



**TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION**

**PUBLIC NOTICE**

In accordance with Section 159(12) of the Securities Act, Chapter 83:03 of the Laws of the Republic of Trinidad and Tobago (also referred to herein as the Securities Act, 2012”), the Trinidad and Tobago Securities and Exchange Commission (“the Commission”) is required to issue a Notice in at least two newspapers notifying the public of the Orders published on its website. Documented below is a list of the Commission’s Orders for the period November 16, 2017 to August 31, 2018.

<b>CONTRAVENTION ORDERS</b>				
<b>No.</b>	<b>Name of Registrant/Applicant</b>	<b>Subject Matter</b>	<b>Reference</b>	<b>Date of Order</b>
1.	<b>Urban Development Corporation of Trinidad and Tobago Limited</b>	Contravention Order	Section 66(1) Securities Act, 2012	01 December 2017
2.	<b>National Flour Mills Limited</b>	Contravention Order	Section 64(1)(c) Securities Act, 2012	29 December 2017
3.	<b>Education Facilities Company Limited</b>	Contravention Order	Section 64(1) Securities Act, 2012	31 January 2018
4.	<b>Angostura Holdings Limited</b>	Contravention Order	Section 64(1)(a), (b) and (c), Securities Act, 2012	06 February 2018
5.	<b>Angostura Limited</b>	Contravention Order	Section 66(1) Securities Act, 2012	06 February 2018
6.	<b>Haroon Husain</b>	Contravention Order	Section 87(1)(a) Securities Act, 2012	06 February 2018
7.	<b>Stephen Burris</b>	Contravention Order	By-Law 67(2) Securities (General) By-Laws, 2015	06 February 2018
8.	<b>The National Football Stadium Company Limited</b>	Contravention Order	Section 64(1)(a) Securities Act, 2012	16 February 2018

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9.	<b>The National Football Stadium Company Limited</b>	Contravention Order	Section 64(1)(a) Securities Act, 2012	16 February 2018
10.	<b>The National Football Stadium Company Limited</b>	Contravention Order	Section 64(1)(a) Securities Act, 2012	16 February 2018
11.	<b>Water and Sewerage Authority</b>	Contravention Order	Section 61(2) Securities Act, 2012	22 February 2018
12.	<b>Water and Sewerage Authority of Trinidad and Tobago</b>	Contravention Order	Section 66(1) Securities Act, 2012	28 March 2018
13.	<b>Colonial Life Insurance Company (Trinidad) Limited</b>	Contravention Order	Section 136(2) Securities Act, 2012	23 February 2018
14.	<b>FCL Financial Limited</b>	Contravention Order	Section 56(4) Securities Act, 2012 and By-Law 53(2) Securities (General By-Laws), 2015	28 March 2018
15.	<b>FCL Financial Limited</b>	Contravention Order	By-Law 27(1)(d) Securities (General) By-Laws, 2015	28 March 2018
16.	<b>KCL Capital Market Brokers Limited</b>	Contravention Order	By-Law 39(1) Securities (General) By-Laws, 2015	28 March 2018
17.	<b>SHBL Investments Company Limited</b>	Contravention Order	By-Law 27(1)(d) Securities (General) By-Laws, 2015	28 March 2018
18.	<b>Telecommunications Services of Trinidad and Tobago</b>	Contravention Order	64(1)(a),(b) and (c) Securities Act, 2012	09 April 2018
19.	<b>L.J. Williams Limited</b>	Contravention Order	Section 61(2) Securities Act, 2012	18 April 2018
20.	<b>Educational Facilities Company Limited</b>	Contravention Order	Section 64(1) Securities Act, 2012	24 April 2018
21.	<b>Airports Authority of Trinidad and Tobago</b>	Contravention Order	Section 61(2) Securities Act, 2012	21 May 2018

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<b>No.</b>	<b>Name of Registrant/Applicant</b>	<b>Subject Matter</b>	<b>Reference</b>	<b>Date of Order</b>
22.	<b>RBTT Finance Limited</b>	Contravention Order	Section 65(1) Securities Act, 2012 and By-Law 48(1) Securities (General) By-Laws, 2015	29 May 2018
23.	<b>Sagicor Financial Corporation Limited</b>	Contravention Order	Section 65(1) Securities Act, 2012 and By-Law 48(1) Securities (General) By-Laws, 2015	06 July 2018
24.	<b>One Caribbean Media Limited</b>	Contravention Order	Section 65(1) Securities Act, 2012 and By-Law 48(1) Securities (General) By-Laws, 2015	06 July 2018
25.	<b>Airports Authority of Trinidad and Tobago</b>	Contravention Order	Section 64(1)(a) and (b) Securities Act, 2012	25 July 2018
26.	<b>Airports Authority of Trinidad and Tobago</b>	Contravention Order	Section 61(2) Securities Act, 2012	25 July 2018
27.	<b>First Citizens Bank Limited</b>	Contravention Order	Section 56(4) Securities Act, 2012 and By-Law 53(3) Securities (General) By-Laws, 2015	25 July 2018
28.	<b>First Citizens Holding Limited</b>	Contravention Order	Section 136(2) Securities Act, 2012	25 July 2018
29.	<b>National Enterprises Limited</b>	Contravention Order	Section 67(2)(c) Securities Act, 2012	25 July 2018
30.	<b>National Infrastructure Development Company Limited</b>	Contravention Order	Section 64(1)(a)(b) and (c) Securities Act, 2012	25 July 2018

