



# PUBLIC STATEMENT

## PUBLIC STATEMENT OF THE TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

UPDATED 2025

FREEDOM OF INFORMATION ACT, CHAPTER 22:02

OF THE LAWS OF THE REPUBLIC OF TRINIDAD AND TOBAGO

PUBLISHED WITH THE APPROVAL OF THE HONOURABLE MINISTER OF FINANCE

### In compliance with Sections 7, 8 and 9 of the Freedom of Information Act (the “FOIA”).

In accordance with Sections 7, 8 and 9 of the Freedom of Information Act (the “FOIA”) the Trinidad and Tobago Securities and Exchange Commission (the “Commission”) is required by law to publish the following statements, which list the documents and information generally available for public scrutiny.

#### The FOIA gives members of the public a legal right:

1. A legal right for each person to access information held by the Commission;
2. A legal right for each person to have official information relating to himself/herself amended where it is incomplete, incorrect or misleading;
3. A legal right to obtain reasons for adverse decisions made by the Commission regarding an applicant's request for information under the FOIA; and
4. Upon a Notice of Refusal, a legal right to complain in writing to the Ombudsman and to apply to the High Court for Judicial Review to decisions made under the FOIA.

### SECTION 7 STATEMENTS

#### SECTION 7(1) (a) (i)

##### Functions and Organisation of the Commission

###### Mission

To protect investors, promote and enable the growth and development of the securities industry by nurturing fair, efficient and transparent securities markets, cooperating with other regulators and mitigating systemic risk.

###### Vision

To be an innovative regulator of a thriving securities market, enabling economic development for the benefit of all.

###### Core Values

Instilling confidence in the securities market by protecting investors, promoting sustainable market growth, and reducing systemic risk, through collaboration and innovation.

###### Functions of the Commission

The Commission was first established, by the Securities Industry Act, 1995 (“SIA 1995”) in 1997 and continued under the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“SA”) as a body corporate to regulate the securities market in Trinidad and Tobago.

The Commission's main functions, as outlined in Section 6 of the SA are to:

- advise the Minister of Finance on matters relating to the securities industry;
- maintain surveillance over the securities industry and ensure orderly, fair and equitable dealings in securities;
- register, authorise or regulate, in accordance with the SA, self-regulatory organisations, broker-dealers, registered representatives, underwriters, issuers and investment advisers; and control and supervise their activities with a view to maintaining proper standards of conduct, and professionalism in the securities

- industry;
- regulate and supervise the timely, accurate, fair and efficient disclosure of information to the securities industry and investing public;
- conduct such inspections, reviews and examinations of self-regulatory organisations, broker-dealers, registered representatives, underwriters, issuers and investment advisers as may be necessary for giving full effect to the SA;
- protect the integrity of the securities market against any abuses arising from market manipulating practices, insider trading, conflicts of interest, and other unfair or improper practices;
- educate and promote an understanding by the public of the securities industry and the benefits, risks, and liabilities associated with investing in securities;
- co-operate with, and provide assistance to other regulatory authorities in Trinidad and Tobago, or elsewhere;
- ensure compliance with the Proceeds of Crime Act, any other written law in relation to the prevention of money laundering and combating the financing of terrorism or any other written law that is administered or supervised by the Commission;
- create and promote such conditions in the securities industry as may seem to it necessary, advisable or appropriate to ensure the orderly growth and development of the securities industry and to further the purposes of the SA;
- co-operate with other jurisdictions in the development of a fair and efficient securities industry; and
- assess, measure and evaluate risk exposure in the securities industry.

