



# TRINIDAD AND TOBAGO GAZETTE (EXTRAORDINARY)

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No. 43

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THE TELECOMMUNICATIONS ACT, CHAP. 47:31  
[Pursuant to section 21(3) and (4) of the Telecommunications Act]

## NOTICE

THE Telecommunications Authority of Trinidad and Tobago hereby notifies the public that it has received and is reviewing an application submitted by Turquoise Limited of 9–11, Fitt Street, Woodbrook, Port-of-Spain for a Type 2 Concession for the provision of a Public Telecommunications Services via a Public Domestic Fixed (Wireless) Telecommunications Network on a Major Territorial scale.

Comments on or objections to this application may be submitted within 28 days of the date of this publication and in any event no later than 20th day of April, 2021, addressed to:

The Corporate Secretary  
Telecommunications Authority of Trinidad and Tobago  
No. 5 Eight Avenue Extension, Off Twelfth Street  
Barataria  
Fax: (868) 674-1055  
Email: corporatesecretary@tatt.org.tt  
Website: www.tatt.org.tt

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## SAWMILL LICENCES ISSUED DURING THE MONTH OF FEBRUARY, 2021

IT IS HEREBY NOTIFIED as required by section 6 of the Sawmills Act, Chap. 66:02, that Licences, paid and issued in the month of January, 2021 to carry on the business of a Sawmill for the year ending 31st December, 2021, have been granted as follows:

<i>Licence No.</i>	<i>Name of Sawmiller</i>	<i>Date of Issue</i>	<i>Location of Sawmill</i>
89/2021	Shayphoe Sawmill & Woodworking Co.	1st February, 2021	... No. 296 Lachoos Road, Penal
90/2021	Daxilitt Traders Ltd.	3rd February, 2021	... Latchram Trace, Lazzari Road Rio Claro
91/2021	Buen Intento Lumber Ltd.	3rd February, 2021	... No. 243 Buen Intento Road Princes Town
92/2021	George Village Sawmill	4th February, 2021	... No. 984 Naparima-Mayaro Road George Village, Tableland
93/2021	Rookmin & Kennedy Ganga Sawmill	8th February, 2021	... 170–172, San Fernando-Siparia- Erin Road, Debe
94/2021	Rookmin Ganga Sawmill	8th February, 2021	... 170–172, San Fernando-Siparia- Road, Debe
95/2021	Guisseppi Lumber Trading Ltd.	8th February, 2021	... Brasso-Tamana Road, Brasso
96/2021	Leon Sooknanan Sawmill	9th February, 2021	... No. 345 Quarry Road Morne Diablo
97/2021	Jaggerssar Agency Co. Ltd.	10th February, 2021	... No. 80 Penal-Quinam Road Penal

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SAWMILL LICENCES ISSUED DURING THE MONTH OF FEBRUARY, 2021—CONTINUED

Licence No.	Name of Sawmiller	Date of Issue	Location of Sawmill
98/2021	Ansutar Ltd.	10th February, 2021	... No. 80 Penal-Quinam Road Penal
99/2021	Mafeking Sawmill	17th February, 2021	... Mafeking Village, Mayaro
100/2021	Diptee Bachue Sawmilling	22nd February, 2021	... Beekah Trace, Mulchan Road Penal
101/2021	Young King Industrial Woodworking Co. Ltd.	23rd February, 2021	... Seemungal Trace, Penal Rock Road Penal
102/2021	Young King Industrial Woodworking Co. Ltd. No. 2	23rd February, 2021	... Seemungal Trace, Penal Rock Road Penal
103/2021	La Romain Band Sawmill	23rd February, 2021	... South Trunk Road, La Bel Air La Romain

D. DIPCHANSINGH  
Acting Conservator of Forests

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# PCA

INDEPENDENT  
POLICE COMPLAINTS AUTHORITY

## 2021 FREEDOM OF INFORMATION STATEMENT

IN COMPLIANCE WITH SECTIONS 7, 8, 9 OF THE FREEDOM OF INFORMATION ACT 1999 (FOIA)

- In accordance with sections 7, 8, 9 of the Freedom of Information Act 1999 (FOIA) the Police Complaints Authority (PCA) is required by law to publish this statement, which lists the documents and information generally available to the public from the PCA.

