



BENEFICIAL OWNERSHIP FORM OF REPORTING ENTITIES

(Includes reporting for the financial year end and changes to Beneficial Ownership Information)

Pursuant to Section 136A (5) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (Securities Act, Chap 83:02)

Reporting Entities are required to submit Beneficial Ownership information annually, within twenty-one (21) days after the end of their financial year, in a manner and form approved by the Trinidad and Tobago Securities and Exchange Commission. Additionally, if there are any changes to the submitted beneficial ownership information, these must be reported within thirty (30) days of the change occurring or becoming effective, or within such other period as may be approved by the Minister by order.

<p>General Instructions:</p>	<p>Please complete all relevant sections; where the allocated space is insufficient, continue on a separate page and attach it to the completed Form. All supporting information and attached pages should be appropriately numbered and referenced.</p> <p>This Form and any attachments should be certified by the Chief Executive Officer, or equivalent, and two directors of the Reporting Entity. Where the Chief Executive Officer is unavailable, the Form should be certified by any other duly authorised senior officer whose proof of authorisation must be submitted with this Form.</p> <p>Completed forms should be submitted to:</p> <p style="padding-left: 40px;">Chief Executive Officer Trinidad and Tobago Securities and Exchange Commission Levels 22 – 23, Tower D International Waterfront Centre 1 Wrightson Road Port of Spain Trinidad and Tobago Email: boreporting@ttsec.org.tt</p>
<p>Item 1</p>	<p>Select the name of the Reporting Entity from the drop-down menu provided.</p> <p>Reporting Entity refers to an entity whose securities are listed on any Securities Exchange registered or required to be registered under Part III of the Securities Act, Chap. 83:02.</p>
<p>Item 2</p>	<p>State the Reporting Entity's full principal business address, telephone number, fax number, website and email address.</p>
<p>Item 3</p>	<p>Indicate the Reporting Entity's jurisdiction of original incorporation.</p>
<p>Item 4</p>	<p>State the Financial Year End of the Reporting Entity.</p>
<p>Item 5</p>	<p>State the total number of shares or units that the Reporting Entity has issued and which remain outstanding.</p>

Item 6	<p>If a report was previously filed by the Reporting Entity, indicate whether the Beneficial Ownership Information has changed.</p> <p>If a report was previously filed by the Reporting Entity, please indicate the date (DD/MMM/YYYY) of the previous report.</p>
Item 7(A)	<p>If there is direct/indirect Beneficial Ownership, please complete the table under Item 7(A).</p> <p>Where more than one class of share or unit is held by the Beneficial Owner, please ensure that the details in the relevant fields are repeated.</p> <ol style="list-style-type: none"> i. Name – State full name of each Beneficial Owner. <p><i>Beneficial Owner refers to any natural person who ultimately owns or controls a legal entity or the natural person on whose behalf a transaction is being conducted and includes the natural person who exercises ultimate effective control over a legal person or arrangement;</i></p> <ol style="list-style-type: none"> ii. Latest Residential Address – State the latest known address of the Beneficial Owner; iii. Nationality - State the nationality of the Beneficial Owner; iv. Date of Birth – Include the Beneficial Owner's date of birth (DD/MMM/YYYY); v. Contact Number – Provide the primary contact number for the Beneficial Owner; vi. Occupation – State occupation / calling of the Beneficial Owner vii. Identification Number – Include the identification number of one of the identification documents (driver's license, national identification card or passport) which is required to be attached at Item 10. viii. Number of Shares/Units – State the number of shares or units held by the Beneficial Owner of the Reporting Entity. If not applicable, state "N/A"; ix. Class of Shares/Units – Indicate the class of shares or units held by the Beneficial Owner in the Reporting Entity. Each class of share or unit should be recorded in a separate row. If not applicable, state "N/A"; x. Nature of Beneficial Interest– State either of the following: - <ol style="list-style-type: none"> a. direct ownership of at least ten per cent of the voting rights, voting shares, or capital of the reporting entity. b. indirect ownership of at least ten per cent of the voting rights, voting shares, or capital of the reporting entity. c. control over the reporting entity alone or together with others through any contract, understanding, relationship, intermediary or tiered entity; or

