



# FORM 10A - MATERIAL CHANGE REPORT

Pursuant to section 64(1)(a) of the Securities Act, 2012

Request ID 7453

May 31, 2023, 8:47 am

## 1. REPORTING ISSUER INFORMATION

Name	1.1	Trinidad and Tobago Unit Trust Corporation
Street Address 1	1.2	UTC Financial Centre, 82 Independence Square, Port of Spain
Street Address 2	1.3	
City	1.4	Port of Spain
Province/State	1.5	
Postal/Zip	1.6	
Country	1.7	Trinidad and Tobago

## 2. DATE OF MATERIAL CHANGE

Date	2.1	24-05-2023
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## 3. TYPE OF MATERIAL CHANGE

Type of Material Change	3.1	Other
If "Other", please specify	3.2	<p>The following wholly owned subsidiaries of the Trinidad and Tobago Unit Trust Corporation were granted licences by the Eastern Caribbean Securities Regulatory Commission to operate in the Eastern Caribbean Securities Market:</p> <ol style="list-style-type: none"><li>1. UTC Fund Management Services STL Limited as a licensed Collective Investment Scheme Management Company</li><li>2. UTC Global Balance Fund Limited as a Collective Investment Scheme .</li></ol>

## 4. DESCRIPTION OF MATERIAL CHANGE

Description of Material Change	<p>We wish to advise that UTC Fund Management Services STL Limited and UTC Global Balanced Fund Limited, wholly owned subsidiaries of the Trinidad and Tobago Unit Trust Corporation, were established in the country of St. Lucia for the purposes of managing and offering a Mutual Fund in the Eastern Caribbean Currency Union (ECCU), respectively.</p>
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The requisite licenses were granted by the Eastern Caribbean Securities Regulatory

- 4.1 Commission (ECSRC) to a. perform the functions of a Management Company of a Collective Investment Scheme and b. operate a Collective Investment Scheme respectively, in the Eastern Caribbean Securities Market.

Effective May 24, 2023, UTC Fund Management Services STL Limited will operate as a licensed Collective Investment Scheme Management Company in the ECCU and UTC Global Balanced Fund Limited will operate as a licensed Collective Investment Scheme in the ECCU.

Both the Collective Investment Scheme Management Company, UTC Fund Management Services STL Limited, and the Collective Investment Scheme, UTC Global Balanced Fund Limited, will be subject to the regulatory oversight of the Eastern Caribbean Securities Regulatory Commission.

Attachment 4.2

## 5. DETAILS OF PUBLICATION OF MATERIAL CHANGE

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Will you be seeking an exemption from publishing a notice in accordance with section 64(2) of the Securities Act 2012?	5.1	No
Date of Publication of Notice	5.1.2	29-05-2023

## 6. DETAILS OF SENIOR OFFICER

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Name of Senior Officer	6.1	Other
First Name		Nigel
Last Name		Edwards
Position in Organization	6.2	Executive Director
Email Address	6.3	NEdwards@ttutc.com
Business Phone	6.4	18686248648

## 7. DATE, CERTIFICATION AND SIGNATURE

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I hereby certify that the statement and information contained in this form and any attachment hereto are true and correct to the best of my knowledge and belief and submitted in compliance with the provisions of the Securities Act, 2012. I understand that any misrepresentation, falsification or material

omission of information on this application may result in a breach of the Securities Act, 2012.

### **Certifying Officer**

Nigel Edwards

Print Name

Executive Director

Position

2023-05-26

Date



\_\_\_\_\_  
Signature

By affixing a signature to this filing, the respective senior officer certifies the content of this filing.

**Download a completed copy of this form (Form 10A) for date, certification and signature by a Senior Officer of the company, sign same and attach the signed form to this filing.**

## Attachments

Upload a signed copy of the Form 10A with the completed Date, Certification and Signature Section. \*

Additional Files