

FORM 5

APPROVAL OF SUBSTANTIAL SHAREHOLDERS OF REGISTRANTS REGISTERED UNDER SECTION 51 (1)

Pursuant to section 54 (1) AND 54 (2) of the Securities Act, 2012 and by-law 24 of the
Securities (General) By-Laws, 2013

General Instructions:	<p>Please complete all relevant sections; where the allocated space is insufficient, you may continue on a separate page and attach to the completed form. All supporting information and attached pages should be appropriately numbered and referenced.</p> <p>This form and any attachments should be certified by (i) if an individual, the applicant or (ii) if a company, the Chief Executive Officer and two directors of the applicant . Where the Chief Executive Officer is unavailable to sign the form, the form should be signed by any other duly authorized senior officer whose proof of authorization must be submitted with this form.</p> <p>Completed applications should be submitted to:</p> <p style="text-align: center;">The Director Disclosure Registration and Corporate Finance Trinidad and Tobago Securities and Exchange Commission 57-59 Dundonald Street Port of Spain Trinidad</p>
Item 1	Please mark "x" by the relevant checkboxes and complete the all relevant sections for either an individual or company.
Item 2	Please state the full name and job title of Contact Person of the Applicant (applicable to corporate applicants).
Item 3	State the name of the registrant under section 51(1) in which the applicant is seeking to become a substantial shareholder.
Item 4	Confirm: (i) the applicant's current shareholding if any, in the registrant; and

	(ii) the applicant's proposed shareholding in the registrant.
Item 5	State whether the Applicant has ever been registered or disciplined. If "yes", please provide full details as an attachment to this Form. Please note that this question refers to all Laws (e.g. Criminals, Customs, Liquor, etc.) of any state or country, in any part of the world. You are not required to disclose any convictions for which a pardon has been granted, and which pardon has not been revoked.
Item 6	Please enter any additional information required to establish the applicant's qualification and suitability for approval.
Item 7	Date the application. If an individual, include the signature of the applicant. If a company, include the signatures of the Chief Executive Officer and two directors of the applicant. Where the Chief Executive Officer is unavailable to sign the Form, the form should be signed by any other duly authorized senior officer whose proof of authorization must be submitted with this form.

Required Attachments:

1. The relevant application fee

FORM 5A

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**Pursuant to section 54 (1) AND 54 (2) of the Securities Act, 2012 and by-law 24 of the
Securities (General) By-Laws, 2013**

1. TYPE OF APPLICANT

Individual	<input type="checkbox"/>
Company	<input type="checkbox"/>
Financial Institution	<input type="checkbox"/>
Registrant Registered under section 51(1)	<input type="checkbox"/>

IF AN INDIVIDUAL, PLEASE COMPLETE THE INFORMATION BELOW:							
Name (First Name Last Name)							
Residential Address							
Work Phone		ext.		Fax Phone		ext.	
Home Phone				Mobile Phone			
Email Address				Net Worth(\$)			

IF A COMPANY, PLEASE COMPLETE THE INFORMATION BELOW:

(A) GENERAL CONTACT INFORMATION

Registered Name			
Primary Business Address			
Work Phone		Fax Phone	
Email Address		Primary Sector of business	

(B) SHAREHOLDERS HOLDING MORE THAN TEN PERCENT (10%) OF THE APPLICANT'S SHARES

Name (First Name Last Name)	Residential or Registered Address	Home Phone (1-xxx-xxx-xxxx)	Work Phone (1-xxx-xxx-xxxx) ext. xxx	Mobile Phone (1-xxx-xxx-xxxx)	Email Address

3. REGISTRANT INFORMATION

Name of Registrant

4. CURRENT AND PROPOSED SHAREHOLDING IN REGISTRANT

Current Shareholding	Number of Shares	Percentage of Shares in Registrant

Proposed Shareholding	Number of Shares	Percentage of Shares in Registrant	Proposed Date of Acquisition

5. REGISTRATION AND DISCIPLINARY HISTORY

Provide the registration and disciplinary history of the applicant by filling out the table below. If a response of "Yes" is provided for any question, please provide full details as an attachment to this Form:

