



TRINIDAD AND TOBAGO GAZETTE (EXTRAORDINARY)

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979



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

In the Matter of the Contravention of Section 66(1) of the Securities Act Chapter 83:02
of the Laws of the Republic of Trinidad and Tobago

By

Airports Authority of Trinidad and Tobago

ORDER OF THE COMMISSION

Dated this ^{4th} 20 day of May, 2022

WHEREAS Section 66(1) of the Securities Act Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) imposes certain obligations on registrants with respect to the filing of interim financial statements;

AND WHEREAS Airports Authority of Trinidad and Tobago (“the Respondent”) failed to file its interim financial statements for financial period ended September 30, 2020 with the Commission by the due date;


AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Section 66(1) of the Act by failing to file its interim financial statements with the Commission, within the prescribed timeframe;


AND WHEREAS the Respondent acknowledged that it was in contravention of Section 66(1) of the Act and has paid the consequential administrative fine of Two Thousand Trinidad and Tobago Dollars (TT\$2,000.00) to the Commission;

AND UPON the Board of Commissioners considering submissions made by the Staff of the Commission and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.


IT IS HEREBY ORDERED THAT:

1. Airports Authority of Trinidad and Tobago (“the Respondent”) has contravened Section 66(1) of the Act;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the total sum Two Thousand Trinidad and Tobago Dollars (TT\$2,000.00) receipt of which the Commission has acknowledged; and
3. This Order shall be published in the Trinidad and Tobago Gazette and posted on the Commission’s website. A notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.


Enid Zephyrine
Chairman



Imtiaz Hosein
Deputy Chairman



Marie-Suzanne Borely
Commissioner


Anthony Bullock
Commissioner


Amerelle Francis
Commissioner


Angela Hordatt
Commissioner


Anthony Joseph
Commissioner


David Thompson
Commissioner



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

In the Matter of the Contravention of Section 136(1) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago

By

Andrew Leo-Rhynie

ORDER OF THE COMMISSION

Dated this ^{20th} day of *May*, 2022

WHEREAS Section 136(1) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) imposes certain obligations on persons who are connected to Reporting Issuers;

AND WHEREAS Andrew Leo-Rhynie (“the Respondent”), became a person connected to GraceKennedy Limited (“GKL”) by virtue of his appointment as Head of Mergers and Acquisitions Unit of GKL, effective October 1, 2020;

AND WHEREAS the Respondent contravened Section 136(1) of the Act by filing a Form No. 22 Notification with the Trinidad and Tobago Securities and Exchange Commission (“the Commission”), past the due date;

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that he was in contravention of Section 136(1) of the Act by failing to file the aforementioned document with the Commission within the prescribed timeframe;

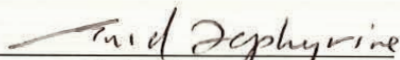
AND WHEREAS the Respondent acknowledged that he was in contravention of Section 136(1) of the Act and entered into a settlement agreement with the Staff (“the Settlement Agreement”);

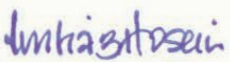
AND WHEREAS pursuant to the Settlement Agreement, which was approved by the Settlement Panel and the Board of Commissioners, the Respondent shall pay to the Commission the sum of Thirty-Six Thousand And Fifty Trinidad And Tobago Dollars (TT\$36,050.00) within twenty-eight days (28) of the making of this Order.


AND UPON the Board of Commissioners considering the submissions in the Settlement Agreement dated March 25, 2022 and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.


IT IS HEREBY ORDERED THAT:

1. Andrew Leo-Rhynie (“the Respondent”) has contravened Section 136(1) of the Act;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the sum of Thirty-Six Thousand And Fifty Trinidad And Tobago Dollars (TT\$36,050.00) within twenty-eight (28) days of the making of this Order; and
3. This Order shall be published in the Trinidad and Tobago Gazette and posted on the Commission’s website. A notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.



Enid Zephyrine
Chairman



Imtiaz Hosein
Deputy Chairman



Marie-Suzanne Borely
Commissioner


Anthony Bullock
Commissioner


Amerelle Francis
Commissioner


Angela Hordatt
Commissioner


Anthony Joseph
Commissioner


David Thompson
Commissioner



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

**In the Matter of the Contravention of Section 63(a) of the Securities Act Chapter 83:02
of the Laws of the Republic of Trinidad and Tobago and By-Law 47(c) of the
Securities (General) By-Laws, 2015**

By

Capital Markets Elite Group (Trinidad and Tobago) Limited

ORDER OF THE COMMISSION

Dated this ^{4th} 20th day of *May*, 2022

WHEREAS Section 63(a) of the Securities Act Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) and By-Law 47(c) of the Securities (General) By-Laws, 2015 (“the By-Laws”), impose certain obligations on Reporting Issuers;

AND WHEREAS Capital Markets Elite Group (Trinidad and Tobago) Limited (“the Respondent”), filed its Annual Report for the financial year ended May 31, 2020, with the Trinidad and Tobago Securities and Exchange Commission (“the Commission”), past the due date;

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Section 63(a) of the Act and By-Law 47(c) of the By-Laws, by failing to file the said Annual Report within the prescribed timeframe;

AND WHEREAS the Respondent acknowledged that it was in contravention of Section 63(a) of the Act and By-Law 47(c) of the By-Laws and agreed to pay the consequential administrative fine;


AND WHEREAS the Respondent shall pay to the Commission the sum of Two Thousand Trinidad and Tobago Dollars (TT\$2,000.00) within twenty-eight days of the making of this Order;


AND UPON the Board of Commissioners considering the submissions by the Staff of the Commission and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.

981—Continued


IT IS HEREBY ORDERED THAT:

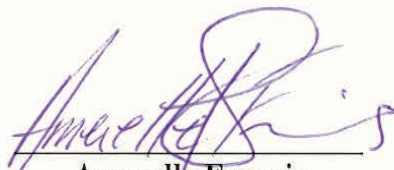
1. Capital Markets Elite Group (Trinidad and Tobago) Limited Ltd (“the Respondent”) has contravened Section 63(a) of the Act and By-Law 47(c) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the sum of Two Thousand Trinidad and Tobago Dollars (TT\$2,000.00), within twenty-eight (28) days of the making of this Order; and
3. This Order shall be published in the Trinidad and Tobago Gazette and posted on the Commission’s website. A notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.



