



BROKER-DEALERS

4 Gourse 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 First Caribbean International Bank (Trinidad & Tobago) Limited

HOW DOES REGISTERING WITH THE COMMISSION PROTECT INVESTORS?

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

IS REGISTRATION AN ENDORSEMENT?

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**

SPONSORED BROKER-DEALERS		
NO.	NAME OF SPONSORED BROKER-DEALER	ASSOCIATED BROKER-DEALER
1.	Quincy Bank	Quincy Bank (TS)

1	Cusimano, Paul	Scotia Investments (Tr
2	George, Christopher	Scotia Investments (Tr
3	Jenkins, Paul	Scotia Investments (Tr
4	Juarez, Yuly	Scotia Investments (Tr
5	Stollmeyer, Scott	Scotia Investments (Tr
6	Vandewater, Thomas	Scotia Investments (Tr

SELF-REGULATORY ORGANISATIONS

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

REGISTERED REPRESENTATIVES

35	Bissessar, Ambica	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
36	Bleasdel, Jason	KCL Capital Market Brokers Limited	Associate
37	Bobb, Sheldon	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
38	Boca, Silvine	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
39	Boissiere, Andrew	RBC Merchant Bank (Caribbean) Limited	Underwriting
40	Boodho, Salena	Guardian Asset Management and Investment Services Limited	Associate
41	Boodram, Rodney	Guardian Asset Management and Investment Services Limited	Advising and Brokering
42	Bosland, Dirk	First Citizens Asset Management Limited	Brokering
43	Bridgewater, Joanne Cheryl	Republic Securities Limited	Brokering
44	Bridgial, Anuradha	First Citizens Bank Limited	Advising
45	Camacho, James	Sagcor Life Incorporated	Underwriting
46	Carter, Ronald	JMMB Investments (Trinidad and Tobago) Limited	Brokering and Underwriting
47	Carter, Ronald	JMMB Securities (T&T) Limited	Brokering and Underwriting
48	Cassim, Marc	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
49	Chamely, Anna	Guardian Asset Management and Investment Services Limited	Advising and Brokering
50	Chang, Andrew	JMMB Investments (Trinidad and Tobago) Limited	Brokering
51	Chen, Nicholas	First Citizens Bank Limited	Associate
52	Chin Wing, Deneika	First Citizens Investment Services Limited	Advising
53	Chin, Ian	Ansa Merchant Bank Limited	Advising and Brokering
54	Chin, Ian	Ansa Securities Limited	Advising and Brokering
55	Clarke, Andre	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
56	Clarke, John Peter	Republic Bank Limited Underwriting	
57	Clarke, Leslie	Murphy Clarke Financial Limited	Brokering and Underwriting
58	Clifton, R, Emile	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
59	Coonal, Ryan	West Indies Stockbrokers Limited	Brokering
60	Crooks, Victoria Marie	Sheppard Securities Limited	Brokering
61	Darbasie, Karen	First Citizens Bank Limited	Brokering
62	Dasrathsingh, Jamie	JMMB Bank (T&T) Limited	Advising, Brokering and Underwriting
63	De Gale-Harry, Ijeoma	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
64	De Montichard, Gene	Marquis Portfolio Managers Limited	Advising
65	De Montichard-Carter, Tracy	Marquis Portfolio Managers Limited	Advising
66	Des Vignes, Michelle	KCL Capital Market Brokers Limited	Advising
67	Dillon, Genevieve	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
68	Dindial, Leanna	Guardian Asset Management and Investment Services Limited	Associate
69	Donaldson, Graham Duff	Mondial (Trinidad) Limited	Advising
70	Donaldson-Jeffrey, Amri	First Citizens Securities Trading Limited	Advising
71	Dookie, Dave	Waterloo Capital Advisors Limited	Advising
72	Du Sseuraj, Nadira	Scotiabank Trinidad and Tobago Limited	Associate
73	Dou, Yizhao	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
74	Eligon, Michelle	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
75	Evans, Richard	Trinidad and Tobago Unit Trust Corporation	Brokering
76	Eve, Patricia Albertina	Republic Securities Limited	Associate
77	Fadahunsi, Lai	SHBL Investments Company Limited	Advising
78	Ferguson, Andrew	Maritime Capital Limited	Advising and Brokering
79	Ferreira, Giselle	JMMB Investments (Trinidad and Tobago) Limited	Advising
80	Ferreira, Greg	First Citizens Investment Services Limited	Brokering
81	Ford, Brent	Guardian Group Trust Limited	Advising, Brokering and Underwriting
82	Ford, Brent	Guardian Asset Management and Investment Services Limited	Advising and Brokering