#### Powers of the Commission

- 7 (1) For the purpose of the discharge of its functions, the Commission has power pursuant to Section 7 of the SA to:
- (a) formulate principles for the guidance of the securities industry;
  - (b) treat with such matters as may be referred to it by any person from time to time;
  - (c) register and regulate market actors in accordance with this Act;
  - (d) monitor the solvency of registrants that are entities, securities markets and self-regulatory organisations and take measures to protect the interest of investors where the solvency of any such person is in doubt;
  - (e) adopt measures to supervise and minimise any conflict of interest that may arise in the case of registrants or self-regulatory organisations and where appropriate other market actors;
  - (f) review, approve and regulate takeovers, amalgamations and all forms of business combinations in accordance with this Act or any other written law in all cases in which it considers it expedient or appropriate to do so;
  - (g) review the contents of prospectuses and issue receipts therefor, and review any form of solicitation, advertisement or announcement by which securities are proposed to be distributed;

- (h) take enforcement action against any person for failing to comply with this Act;
  - (i) recommend Bye-laws to the Minister;
  - (j) formulate, prepare and publish notices, guidelines, bulletins and policies describing the views of the Commission regarding the interpretation, application, or enforcement of this Act;
  - (ja) formulate, prepare and publish guidelines in respect of declared agreements;
  - (k) make orders; (l) monitor the risk exposure of registrants and self-regulatory organisations and take measures to protect the interest of investors, clients, members and the securities industry;
  - (m) undertake such other activities as are necessary or expedient for giving full effect to this Act; and
  - (n) do all things, and take all actions, which may be necessary, expedient, incidental or conducive to the discharge of any of its functions and the exercise of its powers under this Act.
- (2) The Commission may, in writing require any market actor to furnish it with such information as it may require for the exercise of its functions within such time and verified in such manner as it may specify.
  - (3) A market actor that is required to furnish information to the Commission in accordance with subsection (2) shall furnish the required information, within the time specified and verified in the manner specified by the Commission.

#### Structure of the Commission

The SA provides for the appointment of no less than five and no more than nine Commissioners to the Board of the Commission.

The Commissioners are drawn from amongst persons with expertise in legal, financial, business or administrative matters.

#### Approved Organizational Chart

##### Staff of the Commission

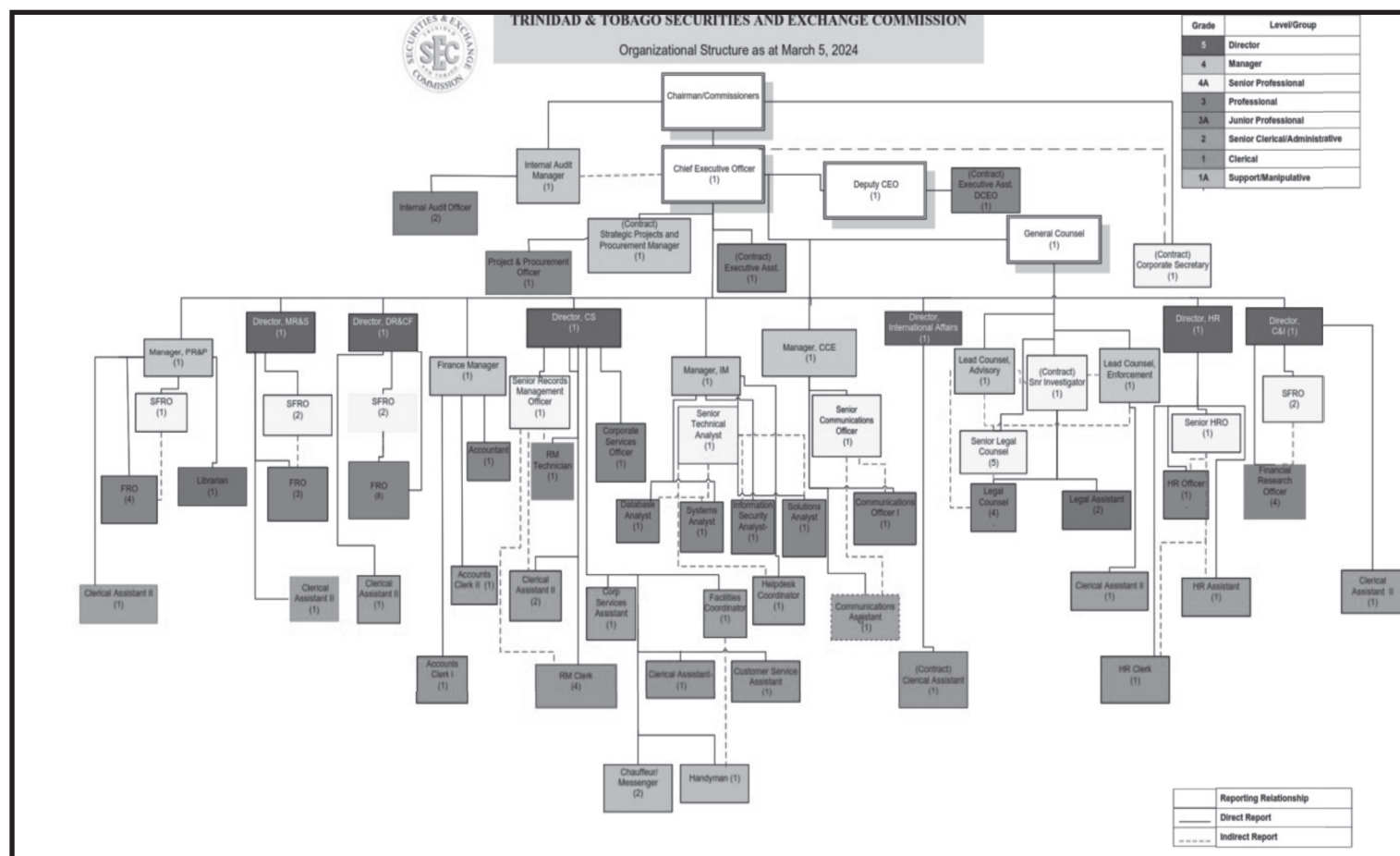
The Staff is appointed by the Commission and includes the Chief Executive Officer, Deputy Chief Executive Officer, General Counsel, the Heads of the existing Divisions and support staff.