Enid Zephyrine
Chairman



Imtiaz Hosein
Deputy Chairman



Marie-Suzanne Borely
Commissioner


Anthony Bullock
Commissioner


Amerelle Francis
Commissioner


Angela Hordatt
Commissioner


Anthony Joseph
Commissioner


David Thompson
Commissioner



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

In The Matter of the Contravention of Section 63(a) of the Securities Act Chap 83:02 of the Laws of the Republic of Trinidad and Tobago and By-Law 47(c) of the Securities (General), By-Laws 2015

By

Citibank Trinidad and Tobago Limited

ORDER OF THE COMMISSION

Dated this *20th* day of *may*, 2022

WHEREAS Section 63(a) of the Securities Act Chap 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) and By-Law 47(c) of the Securities (General), By-Laws 2015 (“the By-Laws”) require a Reporting Issuer to file its Annual Report with the Commission within the prescribed timeframe;

AND WHEREAS Citibank Trinidad and Tobago Limited (“the Respondent”) filed its Annual Report for the financial year ended December 31, 2020 with the Commission past the due date;

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Section 63(a) of the Act and By-Law 47(c) of the By-Laws by failing to file the aforementioned document within the prescribed timeframe;

AND WHEREAS the Respondent acknowledged that it was in contravention of Section 63(a) of the Act and By-Law 47(c) of the By-Laws by failing to file the aforementioned document with the Commission, within the prescribed timeframe;

AND WHEREAS the Respondent entered into a Settlement Agreement with the Staff (“the Settlement Agreement”), and the Settlement Agreement was approved by the Settlement Panel and the Board of Commissioners;

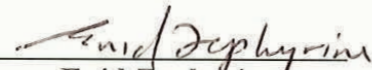
982—Continued


AND WHEREAS pursuant to the Settlement Agreement the Respondent shall pay to the Commission the sum of Three Thousand, Four Hundred Trinidad and Tobago Dollars (TT\$3,400.00) within twenty-eight (28) days of the making of this Order;

AND UPON the Board of Commissioners considering the submissions in the Settlement Agreement dated March 28, 2022 and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.


IT IS HEREBY ORDERED THAT:

1. Citibank Trinidad and Tobago Limited (“the Respondent”) has contravened Section 63(a) and By-Law 47(c) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the total sum Three Thousand, Four Hundred Trinidad and Tobago Dollars (TT\$3,400.00) within twenty-eight (28) days of the making of this Order; and
3. This Order shall be published in the Trinidad and Tobago Gazette and posted on the Commission’s website. A notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.



 Enid Zephyrine
 Chairman



 Imtiaz Hosein
 Deputy Chairman

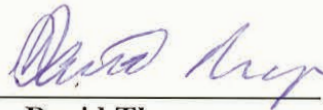

 Marie-Suzanne Borely
 Commissioner


 Anthony Bullock
 Commissioner


 Amerelle Francis
 Commissioner


 Angela Hordatt
 Commissioner


 Anthony Joseph
 Commissioner


 David Thompson
 Commissioner



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

**In the Matter of the Contravention of Section 65(1) of the Securities Act Chapter 83:02
of the Laws of the Republic of Trinidad and Tobago and By-Law 48(1) of the
Securities (General) By-Laws 2015**

By

The Trinidad and Tobago Housing Development Corporation

ORDER OF THE COMMISSION

Dated this ^{4th} 20 day of May, 2022

WHEREAS Section 65(1) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) and By-Law 48(1) of the Securities (General) By-Laws (“the By-Laws”) require a reporting issuer to file its audited annual comparative financial statements with the Commission, within the prescribed timeframe;

AND WHEREAS Trinidad and Tobago Housing Development Corporation (“the Respondent”), as at June 30, 2021, failed to file its audited annual comparative financial statements with the Commission for the financial years 2016 to 2020 by the required due dates;

AND WHEREAS the staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Section 65(1) of the Act and By-Law 48(1) of the By-Laws by failing to file its audited annual comparative financial statements with the Commission for the financial years 2016 to 2020, within the prescribed timeframes;

AND WHEREAS the Respondent agreed to a settlement and entered into a settlement agreement with the Staff (“the Settlement Agreement”), and the Settlement Agreement was approved by the Settlement Panel and the Board of Commissioners;


AND WHEREAS pursuant to the Settlement Agreement the Respondent shall pay to the Commission the sum of Two Million One Hundred and Eighty-Eight Thousand Trinidad and Tobago Dollars (TT\$2,188,000.00) within three months of the making of this Order;

AND UPON the Board of Commissioners considering the submissions in the Settlement Agreement dated March 28, 2022 and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.

IT IS HEREBY ORDERED THAT:


1. Trinidad and Tobago Housing Development Corporation (“the Respondent”) has contravened 65(1) of the Act and By-Law 48(1) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the total sum of Two Million, One Hundred and Eighty-Eight Thousand Trinidad and Tobago Dollars (TT\$2,188,000.00) within three months of the making of this Order; and
3. This Order shall be published in the Trinidad and Tobago Gazette and posted on the Commission’s website. A notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.



Enid Zephyrine
Chairman



Imtiaz Hosein
Deputy Chairman


Marie-Suzanne Borely
Commissioner


Amerelle Francis
Commissioner


Angela Hordatt
Commissioner


Anthony Joseph
Commissioner


David Thompson
Commissioner



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

**In the Matter of the Contravention of Section 63(a) of the Securities Act Chapter 83:02
of the Laws of the Republic of Trinidad and Tobago and By-Law 47(c) of the
Securities (General) By-Laws 2015**

By

The Trinidad and Tobago Housing Development Corporation

ORDER OF THE COMMISSION

Dated this ⁴⁰20th day of *May*, 2022

WHEREAS Section 63(a) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) and By-Law 47(c) of the Securities (General) By-Laws (“the By-Laws”) require a reporting issuer to file with the Commission, within the prescribed time frame, its annual report;

AND WHEREAS Trinidad and Tobago Housing Development Corporation (“the Respondent”), as at June 30, 2021, failed to file its annual report with the Commission for the financial years 2015 to 2020 by the required due dates;

AND WHEREAS the staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Section 63(a) of the Act and By-Law 47(c) of the By-Laws by failing to file its annual report with the Commission for the financial years 2015 to 2020 within the prescribed timeframes;


AND WHEREAS the Respondent agreed to a settlement and entered into a settlement agreement with the Staff (“the Settlement Agreement”), and the Settlement Agreement was approved by the Settlement Panel and the Board of Commissioners.


AND WHEREAS pursuant to the Settlement Agreement the Respondent shall pay to the Commission the sum of Two Million Six Hundred and Seventy-Five Thousand and Two Hundred Trinidad and Tobago Dollars (TT\$2,675,200.00) within three months of the making of this Order;

AND UPON the Board of Commissioners considering the submissions in the Settlement Agreement dated March 28, 2022 and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.


IT IS HEREBY ORDERED THAT:

1. Trinidad and Tobago Housing Development Corporation (“the Respondent”) has contravened 63(a) of the Act and By-Law 47(c) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the total sum of Two Million, Six Hundred and Seventy-Five Thousand and Two Hundred Trinidad and Tobago Dollars (TT\$2,675,200.00) within three months of the making of this Order; and
3. This Order shall be published in the Trinidad and Tobago Gazette and posted on the Commission’s website. A notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.



