



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

PUBLIC NOTICE

In accordance with Section 159(12) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (also referred to herein as the "Securities Act, 2012"), the Trinidad and Tobago Securities and Exchange Commission ("the Commission") is required to issue a Notice in at least two

newspapers notifying the public of the Orders published on its website.

Documented below is a list of the Commission's Orders for the period July 1, 2019 to September 30, 2020.

CONTRAVENTION ORDERS			
No.	Name of Registrant/ Applicant	Reference	Date of Order
1.	Kathryn Abdulla	Section 136(1) Securities Act, 2012	18 July 2019
2.	Point Lisas Industrial Port Development Corporation Limited (1)	Section 63(a) Securities Act, 2012 and By-Law 47(c) Securities (General) By-Laws, 2015	18 July 2019
3.	Point Lisas Industrial Port Development Corporation Limited (2)	Section 65(1) Securities Act, 2012 and By-Law 48(1) Securities (General) By-Laws, 2015	18 July 2019
4.	Sagikor Life Incorporated	By-Law 39(1) Securities (General) By-Laws, 2015	18 July 2019
5.	National Infrastructure Development Company Limited	Section 63(a) Securities Act, 2012 and By-Law 47(c) Securities (General) By-Laws, 2015	7 August 2019
6.	Aaliyah Jaggassar	Section 136(1) Securities Act, 2012	7 October 2019
7.	Andrew Aleong	Section 136(2) Securities Act, 2012	7 October 2019
8.	KCL Capital Market Brokers Limited (1)	By-Law 28 Securities (General) By-Laws, 2015	7 October 2019
9.	KCL Capital Market Brokers Limited (2)	By-Law 28 Securities (General) By-Laws, 2015	7 October 2019
10.	Marc Anatol	Section 136(2) Securities Act, 2012	7 October 2019
11.	Proven Investments Limited	Section 136(1) Securities Act, 2019	7 October 2019
12.	RBC Merchant Bank (Caribbean) Limited	Section 56(4) Securities Act, 2012 and By-Law 53 Securities By-Laws, 2015	7 October 2019
13.	RBC Royal Bank (Trinidad and Tobago) Limited (1)	Section 56(4) Securities Act, 2012 and By-Law 53 Securities (General) By-Laws, 2015	7 October 2019
14.	Sagikor Life Incorporated	By-Law 39(1) Securities (General) By-Laws, 2015	7 October 2019
15.	Urban Development Corporation of Trinidad and Tobago	Section 65(1) Securities Act, 2012 and By-Law 48(1) Securities (General) By-Laws, 2015	7 October 2019
16.	Urban Development Corporation of Trinidad and Tobago	Section 63(a) Securities Act, 2012 and By-Law 47(c) Securities (General) By-Laws, 2015	7 October 2019
17.	Urban Development Corporation of Trinidad and Tobago	Section 64(1) Securities Act, 2012	7 October 2019
18.	Urban Development Corporation of Trinidad and Tobago	Section 64(1)(a) Securities Act, 2012	7 October 2019

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No.	Name of Registrant/ Applicant	Reference	Date of Order
19.	Urban Development Corporation of Trinidad and Tobago	Section 56(4) Securities Act, 2012 and By-Law 53 Securities (General) By-Laws, 2015	7 October 2019
20.	First Caribbean International Bank Limited	Section 56(4) Securities Act, 2012 and By-Law 53 Securities (General) By-Laws, 2015	31 October 2019
21.	National Commercial Bank Jamaica Limited	Section 136(2) Securities Act, 2012	31 October 2019
22.	The Trinidad and Tobago Housing Development Corporation	Section 66(1) Securities Act, 2012	31 October 2019
23.	The Trinidad and Tobago Housing Development Corporation	Section 65(1) Securities Act, 2012 and By-Law 48(1) Securities (General) By-Laws, 2015	31 October 2019
24.	The Trinidad and Tobago Housing Development Corporation	Section 63(a) Securities Act, 2012 and By-Law 47(c) Securities (General) By-Laws, 2015	31 October 2019
25.	Guardian Asset Management and Investment Services Limited	Section 64(1)(c) Securities Act, 2012	2 December 2019
26.	National Enterprises Limited	Section 65(1) Securities Act, 2012 and By-Law 48(1) Securities (General) By-Laws, 2015	31 December 2019
27.	Port Authority of Trinidad and Tobago	Section 61(2) Securities Act, 2012	31 December 2019
28.	Ansa Merchant Bank Limited	By-Law 28 Securities (General) By-Laws, 2015	28 January 2020
29.	Ansa Securities Limited	By-Law 28 Securities (General) By-Laws, 2015	28 January 2020
30.	JMMB Bank (T&T) Limited	Section 66(1) Securities Act, 2012	28 January 2020
31.	JMMB Group Limited	Section 64(1)(c) Securities Act, 2012	28 January 2020
32.	Public Transport Service Corporation	Sections 64(1) and 56(4) Securities Act, 2012 and By-Law 53 Securities (General) By-Laws, 2015	28 January 2020
33.	Royal Bank of Canada	Section 61(2) Securities Act, 2012	28 February 2020
34.	National Flour Mills Limited	Section 65(1) Securities Act, 2012 and By-Law 48(1) Securities (General) By-Laws, 2015	28 February 2020
35.	Larry Howai	Section 136(1) Securities Act, 2012	24 April 2020