##### Organisational Structure of the Commission

##### Board of Commissioners

The role of the Board of Commissioners of the Trinidad and Tobago Securities and Exchange Commission is to:-

- Approve registration applications;
- Issue prospectus receipts;
- Take enforcement action against any person for failing



to comply with the Act;

- Investor protection;
- Recommend By-Laws to the Minister of Finance;
- Authorising Investigations;
- Holding administrative hearings; and
- Make Orders – including exemption orders.

The Board's responsibilities include:-

- supervising the financial affairs of the organization and approving procurement above a certain level (\$250,000.00)
- ensuring statutory compliance with all applicable laws and monitoring risks;
- overseeing the strategic planning process; and
- ensuring the organization is adequately staffed and monitoring the performance of the CEO.

#### Members of the Executive Team:

##### Chief Executive Officer

The Office of the Chief Executive Officer leads the Commission in creating an enabling environment for the growth and development of the local capital market, while establishing frameworks for minimizing systemic risk, promoting confidence within the market, and enhancing regulatory and enforcement cooperation with its local, regional and international regulatory counterparts. The Office of the Chief Executive Officer supports the Board in articulating and promoting a vision of what the Commission will achieve in line with its purpose, powers, authority, functions, deliverables and reporting and compliance requirements as conferred by the Securities Act, 2012 (the Act).

##### Deputy Chief Executive Officer

The Deputy Chief Executive Officer reports directly to the Office of the Chief Executive Officer. The Deputy Chief Executive Officer works closely with the Chief Executive Officer and provides support by assisting in the regulation of the securities industry to ensure the stability of the financial system and the protection of investors, and the overall management and performance of the Commission Office of the General Counsel

##### General Counsel

The General Counsel Heads Legal Division and the Legislative Review Team which has as one of its main functions, to draft/review all legislation, policies, and guidelines that fall within the ambit of the Commission.