Enid Zephyrine
Chairman



Imtiaz Hosein
Deputy Chairman


Marie-Suzanne Borely
Commissioner


Amerelle Francis
Commissioner


Angela Hordatt
Commissioner


Anthony Joseph
Commissioner


David Thompson
Commissioner



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

In the Matter of the Contravention of Section 63(a) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago and By-Law 47(c) of the Securities (General) By-Laws, 2015

By

L.J. Williams Limited

ORDER OF THE COMMISSION

Dated this ^{20th} day of *May*, 2022

WHEREAS Section 63(a) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) and By-Law 47(c) of the Securities (General) By-Laws, 2015 (“the By-Laws”), impose certain obligations on reporting issuers;

AND WHEREAS L.J. Williams Limited (“the Respondent”), filed its Annual Report for the financial year ended March 31, 2020, with the Trinidad and Tobago Securities and Exchange Commission (“the Commission”), past the due date;

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Section 63(a) of the Act and By-Law 47(c) of the By-Laws, by failing to file the said Annual Report within the prescribed timeframe;

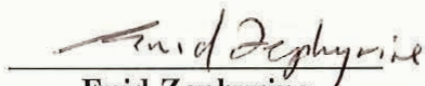
AND WHEREAS the Respondent acknowledged that it was in contravention of Section 63(a) of the Act and By-Law 47(c) of the By-Laws and agreed to pay the consequential administrative fine;

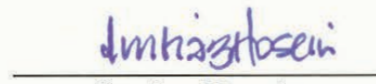
AND WHEREAS the Respondent shall pay to the Commission the sum of Six Thousand Trinidad and Tobago Dollars (TT\$6,000.00) within twenty-eight days of the making of this Order;

AND UPON the Board of Commissioners considering the submissions by the Staff of the Commission and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.

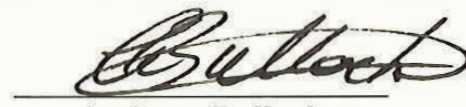
IT IS HEREBY ORDERED THAT:

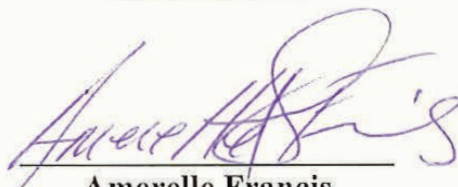
1. L.J. Williams Limited (“the Respondent”) has contravened Section 63(a) of the Act and By-Law 47(c) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the sum of Six Thousand Trinidad and Tobago Dollars (TT\$6,000.00), within twenty-eight (28) days of the making of this Order; and
3. This Order shall be published in the Trinidad and Tobago Gazette and posted on the Commission’s website. A notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.


Enid Zephyrine
Chairman



Imtiaz Hosein
Deputy Chairman

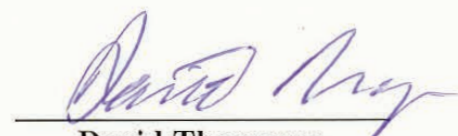

Marie-Suzanne Borely
Commissioner


Anthony Bullock
Commissioner


Amerelle Francis
Commissioner


Angela Hordatt
Commissioner


Anthony Joseph
Commissioner


David Thompson
Commissioner



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

In the Matter of the Contravention of Section 65(1) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago and By-Law 48(1) of the Securities (General) By-Laws, 2015

By

L.J. Williams Limited

ORDER OF THE COMMISSION

Dated this ^{4th} 20 day of *May*, 2022

WHEREAS Section 65(1) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) and By-Law 48(1) of the Securities (General) By-Laws, 2015 (“the By-Laws”), impose certain obligations on reporting issuers;

AND WHEREAS L.J. Williams Limited (“the Respondent”), filed its Audited Annual Comparative Financials (“Audited Financials”) for the financial year ended March 31, 2020, with the Commission past the due date;

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Section 65(1) of the Act and By-Law 48(1) of the By-Laws, by failing to file the said Audited Financials within the prescribed timeframe;

AND WHEREAS the Respondent acknowledged that it was in contravention of Section 65(1) of the Act and By-Law 48(1) of the By-Laws and agreed to pay the consequential administrative fine;


AND WHEREAS the Respondent shall pay to the Commission the sum of Four Thousand Trinidad and Tobago Dollars (TT\$4,000.00) within twenty-eight days of the making of this Order;


AND UPON the Board of Commissioners considering submissions by the Staff of the Commission and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.

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IT IS HEREBY ORDERED THAT:

1. L.J. Williams Limited (“the Respondent”) has contravened Section 65(1) of the Act and By-Law 48(1) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the sum of Four Thousand Trinidad and Tobago Dollars (TT\$4,000.00), within twenty-eight (28) days of the making of this Order; and
3. This Order shall be published in the Trinidad and Tobago Gazette and posted on the Commission’s website. A notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.


Enid Zephyrine
Chairman



Intiaz Hosein
Deputy Chairman



Marie-Suzanne Borely
Commissioner


Anthony Bullock
Commissioner


Amerelle Francis
Commissioner


Angela Hordatt
Commissioner


Anthony Joseph
Commissioner


David Thompson
Commissioner



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

In the Matter of the Contravention of Section 63(a) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago and By-Law 47(c) of the Securities (General) By-Laws, 2015 (“the By-Laws”)

By

MPC Caribbean Clean Energy Limited

ORDER OF THE COMMISSION

Dated this ^{4th} 20 day of *May*, 2022

WHEREAS Section 63(a) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) and By-Law 47(c) of the Securities (General) By-Laws, 2015 (“the By-Laws”) impose certain obligations on Reporting Issuers with respect to the filing of an Annual Report;

AND WHEREAS MPC Caribbean Clean Energy Limited (“the Respondent”), filed its Annual Report for the financial year ended December 31st 2020, with the Trinidad and Tobago Securities and Exchange Commission (“the Commission”) past the due date;

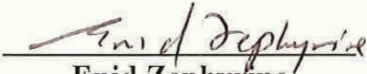
AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Section 63(a) of the Act”) and By-Law 47(c) of the By-Laws, by failing to file the aforementioned document with the Commission within the prescribed timeframe;


AND WHEREAS the Respondent acknowledged that it was in contravention of Section 63(a) of the Act and By-Law 47(c) of the By-Laws and agreed to pay the consequential administrative fine;


AND UPON the Board of Commissioners considering submissions by the Staff of the Commission and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.


IT IS HEREBY ORDERED THAT:

1. MPC Caribbean Clean Energy Limited (“the Respondent”) has contravened Section 63(a) of the Act and By-Law 47(c) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the sum of Seven Thousand Trinidad and Tobago Dollars (TT\$7,000.00) within twenty-eight (28) days of the making of this Order; and
3. This Order shall be published in the Trinidad and Tobago Gazette and posted on the Commission’s website. A notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.

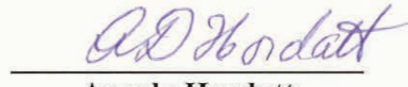

Enid Zephyrine
Chairman



Imtiaz Hosein
Deputy Chairman



Marie-Suzanne Borely
Commissioner


Anthony Bullock
Commissioner


Amerelle Francis
Commissioner


Angela Hordatt
Commissioner


Anthony Joseph
Commissioner


David Thompson
Commissioner



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

In the Matter of the Contravention of Section 65(1) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) and By-Law 48(1) of the Securities (General) By-Laws, 2015 (“the By-Laws”)

By

MPC Caribbean Clean Energy Limited

ORDER OF THE COMMISSION

Dated this ^{20th} day of *May*, 2022

WHEREAS Section 65(1) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) and By-Law 48(1) of the Securities (General) By-Laws, 2015 (“the By-Laws”), impose certain obligations on Reporting Issuers with respect to the filing of Audited Annual Comparative Financial Statements;

AND WHEREAS MPC Caribbean Clean Energy Limited (“the Respondent”), filed its Annual Comparative Financial Statements for the financial year ended December 31st 2020, with the Trinidad and Tobago Securities and Exchange Commission (“the Commission”) past the due date.