The FOIA gives members of the public:

- A legal right for each person to access information held by the PCA.
- A legal right for each person to have personal/official information relating to him/herself amended where it is held by the PCA and such information is incomplete, incorrect or misleading.

- A legal right to obtain reasons for adverse decisions made regarding an applicant's request for information under the FOIA.
- A legal right to complain to the Ombudsman and to apply to the High Court for judicial review to challenge adverse decisions made under the FOIA.

**SECTION 7 STATEMENTS**

**SECTION 7 (1) (a) (i)**

Structure and Function of the Police Complaints Authority

Establishment of the Police Complaints Authority

The Police Complaints Authority was established by virtue of Section 5 of the Police Complaints Authority Act, Chapter

15:05 (hereinafter referred to as "the PCA Act")

**Vision Statement**

The Reliable Authority leading the way to Justice

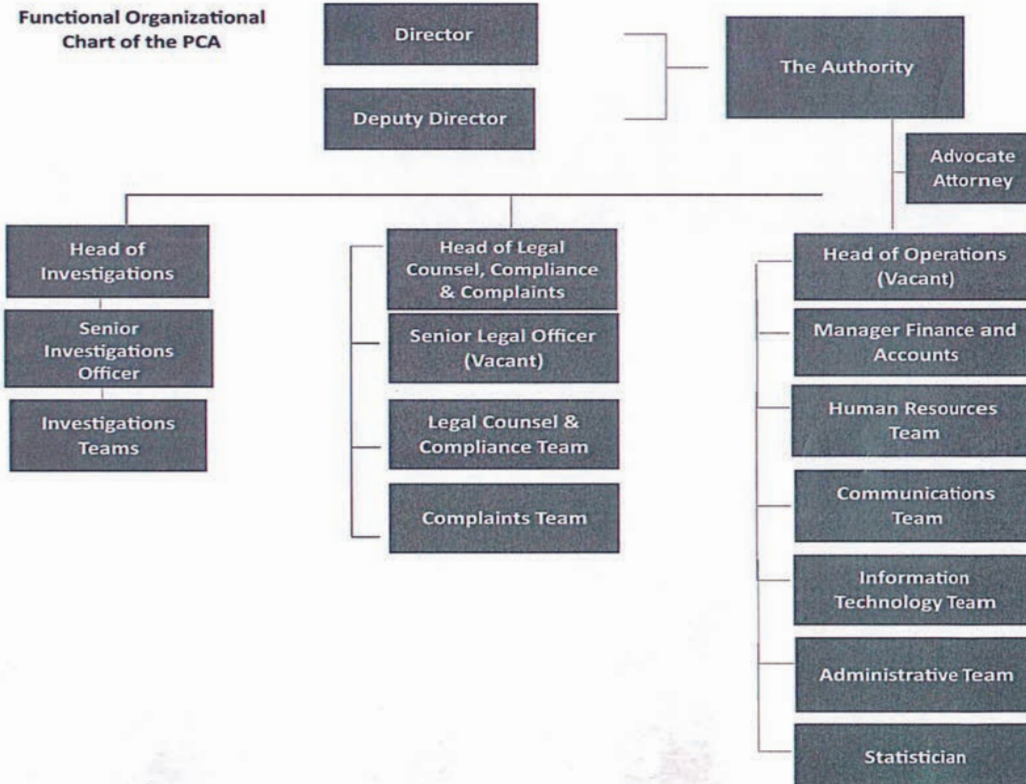
**Mission statement**

To pursue justice through independent civilian oversight of serious police misconduct and criminality.

**Core Values**

- Confidentiality
- Integrity
- Fairness
- Professionalism
- Structure of the PCA

**Structure of the PCA**



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POLICE COMPLAINTS AUTHORITY  
2021 FREEDOM OF INFORMATION STATEMENT—Continued

By virtue of Section 6 (1) of the PCA Act the Authority comprises a Director and Deputy Director who are appointed by the President on the joint advice of the Prime Minister and the Leader of the Opposition.