#### Divisions/Departments:

##### (1) Compliance and Inspections

This is the newest Division of the Commission, which was established in 2014 as a result of the passage of the Securities Act 2012. Its main responsibilities are to:

- o Conduct on-site inspections of registrants and self-regulatory organizations, whether routine, for cause or sweep inspections (*registrants include: self-regulatory organizations and persons registered under Part IV of the Act, i.e. broker-dealer, investment adviser, reporting issuer and underwriter*);
- o Issue compliance directions, thus directing a registrant to take measures that are necessary to remedy any course of conduct that is contrary to generally accepted standards of conduct or prudent operation and behaviour; and
- o Refer matters for legal enforcement in instances where a person fails to take measures as directed in a compliance direction.

In furtherance of its responsibilities, the Division's major objectives are to:

- o Ensure that registrants are operating in compliance with the legislation;
- o Help identify compliance problems and areas of emerging risk, which if they occur can adversely affect investors; and
- o Review allegations of improper practices

##### (2) Corporate Services

The Corporate Services Division is responsible for managing and executing the following functions: administration, property management, procurement, records management, health and safety, fleet management and security services for the Commission.

##### (3) Corporate Communications and Education

The Department gets its mandate from Section 6 of the Securities Act 2012 and its goal is to educate and promote an understanding by the public of the securities industry and the benefits, risks, and liabilities associated with investing in securities.

The Department's mission is to promote informed investor decisions and the TTSEC's role as regulator, through all aspects of Corporate Communication, inclusive of Public Education and External Communication. The Division is also responsible for performing the Commission's Public Relations, protocol and Crisis Communication functions. In accordance with the IOSCO principles, the Department coordinates a multi-faceted Investor Education programme

designed to provide investors and potential investors with suitable information to guide informed decisions.

##### (4) Disclosure, Registration and Corporate Finance

The Securities Act 2012 ("the Act") entrusts the Commission with the responsibility to ensure that the requirements of Section 62 (1) of the Act are duly executed and that "no security shall be distributed or listed with any self-regulatory organization unless it is registered with the Commission". DR&CF is responsible for the registration of all self-regulatory organisations, broker-dealers, reporting issuers and investment advisers as well as the securities that they provide. This Division:

- o Reviews and processes applications of registrants and self-regulatory organizations.
- o Reviews documentation to ensure compliance with the law and best practice.
- o Approves the contents of prospectuses, offering circulars or any form of solicitation, advertisement or announcement by which securities are offered for sale to the public.
- o Reviews filings by all registrants and self-regulatory organizations and assesses among other things the financial solvency of registrants and self-regulatory organizations.
- o Maintains a register of securities registered by the Commission.
- o Makes recommendations to the Commission for the suspension/revocation of registration when persons no longer satisfy the registration requirements.
- o Identifies trends and issues that are likely to have an impact on the securities industry and makes appropriate policy recommendations.

##### (5) Finance

The finance department is responsible for both internal and external financial reporting, as well as annual budgeting. It is also responsible for the receipt and depositing of fees and penalties received from market registrants. Additionally, the department is also responsible for all disbursements made by the Commission. This includes

- Payroll and other staff related amounts.
- Disbursements to vendors, the comptroller of accounts and other third parties.

##### (6) Human Resource Management

The Human Resource Department is responsible for planning and executing a range of human resource strategies with line managers and plans, co-ordinates and implements the human resource management infrastructure that mutually satisfies the corporate objectives and employee needs.



## (7) Information Management

The Information Management Division assesses, develops, manages and supports the technological and data requirements of the Commission's internal and external users by establishing performance measures, business processes, business continuity planning and support, digital and online communications, telecommunications, enterprise resource planning and project management.

## (8) International Affairs

This Division plays a key role in driving and supporting the development of policies and strategies to engage with regional, international and other key stakeholders in the securities markets.

## (9) Internal Audit

Internal Audit is responsible for assessing the design and the effectiveness of the Commission's system of Internal Controls. This activity is also responsible for reporting compliance issues to the Executive Management and to the Board. The Internal Audit activity provides independent, objective assurance and consulting services that add value and improve the Commission's operations. It helps the Commission to accomplish its objectives by bringing a systematic, disciplined approach to the evaluation and improvement of risk management, controls and governance processes. The Commission's Internal Audit activity is guided by the Department's Charter and reports functionally to the Chairman of the Audit Committee and administratively to the CEO. Further, the Internal Auditors have no authority over, nor responsibility for, the activities they audit.