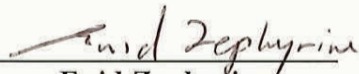
AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Section 65(1) of the Act and By-Law 48(1) of the By-Laws by failing to file the aforementioned document with the Commission within the prescribed timeframe;


AND WHEREAS the Respondent acknowledged that it was in contravention of Section 65(1) of the Act and By-Law 48(1) of the By-Laws and agreed to pay the consequential administrative fine;

AND UPON the Board of Commissioners considering submissions by the Staff of the Commission, and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.


IT IS HEREBY ORDERED THAT:

1. MPC Caribbean Clean Energy Limited (“the Respondent”) has contravened Section 65(1) of the Act and By-Law 48(1) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the sum of Thirty-Seven Thousand Trinidad and Tobago Dollars (TT\$37,000.00) within twenty-eight (28) days of the making of this Order; and
3. This Order shall be published in the Trinidad and Tobago Gazette and posted on the Commission’s website. A notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.


Enid Zephyrine
Chairman



Imtiaz Hosein
Deputy Chairman



Marie-Suzanne Borely
Commissioner


Anthony Bullock
Commissioner


Amerelle Francis
Commissioner


Angela Hordatt
Commissioner


Anthony Joseph
Commissioner


David Thompson
Commissioner



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

In the Matter of the Contravention of Section 63(a) of the Securities Act Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago and By-Law 47(c) of the Securities (General) By-Laws 2015

By

National Flour Mills Limited

ORDER OF THE COMMISSION

Dated this *20th* day of *May*, 2022

WHEREAS Section 63(a) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) and By-Law 47(c) of the Securities (General) By-Laws, 2015 (“the By-Laws”) require a Reporting Issuer to file with the Commission, within the prescribed time frame, its Annual Report;

AND WHEREAS National Flour Mills Limited (“the Respondent”) filed its Annual Report for the financial year ended December 31, 2019 with the Commission, past the due date;

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Section 63(a) of the Act and By-Law 47(c) of the By-Laws by failing to file its Annual Report with the Commission for the financial year ended December 31, 2019, within the prescribed timeframe;


AND WHEREAS the Respondent entered into a settlement agreement with the Staff (“the Settlement Agreement”), and the Settlement Agreement was approved by the Settlement Panel and the Board of Commissioners;


AND WHEREAS pursuant to the Settlement Agreement the Respondent shall pay to the Commission the sum of Six Thousand Trinidad and Tobago Dollars (TT\$6,000.00) within twenty-eight (28) days of the making of this Order;

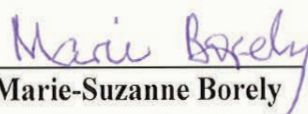
AND UPON the Board of Commissioners considering the submissions in the Settlement Agreement dated March 28, 2022 and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.

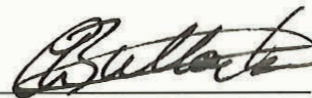
IT IS HEREBY ORDERED THAT:

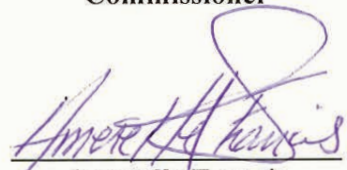
1. National Flour Mills Limited (“the Respondent”) has contravened Section 63(a) of the Act and By-Law 47(c) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the total sum of Six Thousand Trinidad and Tobago Dollars (TT\$6,000.00) within twenty-eight (28) days of the making of this Order; and
3. This Order shall be published in the Trinidad and Tobago Gazette and posted on the Commission’s website. A notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.


Enid Zephyrine
Chairman



Imtiaz Hosein
Deputy Chairman



Marie-Suzanne Borely
Commissioner


Anthony Bullock
Commissioner


Amerelle Francis
Commissioner


Angela Hordatt
Commissioner


Anthony Joseph
Commissioner


David Thompson
Commissioner



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

**In The Matter of the Contravention of By-Law 39(1)
of the Securities (General) By-Laws, 2015**

By

NCB Merchant Bank (Trinidad and Tobago) Limited

ORDER OF THE COMMISSION

Dated this 20th day of May, 2022

WHEREAS By-Law 39(1) of the Securities (General) By-Laws 2015 (“the By-Laws”), imposes certain obligations on broker-dealers ;

AND WHEREAS NCB Merchant Bank (Trinidad and Tobago) Limited (“the Respondent”), filed its Audited Annual Comparative Financials (“Audited Financials”) for the financial year ended September 30, 2021 with the Commission, past the due date;

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of By-Law 39(1) of the By-Laws, by failing to file the said Audited Financials within the prescribed timeframe;

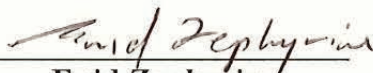
AND WHEREAS the Respondent acknowledged that it was in contravention of By-Law 39(1) of the By-Laws, and entered into a Settlement Agreement with the Staff (“the Settlement Agreement”);


AND WHEREAS pursuant to the Settlement Agreement, which was approved by the Settlement Panel and the Board of Commissioners, the Respondent shall pay to the Commission the sum of Five Thousand One Hundred Trinidad and Tobago Dollars (TT\$5,100.00) within twenty-eight days of the making of this Order;

AND UPON the Board of Commissioners considering the terms of the Settlement Agreement dated March 18, 2022 and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.


IT IS HEREBY ORDERED THAT:

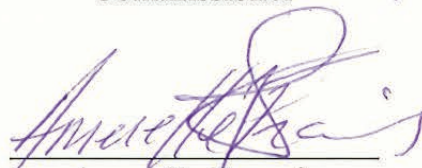
1. NCB Merchant Bank (Trinidad and Tobago) (“the Respondent”) has contravened By-Law 39(1) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the sum of Five Thousand One Hundred Trinidad and Tobago Dollars (TT\$5,100.00), within twenty-eight (28) days of the making of this Order; and
3. This Order shall be published in the Trinidad and Tobago Gazette and posted on the Commission’s website. A notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.