The Authority has direct operational responsibility for the PCA's three (3) main units namely:

1. Investigations
2. Legal Counsel, Compliance and Complaints
3. Operations
4. Advocate Attorney

#### INVESTIGATIONS

The Investigations Team is the largest team in the PCA with its prime focus being the investigating of complaints, that is, criminal offences involving police officers, police corruption and serious police misconduct in strict accordance with the requirements of the PCA Act and the delivery of excellent service on a consistent basis.

#### LEGAL COUNSEL, COMPLIANCE AND COMPLAINTS

The Legal Counsel, Compliance and Complaints Team focuses on the provision of efficient, effective and high quality legal services to the PCA with respect to the investigation of criminal offences involving police officers, police corruption, serious police misconduct and for other related matters. Further, the Legal Counsel, Compliance and Complaints Team ensures effective follow-up and liaison between the PCA and the Director of Public Prosecutions/Police Service Commission/Commissioner of Police and all other persons or bodies whether public or private with whom the PCA works in cooperation with or in association with in the performance of its functions.

The Team ensures the PCA's compliance with all statutory and regulatory requirements and provides the requisite assistance in the execution of the overall functions of the Authority.

#### OPERATIONS

The Operations Team provides the support services required for the Authority to function effectively as detailed below:

#### Finance & Accounts

The Finance and Accounts Unit overlooks the entire system of monitoring and control of finances of the Authority in accordance with general accounting principles and practices. The Finance & Accounts Team gathers and summarises financial data to prepare financial reports for PCA's management, regulatory and statutory responsibilities. The Team also monitors and ensures accountability and approval for the disbursement of funds, salary payments and other financial obligations in line with budgetary and policy guidelines.

#### Information Technology

The Information Technology (IT) Team provides the technological and other platforms which enable the effective provision of service to customers and the recording, sorting and follow-up of all complaints. This Unit also has a significant focus on effective project management and new systems implementation.

#### Human Resources

The Human Resource (HR) Team focuses primarily on the effective management of PCA's Human Resources and the provision of service to PCA's staff, inclusive of Performance Management, Training and Development and Organisational Development initiatives.

#### Communications

The Communications Team focuses on the development and implementation of key strategies and innovative initiatives to ensure that the Authority maintains effective and continuous communication with its key stakeholders.

#### Administration

The Administration Team provides and oversees the administrative services required to support the operations of the PCA. The Administration Team will also routinely exercise quality control over facilities and fleet maintenance.

#### Statistician

The Statistician is responsible for performing analytical statistical studies and evaluation of data collected over a wide variety of fields relating to the various aspects of the PCA. Work includes the collection and compilation of data and the development and maintenance of a database. The position is also responsible for preparing conclusions based on the analysis of data and reviewing the data collection system of the PCA with a view to recommending to the Authority areas of use of data, more appropriate sampling techniques and methods for increasing its effectiveness.

#### ADVOCATE ATTORNEY

Appear on behalf of the PCA at the Magistrates' Court, High Court and Court of Appeal ensuring the provision of high quality, efficient, effective and confidential legal service as required for the investigation of criminal offences involving police officers, police corruption, serious police misconduct and related matters in accordance with the PCA Act 2006.

#### Functions of the Authority

Section 21 (1) of the PCA Act outlines the functions of the PCA.

21. (1) The functions of the Authority are to—
  - (a) investigate criminal offences involving police officers, police corruption and serious police misconduct;
  - (b) undertake inquiries into, or audits of, any aspect of police activities for the purpose of ascertaining whether there is police corruption or serious police misconduct or circumstances that may be conducive to both;
  - (c) monitor an investigation conducted by any person or authority in relation to any matter mentioned in paragraph (a) and to undertake audits of those investigations;
  - (d) advise the Police Service and other public authorities on ways in which police corruption and serious police misconduct may be eliminated;
  - (e) gather evidence that may be admissible in the prosecution of a person who is not a police officer for a criminal offence in relation to the Police Service and to furnish that evidence to the Director of Public Prosecutions, or where an authority outside the State is concerned, the Attorney General;
  - (f) gather evidence that may be used in the investigation of serious police misconduct and furnish such evidence to the Commissioner or the Commission for appropriate action;
  - (g) gather evidence that can be used in the prosecution of a police officer involved in a criminal offence and furnish such evidence to the Director of Public Prosecutions; or
  - (h) perform any other functions that may be conferred on it by any other written law.