## (10) Legal Division

This Division's key functions include a focus on the corporate strategic and tactical legal initiatives as well as the management of the Commission's legal function.

The Legal Division:

- o Provides continuing counsel and guidance on legal matters and on legal implications of all matters.
- o Serves as key lawyer/legal advisor on all major business transactions, including acquisitions, divestitures and joint ventures.
- o Decides on selection, retention, management and evaluation of all external counsel.
- o Organises and manages the company's internal legal function and staff.
- o Assumes ultimate responsibility for ensuring that the Commission conducts its business in compliance with applicable laws and regulations.
- o Recommends the commencement of investigations of securities law violations, by the Commission.
- o Conducts investigations pursuant to Section 150 of the SA 2012 as amended, into market abuse, market manipulation, insider trading and other securities market contraventions.

## (11) Market Regulation and Surveillance

The mandate of the Market Regulation & Surveillance Division is derived from the wider functions of the Commission as contained in Section 6 of the Securities Act, 2012, as amended ("the Act"). This Division:

- o Maintains surveillance over the local, regional and international financial sector, (especially in the securities market).
- o Ensures that market participants comply with their continuous disclosure obligations and reviews compliance with prudential and reporting standards.
- o Conducts inquiries into suspected illegal market manipulation and/or brokerage activities.
- o Monitors the operations of all Self-Regulatory Organizations registered by the Commission in order to determine their compliance with the applicable Acts and Rules that govern their participation in the Trinidad and Tobago capital market.
- o This Division's purpose is to monitor the local capital market with a view to fostering compliance with the Securities Act, 2012 as amended and relevant provisions of other subsidiary legislation.

In broad terms, the activities of the Division are geared towards monitoring and evaluating the actions of registered or non-registered entities/persons with a view to determining whether such actions contravened, is contravening or may contravene the Act, any By-laws or other guidance issued by the Commission.

## (12) Policy, Research and Planning

The Policy, Research and Planning Department is a centralised

function which performs the following:

- o Conducts research on matters related to the local and international securities markets;
- o Collect and collates financial and statistical data on market activities;
- o Utilises data intelligence to analyse and report on the economic and financial issues;
- o Monitors the performance of market players and segments;
- o Assesses the potential risks posed to the financial system stemming from activities;
- o Provides planning and policy formulation capabilities to strengthen the Commission's capacity to discharge its functions.

The Department has a library that is considered a "Special Library" which houses a collection of books, materials and non-confidential information resources, physical and electronic, on the securities industry and related environments.

The Commission's Organisational Chart is readily available for public viewing on its website at <https://www.ttsec.org.tt/about-us/divisional-profiles/>

## SECTION 7 (I) (a) (ii)

### Categories of documents in the possession of the Commission

#### Files in respect of the following:

- (1) General administrative documents for the routine functions of the Commission
- (2) Personnel records on staff appointments etc.
- (3) Accounting and financial management
- (4) Financial records (cheques, vouchers, receipts etc.)
- (5) The procurement of supplies, services and equipment
- (6) Correspondence
- (7) Circular Letters
- (8) Legislation including the SA, By-Laws and Guidelines
- (9) Legal opinions and related matters, legal instruments
- (10) Minutes of Commission meetings
- (11) Annual reports
- (12) Prospectuses
- (13) Registers
- (14) Documents required to be filed by Registrants under the SA
- (15) Books, journals, pamphlets and brochures
- (16) Newspaper clippings
- (17) Periodicals including the Securities Market Bulletin
- (18) Conferences hosted by the Commission
- (19) Approved list of Designated Foreign Jurisdictions (up-dated quarterly).
- (20) Commission policies and procedures
- (21) Customer Complaints
- (22) Customer-related policies, procedures reports and files
- (23) Regulatory Audits
- (24) News Releases, Public Statements etc