Enid Zephyrine
Chairman



Imtiaz Hosein
Deputy Chairman

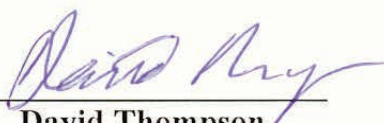

Marie-Suzanne Borely
Commissioner


Anthony Bullock
Commissioner


Amerelle Francis
Commissioner


Angela Hordatt
Commissioner


Anthony Joseph
Commissioner


David Thompson
Commissioner



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

In the Matter of the Contravention of Section 63(a) of the Securities Act Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago and By-Law 47(c) of the Securities (General) By-Laws, 2015

By

National Insurance Property Development Company Limited

ORDER OF THE COMMISSION

Dated this *20th* day of *May*, 2022

WHEREAS Section 65(1) of the Securities Act Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) and By-Law 48(1) of the Securities (General) By-Laws, 2015 (“the By-Laws”), impose certain obligations on reporting issuers;

AND WHEREAS National Insurance Property Development Company Limited (“the Respondent”), filed its Annual Report for the financial year ended June 30, 2021 with the Commission, past the due date;

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Section 63(a) of the Act and By-Law 47(c) of the By-Laws by failing to file the said Annual Report within the prescribed timeframe;

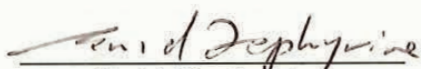
AND WHEREAS the Respondent acknowledged that it was in contravention of Section 63(a) of the Act and By-Law 47(c) of the By-Laws, and entered into a Settlement Agreement with the Staff (“the Settlement Agreement”);


AND WHEREAS pursuant to the Settlement Agreement, which was approved by the Settlement Panel and the Board of Commissioners, the Respondent shall pay to the Commission the sum of Six Thousand Eight Hundred Trinidad and Tobago Dollars (TT\$6,800.00) within twenty-eight days of the making of this Order;

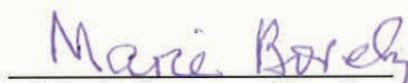
AND UPON the Board of Commissioners considering the terms of the Settlement Agreement dated March 24, 2022 and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.

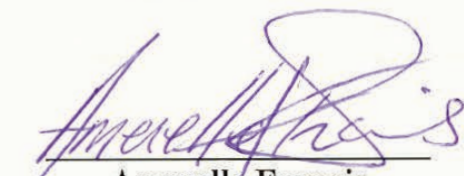
IT IS HEREBY ORDERED THAT:

1. National Insurance Property Development Company Limited (“the Respondent”) has contravened Section 63(a) of the Act and By-Law 47(c) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the sum of Six Thousand Eight Hundred Trinidad and Tobago Dollars (TT\$6,800.00), within twenty-eight (28) days of the making of this Order; and
3. This Order shall be published in the Trinidad and Tobago Gazette and posted on the Commission’s website. A notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.



Enid Zephyrine
Chairman



Imtiaz Hosein
Deputy Chairman


Marie-Suzanne Borely
Commissioner


Amerelle Francis
Commissioner


Angela Hordatt
Commissioner


Anthony Joseph
Commissioner


David Thompson
Commissioner



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

In the Matter of the Contravention of Section 65(1) of the Securities Act Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago and By-Law 48(1) of the Securities (General) By-Laws, 2015

By

National Insurance Property Development Company Limited

ORDER OF THE COMMISSION

Dated this th 20 day of May, 2022

WHEREAS Section 65(1) of the Securities Act Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) and By-Law 48(1) of the Securities (General) By-Laws, 2015 (“the By-Laws”), impose certain obligations on reporting issuers;

AND WHEREAS National Insurance Property Development Company Limited (“the Respondent”), filed its Audited Annual Comparative Financials (“Audited Financials”) for the financial year ended June 30, 2021 with the Commission, past the due date;

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Section 65(1) of the Act and By-Law 48(1) of the By-Laws, by failing to file the said Audited Financials within the prescribed timeframe;

AND WHEREAS the Respondent acknowledged that it was in contravention of Section 65(1) of the Act and By-Law 48(1) of the By-Laws, and entered into a Settlement Agreement with the Staff (“the Settlement Agreement”);

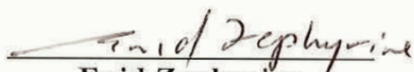
AND WHEREAS pursuant to the Settlement Agreement, which was approved by the Settlement Panel and the Board of Commissioners, the Respondent shall pay to the Commission the sum of Twenty-Six Thousand Three Hundred and Fifty Trinidad and Tobago Dollars (TT\$26,350.00) within twenty-eight days of the making of this Order;

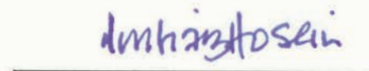
AND UPON the Board of Commissioners considering the terms of the Settlement Agreement dated March 24, 2022 and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.


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IT IS HEREBY ORDERED THAT:

1. National Insurance Property Development Company Limited (“the Respondent”) has contravened Section 65(1) of the Act and By-Law 48(1) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission, an administrative fine in the sum of Twenty-Six Thousand Three Hundred and Fifty Trinidad and Tobago Dollars (TT\$26,350.00), within twenty-eight (28) days of the making of this Order; and
3. This Order shall be published in the Trinidad and Tobago Gazette and posted on the Commission’s website. A notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.



Enid Zephyrine
Chairman



Imtiaz Hosein
Deputy Chairman


Marie-Suzanne Borely
Commissioner


Amerelle Francis
Commissioner


Angela Hordatt
Commissioner


Anthony Joseph
Commissioner


David Thompson
Commissioner



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

In the Matter of the Contravention of Sections 64(1)(a), (b) & (c) of the Securities Act Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago

By

Point Lisas Industrial Port Development Corporation Limited

ORDER OF THE COMMISSION

Dated this *20th* day of *May*, 2022

WHEREAS Sections 64(1)(a), (b) and (c) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) imposes certain obligations on reporting issuers with respect to material changes;

AND WHEREAS Point Lisas Industrial Port Development Corporation Limited (“the Respondent”), following the appointment of Mr. St. Clair O’Neil to its Board of Directors, effective July 8, 2021, filed and published the following documents past the respective due dates:

- i. Form No. 10 – Material Change Reports;
- ii. Copy of the notice of material change in two (2) daily newspapers; and
- iii. Copy of the notice published in the newspapers.

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Sections 64(1)(a), (b) & (c) of the Act by failing to file and publish the aforementioned documents with the Commission within the prescribed timeframes;

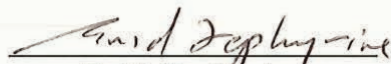
AND WHEREAS the Respondent acknowledged that it was in contravention of Section 64(1)(a), (b) & (c) of the Act and entered into a settlement agreement with the Staff (“the Settlement Agreement”);


AND WHEREAS pursuant to the Settlement Agreement, which was approved by the Settlement Panel and the Board of Commissioners, the Respondent shall pay to the Commission the sum of Twenty-One Thousand Trinidad and Tobago Dollars (TT\$21,000.00) within twenty-eight days of the making of this Order.

AND UPON the Board of Commissioners considering the terms of the Settlement Agreement dated March 31st 2022 and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.

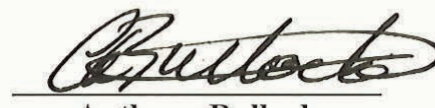
IT IS HEREBY ORDERED THAT:


1. Point Lisas Industrial Port Development Corporation Limited (“the Respondent”) has contravened Section 64(1)(a), (b) and (c) of the Act;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the sum of Twenty-One Thousand Trinidad and Tobago Dollars (TT\$21,000.00) within twenty-eight days of the making of this Order; and
3. This Order shall be published in the Trinidad and Tobago Gazette and posted on the Commission’s website. A notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.