#### SECTION 7 (1) (a) (ii)

Categories of documents in the possession of the PCA:

1. Incident reports
2. Complaints
3. Complaint classification forms
4. Remit assessment forms
5. Request for discontinuance forms
6. Legal opinions
7. Complaint additional information forms
8. Complaint information sheets
9. Submission forms
10. Internal policies (eg. fleet management, driver and visitor policies)
11. Personnel files
12. Job descriptions
13. Organizational chart
14. Letters of appointment
15. Contracts of employment
16. Contracts for services
17. Contracts for consultancy services
18. Letters of confirmation
19. Interview reports
20. Applications for employment
21. Terms of engagement
22. Offers of employment
23. Letters of promotion
24. Employee performance appraisals
25. Training and development database
26. Leave management sheets

27. Group health and life plan
28. Annual Reports
29. Strategic Plans
30. Press releases and statements
31. Brochures
32. Gazetted material
33. Public relations materials (eg. flyers, presentations)
34. Payment vouchers/ pay sheets
35. Salary deduction vouchers
36. Schedule of accounts
37. Daily cheque listings
38. Summary of net amount payable statement
39. Vote books
40. Cash books
41. Invoice orders
42. Requests for release of funds
43. Monthly expenditure statements
44. Monthly bank reconciliation statements
45. Annual statement of budgetary proposals
46. Statements of gratuity computation
47. Letters of approval of gratuity payment
48. Fixed asset registers
49. Travelling registers
50. Contract and utility registers
51. Requisition forms
52. Annual return of remuneration paid and income tax and health surcharge deducted
53. TD 4 certificates
54. Requests for statement of PAYE indebtedness
55. Annual financial statements
56. Standard Operating Procedures (eg. Audio Visual Recordings, Movement and Activity Register etc)

#### SECTION 7 (1) (a) (iii)

Materials prepared for publication or inspection:

1. The Police Complaints Authority Act, Chapter 15:05, Act No. 8 of 2006.
2. The PCA's Annual Reports of its activities for the periods December 29, 2010 to September 30, 2011, October 1, 2011 to September 30, 2012, October 1, 2012 to September 30, 2013, October 1, 2013 to September 30, 2014, October 1, 2014 to September 30, 2015 and October 1, 2015 to September 30, 2016, October 1, 2016 to September 30, 2017, October 1, 2017 to September 30, 2018, October 1, 2018 to September 30, 2019 and October 1, 2019 to September 30, 2020 which were all laid in Parliament or submitted to the Office of the Attorney General for laying in Parliament.
3. The PCA's audited statement of accounts for the periods December 29, 2010 to September 30, 2011, October 1, 2011 to September 30, 2012, October 1, 2012 to September 30, 2013, October 1, 2013 to September 30, 2014, October 1, 2014 to September 30, 2015 and October 1, 2015 to September 30, 2016, October 1, 2016 to September 30, 2017, October 1, 2017 to September 30, 2018, October 1, 2018 to September 30, 2019 and October 1, 2019 to September 30, 2020 which were all laid in Parliament or submitted to the Office of the Attorney General for laying in Parliament.

#### SECTION 7 (1) (a) (iv)

Literature available by Subscription

The PCA is not in possession of literature available by subscription.

#### SECTION 7 (1) (a) (v)

The procedure to be followed when accessing documents from the PCA.

#### 1. How to request information:

##### • General Procedure

The PCA's policy is to answer all requests, both oral and written, for information. However in order to exercise the rights given by the FOIA (for example the right to challenge a decision if a request for information is refused), a request must first be made in writing. An applicant seeking information that is not readily available in the public domain, must complete the appropriate form (Request for Access to Official Documents) available from the PCA's Reception Desk or from its Designated Officer.

##### • Addressing Request

To facilitate the prompt handling of a request, it should be

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POLICE COMPLAINTS AUTHORITY  
2021 FREEDOM OF INFORMATION STATEMENT—Continued

addressed to the Designated Officer of the PCA mentioned in SECTION 7 (1) (a)(vi) herein.

