



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

In The Matter of the Contravention of Section 64(1)(a) of the Securities Act Chap. 83:02

by

Unilever Caribbean Limited

ORDER OF THE COMMISSION

Dated this 28th day of October, 2016

WHEREAS on July 26, 2016 a material change occurred in the affairs of Unilever Caribbean Limited (“**the Respondent**”);

AND WHEREAS on August 9, 2016 the Respondent filed a Form 10–Material Change Report (“MCR”) with the Commission eleven days past the due date of July 29, 2016;

AND WHEREAS by letter dated September 5, 2016 staff of the Commission advised the Respondent that it was in contravention of section 64(1)(a) of the Securities Act Chapter 83:02 (“the Act”) by failing to file the said MCR with the Commission on or before July 29, 2016; and

AND WHEREAS by letters dated September 9, 2016 and September 16, 2016 the Respondent acknowledged that it was in Contravention of section 64(1)(a) of the Act and delivered to the Commission a “**Unilever Caribbean Limited cheque #0000872, dated 21.09.2016, payable to Trinidad and Tobago Securities and Exchange Commission, in the sum of Eleven Thousand Dollars**” as payment of an administrative fine for the late filing of the said MCR.

IT IS HEREBY ORDERED THAT:

1. The Respondent has contravened section 64(1) (a) of the Act;

2. Pursuant to section 156(2) of the Act, the Respondent has paid to the Commission an administrative fine in the sum of **Eleven Thousand Trinidad and Tobago Dollars (\$11,000.00)**, receipt of which the Commission hereby acknowledges; and
3. This Order is to be published in the Trinidad and Tobago Gazette and posted on the Commission's website. A notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.

Dated this 28th day of October, 2016

By Order of the Commission