



**TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION**

**In The Matter of the Contravention of section 65(1) of the Securities Act, 2012 and By-Law 48(1) of the Securities (General) By-Laws, 2015**

**by**

**RBTT Finance Limited**

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**ORDER OF THE COMMISSION**

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Dated this 29<sup>th</sup> day of May, 2018

**WHEREAS** RBTT Finance Limited (“**the Respondent**”) filed its Audited Annual Comparative Financial Statements for its financial year ended October 31, 2017, with the Trinidad and Tobago Securities and Exchange Commission (“the Commission”), past the due date of January 29, 2018;

**AND WHEREAS** by letter dated April 4, 2018, Staff of the Commission informed the Respondent that it was in breach of section 65(1) of the Securities Act, 2012 (“the Act”) and By-Law 48(1) of the Securities (General) By-Laws, 2015 (the “By-Laws”) by filing its Audited Annual Comparative Financial Statements with the Commission for its financial year ended October 31, 2017, past the due date of January 29, 2018;

**AND WHEREAS** by letter dated April 16, 2018, the Respondent acknowledged that it was in Contravention of section 65(1) of the Act and By-Law 48(1) of the By-Laws, and enclosed a cheque in the sum of Two Thousand Trinidad and Tobago Dollars (TT\$2,000.00) as payment of an administrative fine for the contravention.

**AND UPON** the Board of Commissioners considering the submissions in Board Paper No. 023 of 2018 and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159(10)(a) of the Act.

**IT IS HEREBY ORDERED THAT:**

1. RBTT Finance Limited (“the Respondent”) has contravened section 65(1) of Act and By-Law 48(1) of the By-Laws;
2. Pursuant to section 156(2) of the Act, the Respondent has paid to the Commission, an administrative fine in the sum of **Two Thousand Trinidad and Tobago Dollars (TT\$2,000.00)**, receipt of which the Commission will acknowledge; and
3. This Order shall 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.

**BY ORDER OF THE COMMISSION**