• **Details in the Request**

An applicant should provide details that will allow for ready identification and location of the information that is being requested. If insufficient information is provided clarification will be sought from the applicant. An applicant who is unsure of how to write a request or of what details to include should inquire of the Designated Officer.

• **Request not handled under the FOIA**

A request under the FOIA may not be processed to the extent that it seeks information that is readily available in the public domain, either from the PCA or from another public authority (e.g. brochures etc.)

**2. Responding to your Request**

• **Retrieving Documents**

The PCA is required to furnish copies of documents only when those documents are in its possession, custody or control.

• **Furnishing Documents**

The PCA is required to furnish only one copy of a document. If it cannot make a legible copy of the document to be released, it will not attempt to reconstruct it, instead the best copy possible will be furnished.

The PCA is not compelled to do the following:

- (a) Create new documents, or
- (b) Perform research for an applicant.

**3. Time Limits**

**General**

Applicants will be notified within thirty (30) calendar days whether or not the request is approved. The PCA will try assiduously to ensure compliance with statutory time limits. If the PCA believes that the processing of your request may exceed the statutory time limit, we will acknowledge receipt of your request and undertake to advise you of its status. You are advised to call the Designated Officer to ensure that the PCA is in receipt of your request and to acquire an update on its status in light of the possibility that requests may be incorrectly addressed or misdirected.

**Time Allowed**

The PCA will advise you of the outcome of your request for access to information as soon as practicable but no later than thirty (30) calendar days from the date the request was received as required by Section 15 of the FOIA. If a decision is taken to grant access to the information requested, you will be permitted to inspect the documents and/or be provided with copies.

**4. Fees and Charges**

Section 17 (1) stipulates that no fee shall be charged by a public authority for the making of a request for access to an official document. However, where access to an official document is to be given in the form of printed copies or copies in some other form, such as a tape, disk, film or other material, the applicant will be required to pay the prescribed fee incurred for duplication of the said material.

**SECTION 7 (1)(a)(vi)**

The officer in the PCA responsible for:

- a) the initial receipt and auctioning of notices under section 10 of the FOIA;
- b) requests for access to documents under section 13 of the FOIA; and
- c) applications for correction of personal information under section 36 of the FOIA as follows:

**The Designated Officer is:**

Ms. Lisa-Marie Robertson  
Head of Legal  
Tower D Level 24

International Waterfront Complex  
1 Wrightson Road  
Port of Spain  
Tel: 627-4383 ext 2466 Fax: 627-0432  
E-mail: lrobertson@pca.org.tt

**The Alternate Officer is:**

Mr. Trevor Clarke  
Advocate Attorney  
Tower D Level 24  
International Waterfront Complex  
1 Wrightson Road  
Port of Spain  
Tel: 627-4383 ext 2495 Fax: 627-0432  
tclarke@pca.org.tt

**SECTION 7 (1) (a)(vii)**

**Advisory Boards, Councils, Committees, and other bodies, (Where meetings/minutes are open to the public)**  
This bears no applicability to the PCA.

**SECTION 7 (1)(a)(viii)**

Information can be accessed through the Designated or Alternate Officer between the hours of 8:00am and 4:00pm from Mondays to Fridays, at the PCA's office located at:

Tower D Level 24  
International Waterfront Complex  
1 Wrightson Road  
Port of Spain  
Tel: 627-4383

**SECTION 8(1) STATEMENTS**

**Section 8(1)(a)**

The public is entitled to access documents that are provided by the PCA for the use or guidance of the PCA or its staff in making decisions or recommendations, or in providing advice to persons outside the public authority, with respect to rights, privileges, benefits, obligations, penalties or other detriments, these being:

- (i) Documents containing interpretations or particulars of written laws or schemes administered by the PCA, not being particulars contained in another written law; or
- (ii) Manuals, rules of procedure, statements of policy, records of decisions, letters of advice to persons outside the PCA, or similar documents containing rules, policies, guidelines, practices or precedents.

The above documents will be made available to the public as they are developed, and include:

**Governing Legislation**

The Police Complaints Authority Act, Chapter 15:05.