Enid Zephyrine
Chairman



Imtiaz Hosein
Deputy Chairman



Marie-Suzanne Borely
Commissioner


Anthony Bullock
Commissioner


Amerelle Francis
Commissioner


Angela Hordatt
Commissioner


Anthony Joseph
Commissioner


David Thompson
Commissioner



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

**In the Matter of the Contravention of Section 64(1)(a) of the Securities Act, Chapter 83:02
of the Laws of the Republic of Trinidad and Tobago**

By

Quilter International Isle of Man Limited

ORDER OF THE COMMISSION

Dated this ^{4th} 20 day of *May*, 2022

WHEREAS Section 64(1)(a) of the Securities Act Chapter, 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) requires a reporting issuer to file a Form No. 10 - Material Change Report with the Commission within the prescribed timeframe;

AND WHEREAS Quilter International Isle of Man Limited (“the Respondent”) filed its Form No. 10 – Material Change Report in respect of two material changes, with the Commission past the due date;


AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Section 64(1)(a) of the Act by failing to file the said Form No. 10 – Material Change Report with the Commission, within the prescribed timeframe;


AND WHEREAS the Respondent acknowledged that it was in contravention of Section 64(1)(a) of the Act and agreed to pay the consequential administrative fine;

AND UPON the Board of Commissioners considering the submissions made by the Staff of the Commission and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.

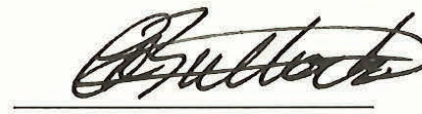
IT IS HEREBY ORDERED THAT:


1. Quilter International Isle of Man Limited (“the Respondent”) has contravened Section 64(1)(a) of the Act;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the total sum of Six Thousand Trinidad and Tobago Dollars (TT\$6,000.00) within twenty-eight (28) days of the making of this Order; and
3. This Order shall be published in the Trinidad and Tobago Gazette and posted on the Commission’s website. A notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.


Enid Zephyrine
Chairman



Imtiaz Hosein
Deputy Chairman



Marie-Suzanne Borely
Commissioner


Anthony Bullock
Commissioner


Amerelle Francis
Commissioner


Angela Hordatt
Commissioner


Anthony Joseph
Commissioner


David Thompson
Commissioner



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

In the Matter of the Contravention of Section 65(1) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago and By-Law 48(1) of the Securities (General) By-Laws 2015

By

Sagicor Funds Incorporated

ORDER OF THE COMMISSION

Dated this *20th* day of *May*, 2022

WHEREAS Section 65(1) of the Securities Act Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) and By-Law 48(1) of the Securities (General) By-Laws 2015 (“the By-Laws”) require a Reporting Issuer to file its Audited Annual Comparative Financial Statements with the Commission within the prescribed timeframe;

AND WHEREAS Sagicor Funds Incorporated (“the Respondent”) filed its Audited Annual Comparative Financial Statements for the financial year ended September 30, 2020, with the Commission past the due date;

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Section 65(1) of the Act and By-Law 48(1) of the By-Laws by failing to file the aforementioned document, within the prescribed timeframes;

AND WHEREAS the Respondent acknowledged that it was in contravention of Section 65(1) of the Act and By-Law 48(1) of the By-Laws and agreed to pay the consequential administrative fine;

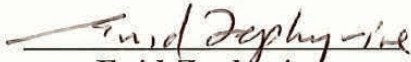
AND UPON the Board of Commissioners considering the submissions by the Staff of the Commission and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.


IT IS HEREBY ORDERED THAT:


1. Sagicor Funds Incorporated (“the Respondent”) has contravened Section 65(1) of the Act and By-Law 48(1) of the Securities (General) By-Laws 2015;


995—Continued

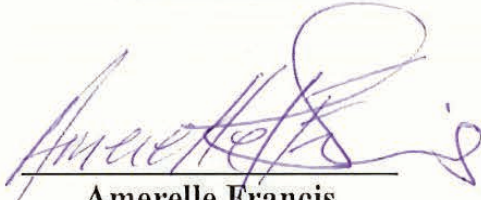
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the sum of Forty-One Thousand Trinidad and Tobago Dollars (TT\$41,000.00) within twenty-eight (28) days of the making of this Order; and
3. This Order shall be published in the Trinidad and Tobago Gazette and posted on the Commission's website. A notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.



Enid Zephyrine
Chairman



Imtiaz Hosein
Deputy Chairman



Marie-Suzanne Borely
Commissioner


Anthony Bullock
Commissioner


Amerelle Francis
Commissioner


Angela Hordatt
Commissioner


Anthony Joseph
Commissioner


David Thompson
Commissioner



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

**In the Matter of the Contravention of Section 61(2) of the Securities Act Chapter 83:02
of the Laws of the Republic of Trinidad**

By

The Sagicor Go-Mutual Funds

ORDER OF THE COMMISSION

Dated this ^{4th}20th day of *May*, 2022

WHEREAS Section 61(2) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) requires a Reporting Issuer to file its Revised Registration Statement with the Commission, within the prescribed timeframe;

AND WHEREAS Sagicor Go-Mutual Funds (“the Respondent”), filed its Revised Registration Statement with the Commission for the financial years ended December 31, 2021, past the due date;

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Section 61(2) of the Act by filing its Revised Registration Statement with the Commission for the financial year ended December 31, 2021 past the due date;

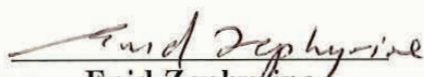
AND WHEREAS the Respondent agreed to a settlement and entered into a settlement agreement with the Staff (“the Settlement Agreement”), and the Settlement Agreement was approved by the Settlement Panel and the Board of Commissioners;


AND WHEREAS pursuant to the Settlement Agreement the Respondent shall pay to the Commission the sum of Sixteen Thousand Trinidad and Tobago Dollars (TT\$16,000.00) within twenty-eight (28) days of the making of this Order;

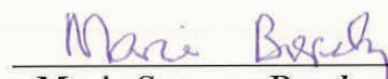
AND UPON The Board of Commissioners considering the submissions in the Settlement Agreement dated March 25, 2022 and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.


IT IS HEREBY ORDERED THAT:

1. Sagicor Go-Mutual (“**the Respondent**”) has contravened Section 61(2) of the Act;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the total sum of Sixteen Thousand Trinidad and Tobago Dollars (TT\$16,000.00) within twenty-eight days of the making of this Order; and
3. This Order shall be published in the Trinidad and Tobago Gazette and posted on the Commission’s website. A notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.



Enid Zephyrine
Chairman

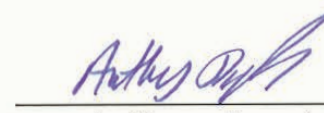

Imtiaz Hosein
Deputy Chairman



Marie-Suzanne Borely
Commissioner


Anthony Bullock
Commissioner


Amerelle Francis
Commissioner


Angela Hordatt
Commissioner


Anthony Joseph
Commissioner


David Thompson
Commissioner



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

**In the Matter of the Contravention of By-Law 39(1) of the Securities (General) By-Laws
2015**

By

Sagicor Life Incorporated

ORDER OF THE COMMISSION

Dated this *20th* day of *May*, 2022

WHEREAS By-Law 39(1) of the Securities (General) By-Laws 2015 (“the By-Laws”) imposes certain obligations on Broker-Dealers;

AND WHEREAS Sagicor Life Incorporated (“the Respondent”), filed its Audited Annual Comparative Financial Statements with the Trinidad and Tobago Securities and Exchange Commission (“the Commission”), past the due date of June 1, 2020.