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OTHER ORDERS				
No.	Name of Registrant/ Applicant	Subject Matter	Reference	Date of Order
1.	Delegation Order	Delegation of specific responsibilities, powers and functions of the Commission to the Deputy Chief Executive Officer	Section 8 Securities Act, 2012	26 August 2019
2.	Trinidad and Tobago Stock Exchange Limited	Application to delist ordinary shares of Berger Paints Trinidad Limited	Section 45(1) Securities Act, 2012	7 October 2019
3.	Trinidad and Tobago Stock Exchange Limited	Application to delist TT\$300M GORTT fixed rate bond due 3-Aug-2019	Section 45(1) Securities Act, 2012	31 December 2019
4.	Trinidad and Tobago Stock Exchange Limited	Application to delist TT\$300M GORTT fixed rate bond due 22-Sep-2019	Section 45(1) Securities Act, 2012	31 December 2019
5.	Hassan Phillip Rahaman	The Matter of the application for and purchase of 659,588 First Citizens Bank Limited shares by Mr. Hassan Phillip Rahaman on 12 th August 2013 and his subsequent sale of 634,588 First Citizens Bank Limited shares on January 14, 2014 and the alleged contravention of the Securities Act, 2012	Sections 91(1), 91(2) and 94 Securities Act, 2012	29 January 2020
6.	Imtiaz Azard Rahaman	The Matter of the application for and purchase of 659,588 First Citizens Bank Limited shares by Mr. Hassan Phillip Rahaman on 12 th August 2013 and his subsequent sale of 634,588 First Citizens Bank Limited shares on January 14, 2014 and the alleged contravention of the Securities Act, 2012	Sections 91(1), 91(2) and 94 Securities Act, 2012	29 January 2020
7.	Subhas Ramkhelawan and Bourse Brokers Limited	The Matter of the application for and purchase of 659,588 First Citizens Bank Limited shares by Mr. Hassan Phillip Rahaman on 12 th August 2013 and his subsequent sale of 634,588 First Citizens Bank Limited shares on January 14, 2014 and the alleged contravention of the Securities Act, 2012	Sections 91(1), 91(2) and 94 Securities Act, 2012	29 January 2020

OTHER ORDERS				
No.	Name of Registrant/ Applicant	Subject Matter	Reference	Date of Order
8.	Covid-19 Filing Directions	The impact of the Novel Coronavirus Disease 2019 (COVID-19) pandemic on the submission of continuous disclosures and filings by registrants and non-registrants	Sections 155(1A)(e) and 159(10) of the Securities Act, 2012	25 March 2020
9.	Covid-19 Filing Directions	The impact of the Novel Coronavirus Disease 2019 (COVID-19) pandemic on the submission of continuous disclosures and filings by registrants and non-registrants	Sections 155(1A)(e) and 159(10) of the Securities Act, 2012	23 April 2020
10.	Nigel Clewett	Application for exemption from registering as a Broker-Dealer	Sections 51(1)(a), 155(1A)(c) and 159(10) Securities Act 2012	23 April 2020
11.	Readymix (West Indies) Limited	Application for de-registration as a Reporting Issuer	Sections 71(1)(b) and 159(10) Securities Act, 2012	23 April 2020
12.	Berger Paints Trinidad Limited	Application for de-registration as a Reporting Issuer	Section 71(1)(b) Securities Act, 2012	24 April 2020
13.	Caroni (1975) Limited	Application for a declaration that Caroni (1975) Limited is no longer a Reporting Issuer	Sections 71(1)(b) and 159(10) Securities Act, 2012	24 April 2020
14.	Fortress Fund Managers Limited	Application for declaration that Fortress Mutual Fund Limited – Fortress Global Growth Fund, Fortress Caribbean High Interest Fund Limited and Fortress OAM Overseas Fund Limited are no longer Reporting Issuers and de-registration as Collective Investment Schemes	Sections 71(1)(b) and 159(10) Securities Act, 2012	24 April 2020
15.	Furness Trinidad Limited	Application for de-registration	Sections 155(1A) and 159 Securities Act, 2012	24 April 2020
16.	Scotia Short-Term Fund Inc.	Application for de-registration as a Reporting Issuer and Collective Investment Scheme	Section 71(1)(b) and 155(1A)	24 April 2020
17.	Mondial (Trinidad) Limited	Application for exemption from registering as a Broker-Dealer	Sections 51(1)(a), 155(1A)(c) and 159(10) Securities Act, 2012	24 April 2020