	YES	NO
1. Has the Applicant or to the best of the Applicant's information and belief, has any affiliate of the Applicant:		
a) Been registered in any capacity under the Securities Industries Act, 1995 or the Securities Act, 2012?	<input type="checkbox"/>	<input type="checkbox"/>
b) Applied for registration, in any capacity, under the Securities Industry Act, 1995 or the Securities Act, 2012	<input type="checkbox"/>	<input type="checkbox"/>
2. Is the Applicant, or to the best of the Applicant's information and belief is any affiliate of the Applicant, now, or has any such person or company been:		
a) Registered or licensed in any capacity in any other country which requires registration or licensing to deal or trade in securities?	<input type="checkbox"/>	<input type="checkbox"/>
b) Registered or licensed in any other capacity in Trinidad and Tobago under any legislation which requires registration or licensing to deal with the public in any capacity? (E.g. as an insurance agent, real estate agent, private investigator, mortgage broker, etc.)	<input type="checkbox"/>	<input type="checkbox"/>
c) Refused registration or a licence mentioned in 2(a) or (b) above or has any registration or licence been suspended or cancelled in any category mentioned in 2(a) or (b) above?	<input type="checkbox"/>	<input type="checkbox"/>
d) Denied the benefit of any exemption from registration provided by the Securities Industry Act, 1995 or the Securities Act, 2012?	<input type="checkbox"/>	<input type="checkbox"/>
3. Is the Applicant, or to the best of the Applicant's information and belief is any affiliate of the applicant, now, or has any such person or company been:		

	YES	NO
a) A member of any Stock Exchange, Investment Dealers Association, Investment Bankers Association, or similar organization, in any country?	<input type="checkbox"/>	<input type="checkbox"/>
b) Refused membership in any Stock Exchange, Investment Dealers Association, Investment Bankers Association, or similar organization in any country?	<input type="checkbox"/>	<input type="checkbox"/>
c) Suspended as a member of any Stock Exchange, Investment Dealers Association, Investment Bankers Association, or similar organization, in any country?	<input type="checkbox"/>	<input type="checkbox"/>
d) Disqualified as a member of any Stock Exchange, Investment Dealers Association, Investment Bankers Association, or similar organization, in any country?	<input type="checkbox"/>	<input type="checkbox"/>
4. Has the Applicant, or to the best of the Applicant's information and belief has any affiliate of the applicant, operated under, or carried on business under, any name other than the name shown in this application	<input type="checkbox"/>	<input type="checkbox"/>
<i>INSTRUCTION: Question 5 refers to all Laws (e.g. Criminal, Customs, Liquor, etc.) of any state or country, in any part of the world. You are not required to disclose any convictions for which a pardon has been granted, and which pardon has not been revoked</i>		
5. Has the Applicant, or to the best Applicant's information and belief, has any affiliate of the Applicant:		
a) Ever been the subject of an investigation conducted by a regulatory or criminal investigative body?	<input type="checkbox"/>	<input type="checkbox"/>
b) Ever been convicted under the laws of any country, excepting minor traffic offences?	<input type="checkbox"/>	<input type="checkbox"/>
c) An outstanding charge or indictment?	<input type="checkbox"/>	<input type="checkbox"/>
d) Ever been the defendant or respondent in any proceedings in any civil court in any jurisdiction in any part of the world wherein an act involving fraud or dishonest was alleged?	<input type="checkbox"/>	<input type="checkbox"/>
e) At any time declared bankruptcy, or made a voluntary assignment in bankruptcy? (If "Yes", give particulars and also attach a certified copy of discharge)	<input type="checkbox"/>	<input type="checkbox"/>
f) Ever been refused a fidelity / surety bond?	<input type="checkbox"/>	<input type="checkbox"/>
g) Ever been barred from operating within the financial or securities industry of Trinidad and Tobago or elsewhere by the Commission or other regulatory body or court of law?	<input type="checkbox"/>	<input type="checkbox"/>

7. ADDITIONAL INFORMATION

Please provide any additional information required to establish the applicant's qualification and suitability for approval

8. DATE, CERTIFICATION AND SIGNATURE

I hereby certify that the statement and information in this form and any attachment hereto are true and correct to the best of my knowledge and belief and submitted in compliance with the provisions of the Securities Act, 2012. I understand that any misrepresentation, falsification or material omission of information on this application may result in a breach of the Securities Act, 2012.

_____	_____	_____
Print Name	Print Name	Print Name
_____	_____	_____
Signature	Signature	Signature
_____	_____	_____
Position	Position	Position
_____	_____	_____
Date	Date	Date

FOR OFFICIAL USE ONLY

Tool	ID Information
Registrant's Number	
Director's Number	
Document / Record Number	
Records Management Date Received (dd/mm/yyyy)	
Approved By : _____ Date (DD/MM/YYYY) _____	