## SECTION 7 (I) (a) (iii)

### Materials prepared for public inspection

- (1) The Securities Act Chap. 83:02 of the Laws of the Republic of Trinidad and Tobago
- (2) Securities (General) By-Laws, 2015
- (3) The Securities Industry Act, 1995 and Securities Industry By-Laws, 1997
- (4) The Securities Industry (Take-Over) By-Laws, 2005
- (5) Guidelines to the market on specific matters concerning the securities industry
- (6) Annual Reports of Reporting Issuers
- (7) Annual Reports of the Commission
- (8) Prospectuses receipted by the Commission
- (9) Papers for public comment on:
  - Information Memorandum Guidelines
  - The regulatory treatment of Deferred Tax Annuity/Savings plans
- (10) Securities Industry (Hearing and Settlements) Practice Rules, 2008
- (11) Register of registrants
- (12) Register of securities
- (13) Inception, Interim and Final report of Stikeman Elliott LLP in respect of the review and revision of the SIA 1995 and related by-laws and associated legislation
- (14) Collective Investment Schemes (CIS) data and statistics
- (15) CIS By-Laws
- (16) Annual Procurement Plan

Materials may be inspected or obtained at the Commission's Library which is located at: Level 22, Tower D, International Waterfront Centre, 1 Wrightson Road, Port of Spain or through our website. You can also make inquiries by contacting us via:-

Telephone: 624-2991  
Fax: 624-2995  
E-mail: [ttsec@ttsec.org.tt](mailto:ttsec@ttsec.org.tt)  
Website: [www.ttsec.org.tt](http://www.ttsec.org.tt)

The library is opened from 8:00 a.m. – 4 p.m. with an hour closure between the hours of 11:00 a.m. to 12:00 p.m.

## SECTION 7 (I) (a) (iv)

### Literature available by subscription: -

1. Annual Reports of the Commission; and
2. Legislation (SA and the Securities (General) By-Laws)

## SECTION 7 (I) (a) (v)

Procedure to be followed for accessing documents from the Commission, when a Freedom of Information ("FOI") request is made.

### How to request information

#### • General procedure

Our policy is to answer all requests for information whether made orally or in writing. However, to have rights given to you by the FOIA, ***you must make your request in writing.*** The applicant must therefore complete the "**Request for access to official documents**" form, available at our reception desk, for information that is not readily available to the public.

### Addressing Requests

To facilitate prompt handling of your request, please address it to the Designated Officer of the Commission (see **Section 7 (I) (a) (vi)** of the FOIA).

#### • Details to be included in the request

Applicants should provide details that will allow for ready identification and location of requested records. If you are not sure of how you should write your requests or what details to include, communicate with our Designated Officer.

### Right of Access to Information – Except

In accordance with Section 12 of the FOIA, a person is not entitled to obtain, in accordance with the procedure provided for this Part, access to –

- (a) a document which contains information that is open to public access, as part of a public register or otherwise, in accordance with another written law, where that access is subject to a fee or other charge;
- (b) a document which contains information that is available for purchase by the public in accordance with arrangements made by the public authority;
- (c) a document that is available for public inspection in a registry maintained by the Registrar General or other public authority;
- (d) a document which is stored for preservation or safe custody, being a document which is a duplicate of a document of a public authority.

### Responding to requests

#### • Retrieving documents

The Commission is required to furnish copies of documents only when they are in our possession or we can retrieve them from storage.

#### • Furnishing documents

An applicant is entitled to copies of information in our possession, custody or power. We are required to furnish one copy of a document. If we cannot make a legible copy of a document to be released, we shall not attempt to construct it. Instead we will furnish the best copy possible and note the quality in our reply.

Please note that the Commission is not compelled to do the following:

- (a) Create new documents
- (b) Perform research for the applicant

## Time Limits

### • General

The Commission will determine whether to grant your request for access to information *as soon as practicable but no later than thirty calendar days* as required by Section 15 of the FOIA. If a decision is taken to grant access to the information requested, you will be provided with copies, or if you so request, permitted to inspect the document/s.

