



NOTICE TO REGISTRANTS

LIMITED COVID-19 FILING MORATORIUM

Pursuant to provisions of the *Securities Act Chapter 83:02* of the *Laws of the Republic of Trinidad and Tobago* (the “*Act*”) and the *Securities (General) By-Laws 2015* (the “*By-Laws*”), Registrants of the Trinidad and Tobago Securities and Exchange Commission (the “*Commission*”) and some non-Registrants are required to make various types of filing with the Commission, within certain prescribed timeframes.

In 2020 at the onset of the pandemic, the Commission by Orders dated 25th March and 28th April 2020 respectively, provided moratoria, such that the Commission indicated that it would not pursue enforcement action against Registrants and non-Registrants for a specified period after the due date for meeting any statutory filing obligation, under the Act and the By-laws, where the due date for that filing fell within a period specified in those Orders. The filing moratoria in these Orders expired in 2020.

The Commission notes the most recent decisions of the Government of the Republic of Trinidad and Tobago (the “*GoRTT*”), in its continuing response to the novel coronavirus (“*COVID-19*”), which may present some challenges for Registrants in meeting certain obligations to the Commission within the prescribed times.

Having regard to the foregoing, the Commission by Order dated **24th June 2021** grants a moratorium on enforcement action; in the event that Registrants are unable to file certain documents (specified below) within the timeframes specified in the Act or By-laws and where those documents were due to be filed during the period **16th May, 2021 to 30th June, 2021**.

The Commission’s Order provides as follows:

1. Pursuant to Sections 155(1A)(e) and 159(10) of the Act, the Commission will not pursue enforcement action for up to a one (1) month period (in the first instance) after the due date for filing any Audited Financial Statement or Annual Report filing obligation where Registrants are unable to meet those filing requirements under the Act and the By-laws and where those instances of non-compliance are in respect of documents that were due to be filed with the Commission within the period **16th May, 2021 to 30th June, 2021**.

2. Persons who are unable (or were unable) to meet the filing requirements during the period of **16th May, 2021 to 30th June, 2021** shall file with the Commission, a Form 6 or other written notification forthwith to notify the Commission of the person's inability to file the Audited Financial Statement or Annual Report within the timeframe prescribed by the Act or By-laws. This notification requirement also applies in cases where the document was due to be filed prior to the publication of this Order.

NOTE - As indicated in the Order, all affected persons who wish to benefit from the dispensations outlined in this Notice should detail, in their Form 6 or other written notification, the circumstances that have led to the inability to meet the statutory obligations.

Other Points to Note:

Please note that the above dispensations do not absolve a Registrant/non-Registrant from its statutory obligations to file their Audited Financial Statement or Annual Report with the Commission.

While the Commission believes it is in the public interest to provide relief from enforcement action in these circumstances, Registrants are reminded to review their statutory filing obligations under the Act and the By-Laws and submit electronic filings where they are able.

If you require further guidance on this matter please email us at ttsec@ttsec.org.tt.

Please be guided accordingly.

Dated – 24th June 2021