<b>CONTRAVENTION ORDERS</b>				
<b>No.</b>	<b>Name of Registrant/Applicant</b>	<b>Subject Matter</b>	<b>Reference</b>	<b>Date of Order</b>
31.	<b>Water and Sewerage Authority</b>	Contravention Order	Section 61(2) Securities Act, 2012	25 July 2018

<b>OTHER ORDERS</b>				
<b>No.</b>	<b>Name of Registrant/Applicant</b>	<b>Subject Matter</b>	<b>Reference</b>	<b>Date of Order</b>
1.	<b>Dynamic Equity Venture Fund Limited</b>	Application by Dynamic Equity Venture Fund for de-registration as a Reporting Issuer	Section 71(1)(b) Securities Act, 2012	15 December 2017
2.	<b>Trinidad and Tobago Stock Exchange Limited</b>	Application by the Trinidad and Tobago Stock Exchange Limited for the de-listing of Scotia Investments Jamaica Limited from its Official List	Section 45(1) Securities Act, 2012	31 January 2018
3.	<b>Trinidad and Tobago Stock Exchange Limited</b>	Application by the Trinidad and Tobago Stock Exchange Limited to de-list the Bourse Brazil Latin Fund from its Official List	Section 45(1) Securities Act, 2012	29 May 2018
4.	<b>Delegation of Powers Order 2018 – Deputy Chief Executive Officer*</b>	Delegation of Powers to the Deputy Chief Executive Officer for the period June 4, 2018 to June 24, 2018	Section 8 Securities Act, 2012	04 June 2018  <i>*This Order is no longer in effect.</i>

<b>OTHER ORDERS</b>				
<b>No.</b>	<b>Name of Registrant/Applicant</b>	<b>Subject Matter</b>	<b>Reference</b>	<b>Date of Order</b>
5.	<b>Carne Global Financial Services Limited</b>	Application by Carne Global Financial Services Limited for de-registration of Barclay's Funds (formerly Barclay's Euro Funds SICAV) for the Commission's Register of Mutual Funds	Section 155(1A)(e) and 159(10) Securities Act, 2012	29 June 2018
6.	<b>The National Football Stadium Company Limited</b>	De-registration as a Reporting Issuer	Sections 71(1)(b) and 159 Securities Act, 2012	29 June 2018
7.	<b>The Trinidad and Tobago Stock Exchange Limited</b>	Application by the Trinidad and Tobago Stock Exchange Limited to De-List Sagicor Financial Corporation 6.5% US\$1 Convertible Redeemable Preference Shares	Sections 45(1) and 45(2) Securities Act, 2012	29 June 2018
8.	<b>Appointment of a Hearing Panel and a Pre-Hearing Conference Panel</b>	Appointment of a Hearing Panel and Pre-Hearing Conference Panel	Section 21 Securities Act, 2012	18 July 2018
9.	<b>Delegation of Specific Responsibilities, Powers and Functions of the Commission to the Settlement Hearing Panel</b>	Delegation of Specific Responsibilities, Powers and Functions of the Commission to the Settlement Hearing Panel for the purpose of considering the	Section 7(k), (m) and 8 Securities Act, 2012	30 July 2018

<b>OTHER ORDERS</b>				
<b>No.</b>	<b>Name of Registrant/Applicant</b>	<b>Subject Matter</b>	<b>Reference</b>	<b>Date of Order</b>
		Settlement Agreements in a specific matter		
10.	<b>Appointment of Hearing Panel, Pre-Hearing Conference Panel and Settlement Panel respectively, in accordance with the Securities Industry (Hearings and Settlements) Practice Rules, 2008</b>	Variation of appointments to the Hearing Panel, Pre-Hearing Conference Panel and Settlement Panel respectively, in accordance with the Securities Industry (Hearings and Settlements) Practice Rules, 2008 for the purpose of considering the Settlement Agreements in a specific matter	Section 21 Securities Act, 2012	30 July 2018

The full text of the Orders of the Commission can be viewed on the website at [www.ttsec.org.tt](http://www.ttsec.org.tt).

Any questions or queries can be submitted to [lae@ttsec.org.tt](mailto:lae@ttsec.org.tt)

Dated the 12th day of September, 2018

**General Counsel/Corporate Secretary  
Trinidad and Tobago Securities and Exchange Commission**