**SECTION 8(1)(b)**

The public is also entitled to access documents that are provided by the PCA for the use or guidance of the PCA or its staff in enforcing written laws or schemes administered by the PCA where a member of the public might be directly affected by that enforcement, being documents containing information on the procedures to be employed or the objectives to be pursued in the enforcement of the written laws or schemes.

There are documents available which can be requested using the procedure set out in section 7 (1) (a) (v) above.

**SECTION 9 STATEMENTS**

**SECTION 9 (1) (a)**

A report or a statement containing the advice or recommendations, of a body or entity established within the public authority.

Advice proffered to the Office of the Commissioner of Police by the Legal Counsel, Compliance and Complaints Unit of the PCA and approved by the Authority are featured in the PCA's Annual Report of its activities for the periods December 29, 2010 to September 30, 2011, October 1, 2011 to September 30, 2012, October 1, 2012 to September 30, 2013,

October 1, 2013 to September 30, 2014, October 1, 2014 to September 30, 2015, October 1, 2015 to September 30, 2016, October 1, 2016 to September 30, 2017, October 1, 2017 to September 30, 2018, October 1, 2018 to September 30, 2019 and October 1, 2019 to September 30, 2020.

**SECTION 9(1)(b)**

A report, or a statement containing the advice or recommendations, of a body or entity established outside the public authority by or under a written law, 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 public authority or to the responsible Minister of that public authority.

The 12th Report of the Joint Select Committee on Ministries, Statutory Authorities and State Enterprises (Group 1) on the inquiry into the administration and operations of the Police Complaints Authority.

The Report of the Joint Select Committee on National Security "Inquiry into the "total policing" initiative on March 23, 2015"

**SECTION 9 (1)(c)**

Any report, or a statement containing the advice or recommendations, of an interdepartmental Committee whose membership includes an officer of the PCA.

There are no reports or statements to be published under this section at this time.

**SECTION 9 (1) (d)**

Any report, or a statement containing the advice or recommendations, of a committee established within the PCA to submit a report, provide advice or make recommendations to the responsible Minister for the PCA or to another officer of PCA who is not a member of such committee.

The PCA's Annual Reports of its activities for the periods December 29, 2010 to September 30, 2011, October 1, 2011 to September 30, 2012, October 1, 2012 to September 30, 2013, October 1, 2013 to September 30, 2014, October 1, 2014 to September 30, 2015 and October 1, 2015 to September 30, 2016 October 1, 2016 to September 30, 2017, October 1, 2017 to September 30, 2018, October 1, 2018 to September 30, 2019 and October 1, 2019 to September 30, 2020 which were all laid in Parliament or furnished to the Attorney General for laying in Parliament.

The PCA's audited statement of accounts for the periods December 29, 2010 to September 30, 2011, October 1, 2011 to September 30, 2012, October 1, 2012 to September 30, 2013, October 1, 2013 to September 30, 2014, October 1, 2014 to September 30, 2015, October 1, 2015 to September 30, 2016, October 1, 2016 to September 30, 2017, October 1, 2017 to September 30, 2018 and October 1, 2018 to September 30, 2019, were laid in Parliament.

**SECTION 9 (1) (e)**

Any report (including a report concerning the results of studies, surveys or tests) prepared for the PCA by a scientific or technical expert, whether employed within the PCA or not, including a report expressing the opinion of such an expert on scientific or technical matters.

There are no reports to be published under this section at this time.

**SECTION 9 (1) (f)**

Any report prepared for the PCA by a consultant who was paid for preparing the report.

Report on Records Management.

**SECTION 9 (1)(g)**

Any report prepared within the PCA 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.

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POLICE COMPLAINTS AUTHORITY  
2021 FREEDOM OF INFORMATION STATEMENT—Continued

There are no reports to be published under this section at this time.

**SECTION 9 (1)(b)**

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

There are no reports to be published under this section at this time.

**SECTION 9 (1)(i)**

Any report containing:

- a. Final plans or proposals for the re-organization of the functions of the PCA;
- b. The establishment of a new policy, programme or project to be administered by the PCA; or
- c. The alteration of an existing policy programme or project administered by the PCA, whether or not the plans or proposals are subject to approval by an officer of the PCA, another public authority, the responsible Minister for the PCA or Cabinet;

There are no reports to be published under this section at this time.