### • Fees and refunds

The Freedom of Information (Fees and Charges) Regulations prescribe the fees to be incurred in making the documents available. Where such fees are payable, the applicant is entitled to receive the documents within seven days of payment of the relevant fee. If the Commission fails to provide the information within the seven day period, you are entitled to a refund of the fees paid, in addition to free access to the documents requested.

## SECTION 7 (1) (a) (vi)

### Officers at the Commission responsible for:

- (1) The initial receipt of an action upon notices under Section 10 of the FOIA;
- (2) Requests for access to documents under Section 13 of the FOIA; and
- (3) Applications for corrections of personal information under Section 36 of the FOIA.

### Designated Officer:

**Ms. Glenis Potts**

### General Counsel

LEVEL 23, TOWER D  
INTERNATIONAL WATERFRONT CENTRE  
1 WRIGHTSON ROAD,  
PORT OF SPAIN,  
TRINIDAD, W.I.  
Telephone: 624-2991  
Fax: 624-2995  
Email: [Glenisp@ttsec.org.tt](mailto:Glenisp@ttsec.org.tt)

### Alternate:

**Ms. Amala Cameron**

### Library Technician

LEVEL 23, TOWER D  
INTERNATIONAL WATERFRONT CENTRE  
1 WRIGHTSON ROAD,  
PORT OF SPAIN,  
TRINIDAD, W.I.  
Telephone: 624-2991  
Fax: 624-2995  
Email: [AmalaC@ttsec.org.tt](mailto:AmalaC@ttsec.org.tt)

## SECTION 7(1) (a) (vii)

### Advisory Boards, Councils, Committees, and other bodies (where minutes/meetings are open to the public)

At this time, there are no bodies in the Commission that fall within the meaning of this Section of the FOIA.

## SECTION 7 (1) (a) (viii)

### Library/Reading Room Facilities

Information in the public domain can be accessed from the Commission's Library which is located at: Level 23, Tower D, International Waterfront Centre, 1 Wrightson Road, Port of Spain or via our website at [www.ttsec.org.tt](http://www.ttsec.org.tt). You can also make enquiries by contacting us at 624-2991.

### Office Hours:

8:00 am – 4:00 pm Monday to Friday.

## SECTION 8

### Section 8: Certain documents to be available for inspection and purchase.

## SECTION 8 (1)

### Documents provided by the Commission for the use or guidance of its officers:

- (1) The Securities Act, Chap. 83:02 of the Laws of the Republic of Trinidad and Tobago;
- (2) Securities (General) By-Laws, 2015;
- (3) Securities (Collective Investment Schemes) Bye-Laws
- (4) The Securities Industry Act, 1995 and Securities Industry By-Laws, 1997;
- (5) Securities Industry (Take-Over) By-Laws, 2005;
- (6) The Securities Industry (Hearings and Settlements)

Practice Rules, 2008;

- (7) Guidelines on specific matters concerning the securities industry;
- (8) Trinidad and Tobago Securities and Exchange Commission Tender Rules

## Section 8 (1)(a)(i)

1. Guidelines for repurchase agreements (Repos)
2. Guidelines for disclosure of Price Sensitive information
3. Share Repurchase guidelines
4. Underwriting guidelines for issuers of Asset Backed securities
5. Prospectus Guidelines for Public Offerings
6. Amended Repurchase Agreements Guidelines
7. AML-CFT Guidelines
8. Guideline for De-Registration of Reporting Issuers and CIS
9. TTSEC Guidelines for the Tax Information Exchange Agreement (United States of America) Act
10. Material Change Guidance;
11. Market Guidance I - Contents of Constituent Documents for Collective Investment Schemes;
12. Market Guidance II- Promotion and Presentation Standards for Collective Investment Schemes;
13. Market Guidance III - Key Facts Statement for Collective Investment Schemes;
14. Market Guidance IV - Contents of The Termination Plan for Collective Investment Schemes

## Section 8 (1) (a) (ii)

1. TTSEC Hearing and Settlement Rules;
2. TTSE Bond Trading Rules;
3. TTSE SME Rules;
4. Statement of Substance and Purpose Proposed Small & Medium Enterprises (SME) Mentorship Rules & Proposed Special Market Listing Requirement- SME Market Rule;
5. Decisions / Settlements of the Commission may be obtained via the following link: [https://www.ttsec.org.tt/legal-framework/?\\_sft\\_category=decisions](https://www.ttsec.org.tt/legal-framework/?_sft_category=decisions)

## Section 8 (1) (b)

The Commission is possession of no documents which meet this criteria.