	<p>d. ultimately owns or controls or exercises ultimate effective control over the reporting entity indirectly or through other means; or</p> <p>e. beneficial owner of a trust or other form of legal arrangement in accordance with section 10A of the Trustees Ordinance</p> <p>xi. Date Beneficial Ownership Started – Provide the date (DD/MMM/YYYY) on which the natural person became a Beneficial Owner;</p> <p>xii. Date Beneficial Ownership Ceased - Provide the date (DD/MMM/YYYY) on which the natural person ceased to be Beneficial Owner. If not applicable, this field should remain blank.</p> <p>Politically Exposed Person (PEP) as defined in the Financial Obligations Regulations of the Proceeds of Crime Act, Chap. 11:27.</p> <p>xiii. Is BO a PEP? -Select Yes or No, identifying whether the Beneficial Owner is a PEP.</p> <p>Where the allocated space is insufficient in Item 7(A), continue in Item 7(B).</p>
Item 7(B)	Refer to instructions provided in Item 7(A).
Item 8	<p>Where no beneficial owner is identified, state the particulars of a natural person holding the position of senior managing official.</p> <p>i. Name – State full name of the member who holds the senior managing position;</p> <p>ii. Are you a PEP? - Select Yes or No to indicate whether the person holding the position of a senior managing official is a PEP.</p> <p>iii. Explanation – As per the definition of a Politically Exposed Person (PEP) in the Financial Obligations Regulations of the Proceeds of Crime Act, Chap. 11:27, explain how the senior managing official is a PEP.</p> <p>iv. Latest Residential Address – State the latest known address;</p> <p>v. Nationality – State the nationality;</p> <p>vi. Date of Birth – Include the date of birth (DD/MMM/YYYY);</p> <p>vii. Occupation – State the occupation within the Reporting Entity; and</p> <p>viii. Contact Number – State the primary contact number.</p>
Item 9	Submit a copy of the identification document associated with the identification number reported in Item 7 for each Beneficial Owner listed.
Item 10	Where applicable, if there is any additional information that may clarify the Beneficial Ownership and the PEP, please provide these details.
Item 11	Provide any attachments to certify the additional information provided in Item 10.

Item 12

Date (DD/MMM/YYYY) and sign the Form.

Include the signature of the Chief Executive Officer, or equivalent, and two Directors of the Reporting Entity. Where the Chief Executive Officer is unavailable to sign the Form, it should be signed by any other duly authorised senior officer whose proof of authorisation must be submitted with this Form.

DRAFT



BENEFICIAL OWNERSHIP FORM OF REPORTING ENTITIES

(Pursuant to Section 136A (5) of the Securities Act, Chap 83:02 of the Laws of the Republic of Trinidad and Tobago)

1. NAME OF REPORTING ENTITY

Name of Reporting Entity

2. CONTACT INFORMATION FOR REPORTING ENTITY

Principal Business Address					
Work Phone (1-xxx-xxx-xxxx)		Ext.		Fax Number (1-xxx-xxx-xxxx)	
Website				Email Address	

3. JURISDICTION OF ORIGINAL INCORPORATION

LOCAL <input type="checkbox"/>	If "Foreign" please specify the jurisdiction
FOREIGN <input type="checkbox"/>	

4. FINANCIAL YEAR END

Financial Year End (DD/MMM)	
-----------------------------	--

5. SECURITIES CURRENTLY IN ISSUE AND OUTSTANDING

Total Number of Shares / Units	
--------------------------------	--

6. INITIAL SUBMISSION OR CHANGE

Is this a change from a Previous Report	Yes <input type="checkbox"/>	No <input type="checkbox"/>
Date of Last Report Filed (If Applicable) (DD/MMM/YYYY)		

8. PARTICULARS OF PERSON HOLDING SENIOR MANAGING POSITION

Name	
Are you a PEP?	
Explanation	
Latest Residential Address	
Nationality	
Date of Birth (DD/MMM/YYYY)	
Occupation	
Contact Number	

9. BENEFICIAL OWNERSHIP INFORMATION IDENTIFICATION ATTACHMENTS

Please submit the identification document(s) associated with the identification number(s) reported in Item/s 7(A) / 7(B). For each person listed in the table above, please attach an image of the identification document.

10. ADDITIONAL INFORMATION

Where applicable, if there is any additional information that may clarify the Beneficial Ownership, please provide these details.

[Empty rectangular box for providing additional information]

11. ADDITIONAL INFORMATION ATTACHMENT

Please provide any attachments to certify the additional information provided in Item 10.

12. DATE, CERTIFICATION AND SIGNATURE

I/We hereby certify that the statements and information contained in this form and any attachment hereto are true and correct to the best of my knowledge and belief and are submitted in compliance with the provisions of the Securities Act, Chap. 83:02. I/We understand that any misrepresentation, falsification or material omission of information on this form may result in a breach of the Securities Act, Chap. 83:02.

Print Name

Signature

Position

Date (DD/MMM/YYYY)

Print Name

Signature

Position

Date (DD/MMM/YYYY)

Print Name

Signature

Position

Date (DD/MMM/YYYY)