.00	TTD
Saturday, 06 August 2016		87068	Principal	First Citizens Bank	FC	2,309.00	TTD
Wednesday, 01 June 2016		87069	Agent	Guardian Holdings Limited	GHL	65,231.00	TTD

CIS Investor Breakdown (MMRF 09) must reconcile with the CIS portfolio (MMRF 03)

CIS INVESTOR BREAKDOWN (MMRF 09)

Category of Investor	Number of Units/ Shares	Value of Units TT\$
9001 TT Credit Unions	10,234,876.00	9,056,987.24
9002 TT Banks	6,580,987.00	765,473,583.00
9008 TT Individuals	337,433.00	8,765.00
9009 Foreign Investors	12,087.00	21,987.00
9010 TOTAL	28,709,906.00	784,020,566.24

CIS PORTFOLIO FORM (MMRF 03)

3022	Net Assets of Fund at Quarter End (Conver	12,376,129.06
3023	Number of Units at Quarter End	583,763.34
3024	Fixed or Floating NAV	
3025	NAV Per Unit	-
3026	CIS Yield/Interest rate at Quarter End	2%
3027	If Fixed NAV Fund, state Fixed NAV per un	

CIS Transactions (MMRF 10): Nature of counterparty is not being selected

Transaction Date (dd/mm/yyyy)	Type of transaction: (purchase/sale)	Name of Issuer	Coupon	Value (TT\$)	Nature of counterparty (Related Party;CIS;Registrant;Other)
Monday, 03 October 2016	sale	Brighton Buckets Limited	1.23%		
Thursday, 05 October 2017	sale	Gotham Giants Inc	11.76%		Registrant

Private Placement Transactions (MMRF 11): A range of annual coupons and interest rates cannot be entered in the relevant columns.

Issue Date (dd/mm/yyyy)	Name of Issuer	Annual Coupon	Type	Security Type (Equity/ Fixed Income/Other)	Interest Rate %	Inte
Monday, 25 July 2016	Rickshaw Investments	3%	Fixed Rate	Fixed Income	5-6%	Tu
Friday, 26 August 2016	Sundry Financial Holdings	3-4%	Floating Rate	Fixed Income	7.00	
Saturday, 27 August 2016	Aristotle Capital Limited		Not Applicable	Equity		
Wednesday, 28 September 2016	Shervington Investments Limited	2%	Floating Rate	Fixed Income	2.00	
Friday, 29 July 2016	NewCastle Captial		Not Applicable	Other		
Saturday, 30 July 2016	Trinidad Century Investments	9%	Fixed Rate	Fixed Income	9.00	
Wednesday, 31 August 2016	TWBC Financial Holdings		Not Applicable	Equity		

Initiatives to Address the Issues

- Form & Instruction Amendments
 - ❑ Greater use of validations
 - ❑ Additional clarity
- Requirement to use Excel 2013 or higher
- Standardised naming of files
 - ❑ Submission Period (YYYYMM)
 - ❑ Reporting Entity Acronym
 - ❑ Version # (V01, V02, ...)

Examples:

(1) - 201609TTSECV01

(2) - 201703REGV02

But you have your part to play



Current and Future Submissions

- Current Submissions – March 2017/2016
 - ☐ Use current version of form
 - ☐ Address identified issues when completing
 - ☐ Due June 30, 2017
- Future Submissions – June 2017/2016
 - ☐ Revised forms and instructions
 - ☐ June 2017/June 2016 and onwards
 - ☐ Due August 15, 2017



Upload Platform Guidance

- Changing of primary and alternate contacts on Upload Platform.
 - Registrants are allowed two (2) logins at all times.
 - To manage these logins, an email must be sent to mmrf@ttsec.org.tt indicating the updates that are required.

Any other matters relating to the Upload Platform, please email us at **mmrf@ttsec.org.tt**

Communication on MMRF

Check TTSEC website for updates on the MMRF.

TTSEC will formally communicate with registrants with regard to any substantial changes to the MMRF forms .



Thank You!



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

57-59 DUNONDALD STREET, PORT OF SPAIN, TRINIDAD, W.I.

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Corporate Website:

www.ttsec.org.tt

Micro and Macro Reporting Framework:

<http://ttsec.org.tt/mmrf-forms/>



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