84	Forde, Maria	Trinidad and Tobago Unit Trust Corporation	Advising
85	Frazer, Brian	Scotia Investments (Trinidad and Tobago) Limited	Brokering
86	Gajadhar, Kerry	Caribbean Stockbrokers Limited	Associate
87	Gajadhar, Usha	The Home Mortgage Bank	Brokering and Underwriting
88	Gait, Gordon Anthony	Sheppard Securities Limited	Advising
89	Gill, Sherwin M.	Trinidad and Tobago Unit Trust Corporation	Advising
90	Gordon, Winston Earl	Firstline Securities Limited	Brokering and Underwriting
91	Grannum, Jonathan	Guardian Asset Management and Investment Services Limited	Associate
92	Grell, Stephen	Citicorp Merchant Bank Limited	Underwriting
93	Guyadeen-Gosine, Karen	Trinidad and Tobago Unit Trust Corporation	Advising
94	Hackett-Murray, Desiree	Trinidad and Tobago Unit Trust Corporation	Advising
95	Hassanali, Warren	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
96	Heppburn, Karrian	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
97	Hernandez, Alicia	Firstline Securities Limited	Advising and Brokering
98	Hernandez, Jody	Firstline Securities Limited	Advising and Brokering
99	Hill, Gregory	Ans Merchant Bank Limited	Advising, Brokering and Underwriting
100	Hill, Gregory	Ans Securities Limited	Advising and Brokering
101	Hilton-Clarke, Jacqueline	KCL Capital Market Brokers Limited	Advising
102	Hinkson, Duane	Development Finance Limited	Advising, Brokering and Underwriting
103	Ho Sing Loy, Ameen	RBC Merchant Bank (Caribbean) Limited	Brokering
104	Holder, Omar	Trinidad and Tobago Unit Trust Corporation	Advising
105	Hosein, Narisra	Guardian Asset Management and Investment Services Limited	Advising, Brokering and Underwriting
106	Hosein, Sean	Bourse Brokers Limited	Associate
107	Howell, Brendon	Republic Bank Limited	Brokering
108	Hunte, Ricardo	Guardian Asset Management and Investment Services Limited	Advising and Brokering
109	Inniss-Bernard, Judy Charis	Republic Securities Limited	Associate
110	Israel, Stacy	First Citizens Investment Services Limited	Advising
111	Jackman, Janice	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
112	Jackman-Slater, Ihsan	Ans Merchant Bank Limited	Brokering
113	Jadoo, Vishal	Firstline Securities Limited	Advising, Brokering and Underwriting
114	Jagbiringsingh, Candace	RBC Merchant Bank (Caribbean) Limited	Underwriting
115	James, Carolyn	Bourse Securities Limited	Brokering
116	James, Michael	Guardian Asset Management and Investment Services Limited	Associate
117	Jogie, Andy	RBC Merchant Bank (Caribbean) Limited	Brokering and Underwriting
118	John, Trevor	Guardian Asset Management and Investment Services Limited	Associate
119	Johnson, Alvin	Caribbean Stockbrokers Limited	Advising, Brokering and Underwriting
120	Julien, Jason	First Citizens Bank Limited	Brokering
121	Kalicharan, Ramcharan	KSBM Asset Management Limited	Advising and Brokering
122	Kangaloo, Wayne	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
123	Katwaroo, Darren	Scotiabank Trinidad and Tobago Limited	Associate
124	Kelshall, Carla	Republic Securities Limited	Brokering
125	Khan, Meera	Scotiabank Trinidad and Tobago Limited	Associate
126	King, Adah	KCL Capital Market Brokers Limited	Associate
127	King, Dalia Patrice	Firstline Securities Limited	Advising, Brokering and Underwriting
128	King, Keith Michael	Firstline Securities Limited	Advising, Brokering and Underwriting
129	King, Mary	Mondial (Trinidad) Limited	Advising
130	King, Maxine Cheryl	Firstline Securities Limited	Advising, Brokering and Underwriting
131	Lalia, Jeremy	Guardian Asset Management and Investment Services Limited	Advising and Brokering