**SECTION 9 (1)(j)**

Any statement prepared within the PCA and containing policy directions for the drafting of legislation.

The policy containing amendments to the PCA Act and necessary consequential amendments is summarized hereunder.

- (i) Widen the definition of "serious police misconduct" to include the commission of a disciplinary offence under the Municipal Police Service Regulations which the Authority considers to be so serious as to bring the Municipal Police Service into disrepute. It would also define the terms Assistant Commissioner and Municipal Police Service;
- (ii) Deem the Authority constituted with one member for no more than three (3) months immediately following death, resignation or revocation of office of one of its members;
- (iii) Allow persons to be "selected" and not "appointed" as Director or Deputy Director from within the Commonwealth pursuant to Section 7 of the PCA Act;
- (iv) Impose a duty on the Commissioner to provide a written decision with reasons or an update to the Authority within three months of the Authority making a recommendation;
- (v) Amend section 48 of the PCA Act to require the written report of the Police Service Commission, Commissioner of Police and/or Assistant Commissioner of the Municipal Police Service referred to therein to be provided within three days of the date on which the information or complaint was received, with consequences to flow from failure to adhere;
- (vi) Amend the interpretation section and section 21 to remedy drafting errors or oversight;
- (vii) Amend section 50 of the Act to provide that Regulations made under section 50 to be subject to negative resolution of Parliament; and to
- (viii) Amend the following Acts which touch and concern the operations of the PCA:
  - (a) The Evidence Act, Chap. 7:02 to include the PCA under the definition of "law enforcement agency" to which the audio visual recording rules apply. In so doing this addresses any potential issues of inadmissibility of evidence obtained by the PCA by audio visual means;
  - (b) The Special Reserve Police Act, Chap. 15:03 to implement a temporary provision which makes the Police Service Regulations applicable to special reserve police officers until the making of their own regulations thus ensuring that serious police misconduct allegations can be effectively dealt with by the PCA; and

**SECTION 9(1)(k)**

Any report of a test carried out within the PCA on a product for the purpose of purchasing equipment.

There are no reports to be published under this section at this time.

**SECTION 9 (1)(l)**

Any environmental impact statement prepared within the PCA.

There are no statements to be published under this section at this time.

**SECTION 9 (1)(m)**

Any valuation report prepared for the PCA by a valuator, whether or not the valuator is an officer of the PCA.

There are no reports to be published under this section at this time.



## PUBLIC STATEMENT

### OF THE TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION FREEDOM OF INFORMATION ACT, CHAPTER 22:02 (FOIA) OF THE LAWS OF THE REPUBLIC OF TRINIDAD AND TOBAGO

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. for each person to access information held by the Commission;
2. for each person to have official information relating to himself/herself amended where it is incomplete, incorrect or misleading;
3. to obtain reasons for adverse decisions made by the Commission regarding an applicant's request for information under the FOIA; and
4. to complain to the Ombudsman and to apply to the High Court for judicial review to challenge adverse 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.

###### 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 ("SA 2012") 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 2012 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 2012, 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 2012;
- 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 2012;
- 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

For the purpose of the discharge of its functions, the Commission has power pursuant to Section 7 of the SA 2012 to, amongst other things:

- (a) register and regulate market actors in accordance with the SA 2012;
- (b) formulate principles for the guidance of the securities industry;
- (c) take enforcement action against any person for failing to comply with the SA 2012;
- (d) 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 the SA 2012.

##### Structure of the Commission

The SA 2012 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.

