



**TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION**

**IN THE MATTER OF SECTION 40 OF  
THE SECURITIES ACT, 2012**

**AND**

**THE RESCISSION OF RULE 200(3) OF THE TRINIDAD AND  
TOBAGO STOCK EXCHANGE LIMITED RULES**

**NOTICE**

**TAKE NOTICE** that on the 6<sup>th</sup> day of September 2016, the Trinidad and Tobago Stock Exchange Limited (“the TTSE”), a duly registered Self-Regulatory Organisation under section 36 of the Securities Act, 2012 (“the Act”), filed with the Trinidad and Tobago Securities and Exchange Commission (“the Commission”) a concise Statement of Substance and Purpose in respect of **the rescission of Rule 200(3) of the TTSE Rules** in accordance with section 40 of the Act.

**Rule 200(3)** of the TTSE Rules reads as follows:

*“A member may not accept instructions or adopt any procedure which would in any way or for any purpose override his duty to execute such a transaction to the best advantage of his client according to his judgment at the time of dealing”*

The complete Statement of Substance and Purpose can be accessed via the Commission’s website at the following link:

<http://ttsec.org.tt/statement-of-substance-and-purpose-proposal-to-rescind-rule-2003/>

Hard copies can also be obtained from the offices of the Commission and the TTSE at the following addresses:

**Trinidad and Tobago Securities and Exchange Commission**  
57-59 Dundonald Street  
Port of Spain

Or

**Trinidad and Tobago Stock Exchange Limited**

10<sup>th</sup> Floor

Nicholas Tower

63-65 Independence Square

Port of Spain

**AND FURTHER TAKE NOTICE** that the Commission is inviting any interested persons to submit written comments on the proposed amendment no later than **October 31<sup>st</sup> 2016**. Comments may be submitted by letter addressed to the Chief Executive Officer, Trinidad and Tobago Securities and Exchange Commission, 57-59 Dundonald Street, Port of Spain OR by electronic mail at [ruleamendments@ttsec.org.tt](mailto:ruleamendments@ttsec.org.tt)

Dated this 13th day of October, 2016

**C. WAINWRIGHT ITON**  
**CHIEF EXECUTIVE OFFICER**