



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

PUBLIC NOTICE

In accordance with Section 159 (12) of the Securities Act, 2012 (SA, 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 April 28, 2017 to November 15, 2017.

CONTRAVENTION ORDERS				
No.	Name of Registrant/Applicant	Subject Matter	Reference	Date of Order
1.	Scotia Caribbean Income Fund Inc.	Contravention Order	Section 66(1) SA, 2012	28 April 2017
2.	Berger Paints Trinidad Limited	Contravention Order	Section 64(1)(c) SA, 2012	06 June 2017
3.	CIBC Private Client Fund Limited	Contravention Order	Sections 63(a) and 66(1) SA, 2012 and By-Law 47(c) Securities (General) By-Laws, 2015	13 June 2017
4.	Fortress OAM Overseas Fund Limited	Contravention Order	Section 63(a) SA, 2012 and By-Law 47(c) Securities (General) By-laws 2015	13 June 2017
5.	Education Facilities Company Limited	Contravention Order	Section 66(1) SA, 2012	29 June 2017
6.	Education Facilities Company Limited	Contravention Order	Section 66(1) SA, 2012	29 June 2017
7.	Mora Ven Holdings Limited	Contravention Order	Section 21(e) SA, 2012 and Part III of the Securities Industry (Hearings and Settlements) Practice Rules 2008 and Section 61(2) SA, 2012	29 June 2017

CONTRAVENTION ORDERS				
No.	Name of Registrant/Applicant	Subject Matter	Reference	Date of Order
8.	National Flour Mills Limited	Contravention Order	Section 65(1) SA, 2012 and By-Law 48(1) Securities (General) By-Laws, 2015	29 June 2017
9.	One Caribbean Media Limited	Contravention Order	Section 65(1) SA, 2012 and By-Law 48(1) Securities (General) By-Laws, 2015	29 June 2017
10.	SHBL Investments Limited	Contravention Order	Section 21(e) SA, 2012 and Part III Securities Industry (Hearings and Settlements) Practice Rules 2008 and By-Law 39(1) Securities (General) By-Laws 2015	29 June 2017
11.	Wayne Yip Choy	Contravention Order	Section 21(e) SA, 2012 and Part III Securities Industry (Hearings and Settlements) Practice Rules 2008 and Section 136(2) SA, 2012	29 June 2017
12.	One Caribbean Media Limited	Contravention Order	Section 63(a) SA, 2012 and By-Law 47(c) Securities (General) By-Laws, 2015	25 July 2017
13.	Readymix (West Indies) Limited	Contravention Order	Section 63(a) SA, 2012 and By-Law 47(c) Securities (General) By-Laws 2015	25 July 2017
14.	Sagicor Life Incorporated	Contravention Order	By-Law 39(1) Securities (General) By-Laws, 2015	25 July 2017

CONTRAVENTION ORDERS				
No.	Name of Registrant/Applicant	Subject Matter	Reference	Date of Order
15.	One Caribbean Media Limited	Contravention Order	Section 63(a) SA, 2012 and By-Law 47(c) Securities (General) By-Laws 2015	02 August 2017
16.	National Enterprises Limited	Contravention Order	Section 65(1) SA, 2012 and By-Law 48(1) Securities (General) By-Laws 2015	21 September 2017
17.	Nestlé Trinidad and Tobago Limited	Contravention Order	Section 63(a) SA, 2012 and By-Law 47(c) Securities (General) By-Laws 2015	21 September 2017
18.	JMMB Group Limited	Contravention Order	Section 64(1)(b) SA, 2012	21 September 2017
19.	Sagicor Funds Incorporated	Contravention Order	Section 63(a) SA, 2012 and By-Law 47(c) Securities (General) By-Laws, 2015	21 September 2017
20.	Trinidad and Tobago Housing Development Corporation	Contravention Order	Section 64(1)(c) SA, 2012	21 September 2017
21.	Trinidad and Tobago Mortgage Finance Company Limited	Contravention Order	Section 66(1) SA, 2012	21 September 2017
22.	Guardian Group Trust Limited	Contravention Order	By-law 67(1) Securities (General) By-Laws, 2015	10 October 2017
23.	Guardian Asset Management and Investment Services Limited	Contravention Order	By-law 67(1) Securities (General) By-Laws, 2015	10 October 2017
24.	Trinidad and Tobago Housing Development Corporation	Contravention Order	Section 64(1)(a), (b) and (c) SA, 2012	30 October 2017
25.	Trinidad and Tobago Housing Development Corporation	Contravention Order	Section 64(1)(a), (b) and (c) SA, 2012	30 October 2017

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No.	Name of Registrant/Applicant	Subject Matter	Reference	Date of Order
26.	Trinidad and Tobago Housing Development Corporation	Contravention Order	Section 66(1) SA, 2012	30 October 2017
27.	Trinidad and Tobago Housing Development Corporation	Contravention Order	Section 66(1) SA, 2012	30 October 2017
28.	RBC Investment Management (Caribbean) Limited	Contravention Order	Section 56(4) SA, 2012 and By-Law 53 Securities (General) By-Laws, 2015	30 October 2017
29.	Bourse Brokers Limited	Contravention Order	By-Law 40(2) Securities (General) By-Laws, 2015	10 November 2017
30.	Bourse Securities Limited	Contravention Order	By-Law 40(2) Securities (General) By-Laws, 2015	10 November 2017
31.	Citibank Trinidad and Tobago Limited	Contravention Order	Section 66(1) SA, 2012	10 November 2017
32.	Citicorp Merchant Bank Limited	Contravention Order	Section 66(1) SA, 2012	10 November 2017
33.	FCL Financial Limited	Contravention Order	By-Law 40(1) Securities (General) By-Laws, 2015	10 November 2017

OTHER ORDERS				
No.	Name of Registrant/Applicant	Subject Matter	Reference	Date of Order
1.	RBC Financial (Caribbean) Limited	Application by RBC Financial (Caribbean) Limited for de-registration as a Reporting Issuer	Section 71(1)(b) SA, 2012	29 June 2017
2.	Trinidad and Tobago Stock Exchange Limited	Application by the Trinidad and Tobago	Section 40 SA, 2012 and By-Law 61(2)	29 June 2017

OTHER ORDERS				
No.	Name of Registrant/Applicant	Subject Matter	Reference	Date of Order
		Stock Exchange Limited for the Rescission of Rule 200(3) of the Trading Rules	Securities (General) By-Laws, 2015	
3.	National Commercial Bank Jamaica Limited	Application by the National Commercial Bank Jamaica Limited for exemptions from the requirement to register shares and the payment of a market access fee	Section 155(1A)(c) SA, 2012	31 July 2017
4.	Trinidad and Tobago Stock Exchange Limited	Application to De-List the Government of the Republic of Trinidad and Tobago's \$29.5M Floating Rate Bond due February 6, 2017	Sections 45(1) and 159(10) SA, 2012	03 August 2017
5.	N/A	Confirmation of the Delegation of Powers	Section 8 SA, 2012	18 September 2017
6.	National Commercial Bank Jamaica Limited	Application by National Commercial Bank Jamaica Limited for de-	Section 71(1)(b) SA, 2012	30 October 2017

OTHER ORDERS				
No.	Name of Registrant/Applicant	Subject Matter	Reference	Date of Order
		registration as a Reporting Issuer		

The full Orders of the Commission can be viewed on the website at www.ttsec.org.tt.

Any questions or queries can be sent to lae@ttsec.org.tt

General Counsel/Corporate Secretary
Trinidad and Tobago Securities and Exchange Commission
Date: December 18, 2017

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