132	Lambert, Daniel	FCI Financial Limited	Advising
133	Law, Suein	Republic Wealth Management Limited	Advising
134	Leggadar, Kaffi	Sheppard Securities Limited	Associate
135	Leons, Keron	First Citizens Investment Services Limited	Associate
136	Lewis, Darlene	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
137	Lewis, Mellesia	Guardian Asset Management and Investment Services Limited	Advising and Brokering
138	Lewis, Phillip Andrew	Firstline Securities Limited	Advising, Brokering and Underwriting
139	Mac Quan, Keisha	First Citizens Investment Services Limited	Advising
140	Maharaj, Aneela	Guardian Asset Management and Investment Services Limited	Associate
141	Maharaj, Laura	Scotiabank Trinidad and Tobago Limited	Associate
142	Maharaj, Melissa-Jo	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
143	Maharaj, Varma	First Citizens Securities Trading Limited	Advising
144	Maingot, Danielle	Murphy Clarke Financial Limited	Advising
145	Majid, Fareesha	Murphy Clarke Financial Limited	Brokering
146	Manmohan, Adrian	West Indies Stockbrokers Limited	Brokering
147	Manohar, Seema	Bourse Brokers Limited	Associate
148	Mansoor, Natalie Marie	RBC Investment Management (Caribbean) Limited	Advising
149	Maraj, Leela	Sheppard Securities Limited	Associate
150	Maraj, Adita	Guardian Asset Management and Investment Services Limited	Advising and Brokering
151	Marcus, Kriss	Development Finance Limited	Advising, Brokering and Underwriting
152	Mark, Sekou	Trinidad and Tobago Unit Trust Corporation	Advising
153	Martineau, Dan	Waterloo Capital Advisors Limited	Advising
154	Martinez, Miguel	Citicorp Merchant Bank Limited	Underwriting
155	McKell, Romesh	First Citizens Investment Services Limited	Advising
156	Mohammed, Amani	First Citizens Investment Services Limited	Associate
157	Mohammed, Camille	First Citizens Investment Services Limited	Associate
158	Mohammed, Naseeb	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
159	Mohammed, Nisha	First Caribbean International Bank (Trinidad & Tobago) Limited	Brokering and Underwriting
160	Mohammed, Reshard	Scotia Investments (Trinidad and Tobago) Limited	Brokering
161	Mohammed, Reza	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
162	Mohammed, Ronald	Bourse Securities Limited	Associate
163	Mohammed, Salisha	Guardian Asset Management and Investment Services Limited	Associate
164	Mohammed, Shaun	First Citizens Brokerage and Advisory Services Limited	Brokering
165	Mongroo, Zinora	KCL Capital Market Brokers Limited	Advising
166	Mongroo, Nirmala	First Citizens Investment Services Limited	Advising
167	Monsegue, Tyron	Capital Markets Elite Group Limited	Brokering
168	Moore, Carlene	First Citizens Bank Limited	Advising
169	Morris, Akhya	First Citizens Investment Services Limited	Advising
170	Morrison, Joseph	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
171	Mungal, Denise	Guardian Asset Management and Investment Services Limited	Advising and Brokering
172	Murrell, Nicole	Guardian Asset Management and Investment Services Limited	Advising and Brokering
173	Narine, Kavita	KCL Capital Market Brokers Limited	Associate
174	O'Neil Gooden, Steven	NCB Global Finance Limited	Advising, Brokering and Underwriting
175	Olivierre, Cyprian James	Citicorp Merchant Bank Limited	Brokering
176	Oxley-Fullerton, Judy	First Citizens Asset Management Limited	Advising
177	Padia, Andre	RBC Merchant Bank (Caribbean) Limited	Brokering
178	Padee, Gillian	First Citizens Investment Services Limited	Advising
179	Pardais, Maria	First Citizens Securities Trading Limited	Advis