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of By-Law 39(1) of the By-Laws by failing to file the aforementioned document with the Commission within the prescribed timeframe;

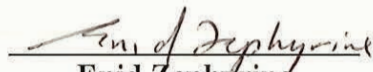
AND WHEREAS the Respondent acknowledged that it was in contravention of By-Law 39(1) of the By-Laws and entered into a settlement agreement with the Staff (“the Settlement Agreement”);

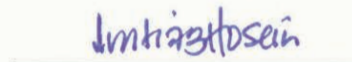
AND WHEREAS pursuant to the Settlement Agreement, which was approved by the Settlement Panel and the Board of Commissioners, the Respondent shall pay to the Commission the sum of Twenty-Eight Thousand, Eight Hundred Trinidad and Tobago Dollars (TT\$28,800.00) within twenty-eight days of the making of this Order;


AND UPON the Board of Commissioners considering the terms of the aforementioned Settlement Agreement dated April 4, 2022 and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.

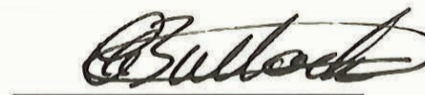
IT IS HEREBY ORDERED THAT:


1. Sagicor Life Incorporated (“the Respondent”) has contravened By-Law 39(1) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the sum of Twenty-Eight Thousand Eight Hundred Trinidad and Tobago Dollars (TT\$28,800.00) within twenty-eight days of the making of this Order; and
3. This Order shall be published in the Trinidad and Tobago Gazette and posted on the Commission’s website. A notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.


Enid Zephyrine
Chairman



Imtiaz Hosein
Deputy Chairman



Marie-Suzanne Borely
Commissioner


Anthony Bullock
Commissioner


Amerelle Francis
Commissioner


Angela Hordatt
Commissioner


Anthony Joseph
Commissioner


David Thompson
Commissioner



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

In the Matter of a Contravention of Section 63(a) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago and By-Law 47(c) of the Securities (General) By-Laws 2015

By

Trinidad and Tobago NGL Limited

ORDER OF THE COMMISSION

Dated this ^{4th} 20 day of *May*, 2022

WHEREAS Section 63(a) of the Securities Act Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) and By-Law 47(c) of the Securities (General) By-Laws 2015 (“the By-Laws”) require a Reporting Issuer to file its Annual Report with the Commission within the prescribed timeframe;

AND WHEREAS Trinidad and Tobago NGL Limited (“the Respondent”) filed its Annual Report for the financial year ended December 31, 2020, with the Commission, past the due date;

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Section 63(a) of the Act and By-Law 47(c) of the By-Laws by failing to file the aforementioned document, within the prescribed timeframe;

AND WHEREAS the Respondent acknowledged that it was in contravention of Section 63(a) of the Act and By-Law 47(c) of the By-Laws by failing to file the aforementioned document, within the prescribed timeframe;

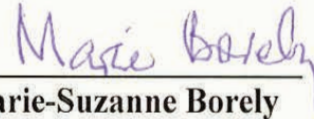
AND UPON the Board of Commissioners considering the submissions by the Staff of the Commission and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.

IT IS HEREBY ORDERED THAT:

1. Trinidad and Tobago NGL Limited (“the Respondent”) has contravened Section 63(a) of the Act and By-Law 47(c) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the sum of Five Thousand Trinidad and Tobago Dollars (TT\$5,000.00) within twenty-eight (28) days of the making of this Order; and
3. This Order shall be published in the Trinidad and Tobago Gazette and posted on the Commission’s website. A notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.



Imtiaz Hosein
Deputy Chairman



Marie-Suzanne Borely
Commissioner



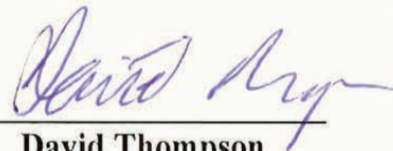
Anthony Bullock
Commissioner



Amerelle Francis
Commissioner



Angela Hordatt
Commissioner



David Thompson
Commissioner



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

In the Matter of a Contravention of Section 63(a) of the Securities Act, Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago and By-Law 47(c) of the Securities (General) By-Laws 2015

By

Trinidad and Tobago NGL Limited

ORDER OF THE COMMISSION

Dated this ^{4th} 20 day of *may*, 2022

WHEREAS Section 63(a) of the Securities Act Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) and By-Law 47(c) of the Securities (General) By-Laws 2015 (“the By-Laws”) require a Reporting Issuer to file its Annual Report with the Commission within the prescribed timeframe;

AND WHEREAS Trinidad and Tobago NGL Limited (“the Respondent”) filed its Annual Report for the financial year ended December 31, 2019, with the Commission, past the due date;

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Section 63(a) of the Act and By-Law 47(c) of the By-Laws by failing to file the aforementioned document, within the prescribed timeframe;

AND WHEREAS the Respondent acknowledged that it was in contravention of Section 63(a) of the Act and By-Law 47(c) of the By-Laws and agreed to pay the consequential administrative fine;

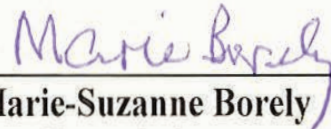
AND UPON the Board of Commissioners considering the submissions by the Staff of the Commission and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.

IT IS HEREBY ORDERED THAT:

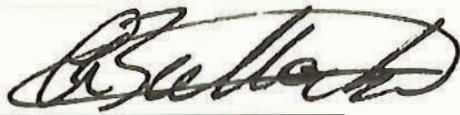
1. Trinidad and Tobago NGL Limited (“the Respondent”) has contravened Section 63(a) of the Act and By-Law 47(c) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the sum of Five Thousand Trinidad and Tobago Dollars (TT\$5,000.00) within twenty-eight (28) days of the making of this Order; and
3. This Order shall be published in the Trinidad and Tobago Gazette and posted on the Commission’s website. A notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.



Imtiaz Hosein
Deputy Chairman



Marie-Suzanne Borely
Commissioner



Anthony Bullock
Commissioner



Amerelle Francis
Commissioner



Angela Hordatt
Commissioner



David Thompson
Commissioner



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

**In the Matter of the Contravention of Section 64(1)(a) and (c) of the Securities Act,
Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago**

By

Trinidad Cement Limited

ORDER OF THE COMMISSION

Dated this ^{4th} 20 day of May, 2022

WHEREAS Sections 64(1)(a) and (c) of the Securities Act Chapter, 83:02 of the Laws of the Republic of Trinidad and Tobago (“the Act”) impose certain obligations on reporting issuers with respect to material changes;

AND WHEREAS Trinidad Cement Limited (“the Respondent”) filed the following documents in respect of a material change with the Commission past the respective due dates:

- i. Form No. 10 – Material Change Report (“Form No. 10 Notification”); and
- ii. A copy of the Notice published in two (2) daily newspapers.

