



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

In the Matter of Section 40 of the Securities Act, 2012

AND

In the Matter of By-Law 61 (2) of the Securities (General) By-Laws, 2015

AND

In the Matter of an Application by the Trinidad and Tobago Stock Exchange Limited for rescinding Rule 200 (3) of the Trinidad and Tobago Stock Exchange Rules

TAKE NOTICE that the Trinidad and Tobago Securities and Exchange Commission ("the Commission") will convene a hearing to consider an application by the Trinidad and Tobago Stock Exchange Limited for rescinding Rule 200 (3) of the Trinidad and Tobago Stock Exchange Rules.

Rule 200 (3) provides 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 in his judgment at the time of dealing."

AND TAKE NOTICE that this hearing will be an expedited hearing pursuant to Rule 11 of the Securities Industry (Hearings and Settlements) Practice Rules, 2008 and will be held at the offices of the Commission at 57-59 Dundonald Street, Port of Spain on **Thursday February 9, 2017 at 10:00 a.m.**

Affected parties who wish to be heard at the hearing, may appear in person or by counsel. Such parties are requested to make written submissions addressed to the Commission's General Counsel/Corporate Secretary by **4:00 p.m. on February 3, 2017**.

Please email hearings@ttsec.org.tt or call the General Counsel/Corporate Secretary to the Commission at 624-2991 Ext. 1211 to indicate whether you will be attending and/or the name(s) of your representative(s) by **4:00 p.m. on February 3, 2017**.

Members of the public wishing to attend the hearing should confirm their attendance using the contact information provided above by **February 3, 2017** and indicate that they are attending as a member of the public.

Dated January 26, 2017

BY ORDER OF THE COMMISSION