195	Rajkumar, Keisha	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
196	Ramdeen, Leon	Guardian Group Trust Limited	Advising, Brokering and Underwriting
197	Ramirez, Roberto	Scotiabank Trinidad and Tobago Limited	Underwriting
198	Ramkhelawan, Sarodh	Bourse Securities Limited	Brokering
199	Ramkhelawan, Subhas	Bourse Securities Limited	Brokering and Underwriting
200	Ramkhelawan, Subhas	Bourse Brokers Limited	Brokering and Underwriting
201	Ramkissoon, Baldath	Republic Bank Limited	Brokering
202	Ramlal, Dereck	First Citizens Bank Limited	Advising
203	Ramlal, Natasha	West Indies Stockbrokers Limited	Associate
204	Ramlochan, Gideon	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
205	Ramlogan, Rawle	The Home Mortgage Bank	Advising, Brokering and Underwriting
206	Ramnath-Singh, Gail	Caribbean Stockbrokers Limited	Associate
207	Ramsahai, Rickhi	West Indies Stockbrokers Limited	Brokering
208	Ramsurnai, Shivana	First Citizens Investment Services Limited	Advising
209	Rawlins Bethel, Avionne	Guardian Asset Management and Investment Services Limited	Associate
210	Roberts, Steve	Republic Wealth Management Limited	Advising
211	Rochard, Wayne	First Citizens Bank Limited	Associate
212	Rodriguez, Herman	Mondial (Trinidad) Limited	Advising
213	Roopchand, Alicia	JMMB Investments (Trinidad and Tobago) Limited	Advising
214	Sabga, Nigel Anthony	Ansa Merchant Bank Limited	Associate
215	Salazar, Krystal	Scotia Investments (Trinidad and Tobago) Limited	Brokering
216	Salloum, Christiane Michelle	Sheppard Securities Limited	Advising
217	Salvary, Brent	KSBM Asset Management Limited	Advising and Brokering
218	Samodee, Keisha	First Citizens Investment Services Limited	Associate
219	Samuel, Joanne	First Citizens Investment Services Limited	Advising
220	Saunders, Sean	Trinidad and Tobago Unit Trust Corporation	Brokering
221	Scott, Deyson	Trinidad and Tobago Unit Trust Corporation	Advising
222	Sealey, Kenrick	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
223	Seebaran, Madree	Bourse Brokers Limited	Brokering
224	Seebraith, Shawnee	Guardian Asset Management and Investment Services Limited	Associate
225	Seedial, Yuri	First Citizens Investment Services Limited	Associate
226	Seenath, Lizi	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
227	Seepaul, Diana	First Citizens Bank Limited	Advising
228	Seepersad, Bliss	Guardian Asset Management and Investment Services Limited	Advising and Brokering
229	Seepersad, Shane	First Citizens Investment Services Limited	Brokering
230	Seepersadsingh, Sheldon	Scotiabank Trinidad and Tobago Limited	Associate
231	Sheppard, Alan Michael	Sheppard Securities Limited	Advising
232	Sheppard, George David	Sheppard Securities Limited	Brokering
233	Silva, Loise	Guardian Asset Management and Investment Services Limited	Associate
234	Singh, Dianne	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
235	Singh, Gita	First Citizens Investment Services Limited	Advising
236	Singh, Lillian	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
237	Smith, Dirk	JMMB Bank (T&T) Limited	Advising, Brokering and Underwriting
238	Somair, Sean	RBC Investment Management (Caribbean) Limited	Advising
239	Sooknanan, Rishi	Citicorp Merchant Bank Limited	Brokering and Underwriting
240	Sookoo, Anganie	JMMB Investments (Trinidad and Tobago) Limited	Brokering
241	Sookoo, Jennifer	JMMB Investments (Trinidad and Tobago) Limited	Advising
242	St. Louis, Leslie	First Citizens Brokerage and Advisory Services Limited	Brokering
243	Stephens, Gerard	JMMB Investments (Trinidad and Tobago) Limited	Brokering
244	Sukhu, Rochelle	First Citizens Bank Limited	Advising
245	Tang Nian, Stephen	RBC Merchant Bank (Caribbean) Limited	Brokering
246	Telesford-Pierre, Trudie	KCL Capital Market Brokers Limited	Advising
247	Thomas, Rowland Marc	Guardian Asset Management and Investment Services Limited	Advising, Brokering and Underwriting
248	Thomas, Stephen	First Citizens Investment Services Limited	Brokering and Underwriting
249	Thompson, Leah Kimberley	Sheppard Securities Limited	Brokering
250	Titus, Heather	FirstCaribbean International Bank (Trinidad & Tobago) Limited	Brokering and Underwriting
251	Tom Yew, Katrine	Guardian Asset Management and Investment Services Limited	Advising and Brokering
252	Trestail, Jeannette	Sheppard Securities Limited	Advising
253	Trestail, Robert	Sagior Inc Incorporated	Brokering
254	Valley, Kerwyn	KCL Capital Market Brokers Limited	Advising, Brokering and Underwriting
255	Valley, Kerwyn	Aspire Fund Management Company Limited	Advising