##### Staff of the Commission

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

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PUBLIC STATEMENT OF THE TRINIDAD AND TOBAGO  
SECURITIES AND EXCHANGE COMMISSION—CONTINUED**Organisational Structure of the  
Commission****Board of Commissioners  
Executive:**

Office of the Chief Executive Officer  
Office of the Deputy Chief Executive  
Officer  
Office of the Chief Legal Counsel/  
Corporate Secretary

**Divisions/Departments:**

- (1) Compliance and Inspections
- (2) Corporate Services
- (3) Corporate Communication and  
Education
- (4) Disclosure, Registration and  
Corporate Finance
- (5) Finance
- (6) Human Resource Management
- (7) Information Management
- (8) International Affairs
- (9) Internal Audit
- (10) Legal Division
- (11) Market Regulation and Surveillance
- (12) Policy, Research and Planning
- (13) Strategic Projects and Procurement

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

**SECTION 7 (1) (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 Securities Act 2012, By-Laws and Guidelines
- (9) Guidance
- (10) Legal opinions and related matters
- (11) Minutes of Commission meetings
- (12) Annual reports
- (13) Prospectuses
- (14) Registers
- (15) Documents required to be filed by Registrants under the SA 2012
- (16) Books, journals, pamphlets and brochures
- (17) Newspaper clippings
- (18) Periodicals including the Securities Market Bulletin
- (19) Conferences hosted by the Commission

- (20) Approved list of Designated Foreign Jurisdictions (up-dated quarterly).

**SECTION 7 (1) (a) (iii)****Materials prepared for public inspection**

- (1) The Securities Act Chap. 83:02
- (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 the Commission
- (7) Bi-Annual Market Bulletin and Newsletters
- (8) Papers for public comment on:
  - Information Memorandum Guidelines
  - The regulatory treatment of Deferred Tax Annuity/Savings plans
- (9) Securities Industry (Hearing and Settlements) Practice Rules, 2008
- (10) Register of registrants
- (11) Register of securities
- (12) 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
- (13) Collective Investment Schemes (CIS) data and statistics
- (14) Draft Collective Investment Scheme By-Laws 2019 and Statement of Substance and Purpose.
- (14) Draft Collective Investment Scheme By-Laws 2020
- (15) Draft Portfolio Manager By-Laws 2020 and Statement of Substance and Purpose.

**Place where materials may be inspected or  
obtained**

The public may inspect and/or obtain copies of the preceding material between the normal working hours of 8:00 a.m. - 4:00 p.m. Monday to Friday at the following location:

LEVEL 23, TOWER D,  
INTERNATIONAL WATERFRONT  
CENTRE,  
1 WRIGHTSON ROAD,  
PORT OF SPAIN,  
TRINIDAD, W.I.  
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)

**SECTION 7 (1) (a) (iv)****Literature available by subscription: -**

1. Annual Reports of the Commission; and
2. Legislation (SA 2012, Securities (General) By-Laws, 2015 etc.)

**SECTION 7 (1) (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**

Under 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 (1) (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.

**Requests not handled under the FOIA**

- A request under the FOIA will not be processed to the extent that it asks for information which is readily available to the public. (for example brochures, pamphlets, reports etc.) either from the Commission or another public authority.

**Responding to requests****• Retrieving documents**

The Commission is required to furnish copies of documents only when they are in our possession.

**• 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 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

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**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 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**  
Lead Counsel Advisory  
LEVEL 23, TOWER D  
INTERNATIONAL WATERFRONT  
CENTRE  
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TRINIDAD, W.I.  
Telephone: 624-2991  
Fax: 624-2995  
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**Alternate:**

**Ms. Amala Cameron**  
Library Technician  
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**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 the Commission's Office at: Levels 22-23, 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.

**SECTION 8 STATEMENTS**

**SECTION 8 (1) Statement 2**

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

- (1) The Securities Act, Chap. 83:02;
- (2) Securities (General) By-Laws, 2015
- (3) The Securities Industry Act, 1995 and Securities Industry By-Laws, 1997;
- (4) Securities Industry (Take-Over) By-Laws, 2005;
- (5) The Securities Industry (Hearings and Settlements) Practice Rules, 2008;
- (6) Guidelines on specific matters concerning the Securities Industry; and
- (7) Trinidad and Tobago Securities and Exchange Commission Tender Rules (approved August 03, 2001 and amended in 2008 and 2015).

**SECTION 9 STATEMENTS**

**SECTION 9 (1) (a, b, c, d, e)**

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

**SECTION 9 (1) (f)**

**A report prepared for the public authority by a consultant who was 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, i, j, k, l, m)**

These subsections are not applicable to the Commission at this time.