## SECTION 9

### Section 9 – Statement of possession of certain documents to be published

## Section 9 (1) (a)

A report or a statement containing the advice or recommendations, of a body or entity established within the TTSEC:

This section does not apply to the Commission at this time.

## Section 9 (1) (b)

A report or statement or report containing the advice or recommendations, (1) of a body or entity established outside the TTSEC by or under written law, (2) or by a Minister of Government or other public authority for the purpose of submitting a report or reports, providing advice or making recommendations to the TTSE or to the responsible Minister of that public authority:

This section is not applicable to the Commission at this time.

## Section 9 (1) 9 (c)

A report or statement containing the advice or recommendations, or an interdepartmental committee whose membership includes an officer of the TTSEC:

- *Evaluation Reports of Tenders 2020-2023*

## Section 9 (1) (d)

A report or a statement containing the advice or recommendation of a committee established within the TTIFC to submit a report, provide advice, or make recommendations to the responsible Minister of the TTSEC or to another officer of the TTSEC who is not a member of the committee:

This section does not apply to the Commission at this time.

## Section 9 (1) (e)

A report (including a report concerning the results of studies, surveys or tests) prepared for the TTSEC by a scientific or technical expert, whether employed withing the TTSEC or not, including a report expressing the opinion of such an expert on the scientific or technical matters:

This section does not apply to the Commission at this time.

## Section 9 (1) (f)

A report prepared for the TTSEC by a consultant who is paid for preparing the report:

(1) Inception, Interim and Final Report of Stikeman Elliott LLP in respect of the review and revision of the SIA, 1995 and related By-Laws and associated legislation:

- (i) Inception report-November 18, 2002;
- (ii) Interim report-December 19, 2003; and
- (iii) Final report – November 30, 2004.

## SECTION 9 (1) (g)

A report prepared within the public authority and containing the results of studies, surveys or tests carried out for the purpose of assessing, or making recommendations on, the feasibility of establishing a new or proposed Government policy, programme or project.

This section is not applicable to the Commission at this time

## Section 9 (1) (h):

A report on the performance or efficiency of the TTSEC, or of an office division or branch of the TTSEC, whether the report is of a general nature or concerns a particular policy, programme or project administered by the TTSEC:

- Annual Reports – 2020-2023
- Strategic Plans 2020-2023

## Section 9 (1) (i)

A report containing final plans or proposals for the re-organization of the functions of the TTSEC, the establishment of a new policy, programme or project administered by the TTSEC, or the alteration of an existing policy, programme or project administered by the TTSEC, whether or not the plans or proposals are subject to approval by an officer, or the TTSEC, or another public authority, the responsible Minister of the TTSEC, or Cabinet:

- Strategic Plans 2020-2023

## Section 9(1)(j):

A statement prepared by the TTSEC and containing policy directions for the drafting of legislation:

This section is not applicable to the Commission at this time.

## Section 9(1)(k):

A report of a test carried out withing the TTSEC on a product for the purpose of purchasing equipment:

This section is not applicable to the Commission at this time.

## Section 9 (1) (l):

An environmental impact statement prepared within the TTSEC:

- [TTSEC Indoor Air Quality Report for Levels 22 & 23 at Tower D as at September 2022](#); and
- [TTSEC Indoor Air Quality Report for Levels 22 & 23 at Tower D as at November 2023](#).

## Section 9 (1) (m):

A valuation report prepared for the TTSEC by a valuator, whether or not the valuator is an Officer of the TTSEC:

This section is not applicable to the Commission at this time.