256	Valley, Kevin	KCL Capital Market Brokers Limited	Advising
257	Valley, Kieran	Aspire Fund Management Company Limited	Advising
258	Valley, Kurt	First Citizens Asset Management Limited	Brokering
259	Van Lowe, Amoy	Trinidad and Tobago Unit Trust Corporation	Advising
260	Verguet, Thomas	Firstline Securities Limited	Advising, Brokering and Underwriting
261	Vieira, Lisa	SHBL Investments Company Limited	Associate
262	Vincent, Trisha	First Citizens Investment Services Limited	Advising
263	Wallace, Wilfred Gregory	Mondial (Trinidad) Limited	Advising
264	Webster-Villafana, Akisha	Trinidad and Tobago Unit Trust Corporation	Associate
265	Wells-Fraser, Bernadette	JMMB Securities (T&T) Limited	Brokering
266	Westfield, Vanessa	Scotiabank Trinidad and Tobago Limited	Advising and Brokering
267	Whiskey, Tennille	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
268	Whiteman, Sharon	Trinidad and Tobago Unit Trust Corporation	Advising and Brokering
269	Wilson, Jonathan	Firstline Securities Limited	Advising and Brokering
270	Wilson-Mano, Linda	Trinidad and Tobago Unit Trust Corporation	Advising
271	Woo, Brian	First Citizens Bank Limited	Underwriting
272	Wynter, Paul Guardian	Asset Management and Investment Services Limited	Advising and Brokering
273	Young, Angus Peter	NCB Global Finance Limited	Advising, Brokering and Underwriting
274	Youseff, Daniel	First Citizens Investment Services Limited	Advising
REPORTING ISSUERS			
1	Add Venture Capital Fund Limited	41	National Maintenance Training and Security Company Limited
2	Agostini's Limited	42	NCB Financial Group Limited
3	Airports Authority of Trinidad and Tobago	43	Nestle Trinidad and Tobago Limited
4	Angostura Holdings Limited	44	One Caribbean Media Limited
5	Angostura Limited	45	Point Lisas Industrial Port Development Corporation Limited
6	ANSA McAL Limited	46	Port Authority of Trinidad and Tobago
7	Ansa Merchant Bank Limited	47	Prestige Holdings Limited
8	Berger Paints Trinidad Limited	48	Public Transport Service Corporation
9	BWIA West Indies Airways Limited	49	RBC Merchant Bank (Caribbean) Limited
10	Caron (1875) Limited	50	RBC Royal Bank (Trinidad and Tobago) Limited
11	CIBC Private Client Fund Limited	51	RBT Finance Limited
12	Citibank (Trinidad and Tobago) Limited	52	Readymix (West Indies) Limited
13	Citicorp Merchant Bank Limited	53	Republic Bank Limited
14	Development Finance Limited	54	Republic Financial Holdings Limited
15	Dynamic Equity Fund II Limited	55	Royal Bank of Canada
16	Education Facilities Company Limited	56	Royal Skandia Life Assurance Limited
17	First Citizens Asset Management Limited	57	Sagior Financial Corporation Limited
18	First Citizens Bank Limited	58	Sagior Funds Incorporated
19	First Citizens Investment Services Limited	59	Scotia Caribbean Investment Fund Inc.
20	FirstCaribbean International Bank Limited	60	Scotia Investments Jamaica Limited
21	Flavorite Foods Limited	61	Scotiabank Short-Term Income Fund Inc.
22	FNCU Venture Capital Company Limited	62	Scotiabank Trinidad and Tobago Fixed Income Fund Inc.
23	Fortress Caribbean High Interest Fund Limited	63	Scotiabank Trinidad and Tobago Growth Fund Inc.
24	Fortress Caribbean Property Fund Limited SCC	64	Scotiabank Trinidad and Tobago Limited
25	Fortress Mutual Fund Limited	65	St. Christopher Air and Sea Ports Authority
26	Fortress OAM Overseas Fund Limited	66	St. Kitts Urban Development Corporation Limited
27	Furness Trinidad Limited	67	Telecommunications Services of Trinidad and Tobago Limited
28	GraceKennedy Limited	68	The Home Mortgage Bank
29	Guardian Asset Management and Investment Services Limited	69	The National Football Stadium Company Limited
30	Guardian Holdings Limited	70	The Sports Company of Trinidad and Tobago Limited
31	Guardian Media Limited	71	The West Indian Tobacco Company Limited
32	JMMB Bank (T&T) Limited	72	Tourism & Industrial Development Company of Trinidad & Tobago Limited
33	JMMB Group Limited	73	Trinidad and Tobago Housing Development Corporation
34	L.J. Williams Limited	74	Trinidad and Tobago Mortgage Finance Company Limited
35	Massy Holdings Limited	75	Trinidad and Tobago NGL Limited
36	Mora Ven Holdings Limited	76	Trinidad and Tobago Unit Trust Corporation
37	National Enterprises Limited	77	Trinidad Cement Limited
38	National Flour Mills Limited	78	Unilever Caribbean Limited
39	National Infrastructure Development Company Limited	79	Urban Development Corporation of Trinidad & Tobago Limited
40	National Insurance Property Development Company Limited	80	UTC (Cayman) SPC Ltd
		81	Water & Sewerage Authority