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of Sections 64(1)(a) and (c) of the Act by failing to file the aforementioned documents with the Commission, within the prescribed timeframes;


AND WHEREAS the Respondent acknowledged that it was in contravention of Sections 64(1)(a) and (c) of the Act and agreed to pay the consequential administrative fine;

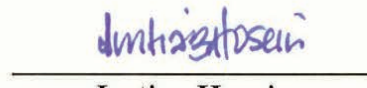
AND UPON the Board of Commissioners considering the submissions by the Staff of the Commission and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.

1000—Continued


IT IS HEREBY ORDERED THAT:


1. Trinidad Cement Limited (“the Respondent”) has contravened Sections 64(1)(a) and (c) of the Act;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the sum of Two Thousand Trinidad and Tobago Dollars (TT\$2,000.00) within twenty-eight (28) days of the making of this Order; and
3. This Order shall be published in the Trinidad and Tobago Gazette and posted on the Commission’s website. A notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.


Enid Zephyrine
Chairman



Intiaz Hosein
Deputy Chairman



Marie-Suzanne Borely
Commissioner


Anthony Bullock
Commissioner


Amerelle Francis
Commissioner


Angela Hordatt
Commissioner


Anthony Joseph
Commissioner


David Thompson
Commissioner



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

In the Matter of the Contravention of By-Law 39(1) of the Securities (General) By-Laws, 2015

By

Waterloo Capital Advisors Ltd

ORDER OF THE COMMISSION

Dated this ^{4th} 20th day of *May*, 2022

WHEREAS By-Law 39(1) of the Securities (General) By-Laws, 2015 (“the By-Laws”), imposes certain obligations on Broker Dealers;

AND WHEREAS Waterloo Capital Advisors Ltd (“the Respondent”), filed its Audited Annual Comparative Financial Statements for the financial year ended September 30, 2021, with the Trinidad and Tobago Securities and Exchange Commission (“the Commission”), past the due date;

AND WHEREAS staff of the Commission (“the Staff”) advised the Respondent that it was in contravention of By-Law 39(1) of the By-Laws, by failing to file the said Audited Annual Comparative Financial Statements within the prescribed timeframe;

AND WHEREAS the Respondent acknowledged that it was in contravention of By-Law 39(1) of the By-Laws and agreed to pay the consequential administrative fine;

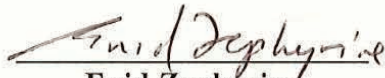





AND WHEREAS the Respondent shall pay to the Commission the sum of One Thousand Trinidad and Tobago Dollars (TT\$1,000.00) within twenty-eight days of the making of this Order;

AND UPON the Board of Commissioners considering the submissions by the Staff of the Commission and being satisfied that the making of this Order is essentially procedural and does not require a Hearing pursuant to Section 159 of the Act.

1001—Continued

IT IS HEREBY ORDERED THAT:

1. Waterloo Capital Advisors Ltd (“the Respondent”) has contravened By-Law 39(1) of the By-Laws;
2. Pursuant to Section 156(2) of the Act, the Respondent shall pay to the Commission an administrative fine in the sum of One Thousand Trinidad and Tobago Dollars (TT\$1,000.00), within twenty-eight (28) days of the making of this Order; and
3. This Order shall be published in the Trinidad and Tobago Gazette and posted on the Commission’s website. A notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.


Enid Zephyrine
Chairman
Imtiaz Hosein
Deputy Chairman
Marie-Suzanne Borely
Commissioner
Anthony Bullock
Commissioner
Amerelle Francis
Commissioner
Angela Hordatt
Commissioner
Anthony Joseph
Commissioner
David Thompson
Commissioner



TRINIDAD AND TOBAGO SECURITIES AND EXCHANGE COMMISSION

In the Matter of Sections 71(1)(b) and 155(1A)(e) of the Securities Act Chapter 83:02 of the Laws of the Republic of Trinidad and Tobago

And

In the Matter of an Application for the de-registration of the Scotiabank Trinidad and Tobago Fixed Income Fund Inc. and the Scotiabank Trinidad and Tobago Growth Fund Inc. as Reporting Issuers and Collective Investment Schemes

ORDER OF THE COMMISSION

Dated this 25th day of January, 2022

WHEREAS Scotiabank Trinidad and Tobago Fixed Income Fund Inc. and the Scotiabank Trinidad and Tobago Growth Fund Inc. (“the Funds”) were registered as Reporting Issuers and Collective Investment Schemes with effect from the 5th November, 2013.

AND WHEREAS the Funds were migrated from St. Lucia to Trinidad and Tobago and were subsequently dissolved in accordance with the International Business Companies Act, Cap. 12:14 of the laws of St. Lucia with effect from 30th September, 2021.

AND WHEREAS under cover of letter dated 7th October, 2021, Scotiabank Trinidad and Tobago Limited submitted an application for the de-registration of the Funds as Reporting Issuers and Collective Investment Schemes, and the requisite Certificates of Dissolution.

AND WHEREAS the general public has been apprised by way of newspaper advertisements of the Funds’ intention to be de-registered and no objections have been raised by any party in response to these advertisements.

AND UPON:

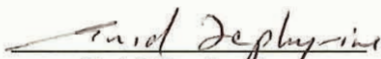
1. The Board of Commissioners considering this application at a meeting on the 25th January, 2022;
2. The Board of Commissioners in considering the application pursuant to Section 71(1)(b) and Section 155(1A)(e) of the Act being satisfied that the making of an Order for the de-registration of the Funds is not contrary to the public interest;


1002—Continued


3. The Board of Commissioners determining that the making of this Order is essentially procedural and does not affect the rights or interests of any person.

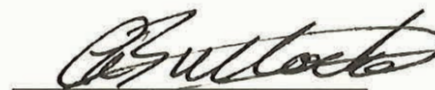
IT IS HEREBY ORDERED THAT:

- I. The application for the de-registration of the Scotiabank Trinidad and Tobago Fixed Income Fund Inc. and the Scotiabank Trinidad and Tobago Growth Fund Inc. as Reporting Issuers is approved and the funds are no longer Reporting Issuers registered with the Commission in accordance with Section 71(1)(b);
- II. The application for the de-registration of the Scotiabank Trinidad and Tobago Fixed Income Fund Inc. and the Scotiabank Trinidad and Tobago Growth Fund Inc. as Collective Investment Schemes is approved and the funds are struck off the registers of Reporting Issuers and Collective Investment Schemes maintained by the Commission;
- III. This Order shall be published in the Trinidad and Tobago Gazette and posted on the Commission's website and a notice of the posting shall be published in two daily newspapers of general circulation in Trinidad and Tobago.
- IV. That the effective date of the de-registration of the Funds shall be the 25th January 2022;


 Enid Zephyrine
 Chairman



 Imtiaz Hosein
 Deputy Chairman



 Marie-Suzanne Borely
 Commissioner


 Anthony Bullock
 Commissioner


 Amerelle Francis
 Commissioner


 Angela Hordatt
 Commissioner


 Anthony Joseph
 Commissioner


 David Thompson
 Commissioner