

# SECURITIES DIVISION

Entites registered and/or licensed with the Financial Services Commission under the supervision of the Securities Division as at March 31, 2020

Self-Regulatory Organisations (SROs)	Registration date (new registrant)
Barbados Stock Exchange Inc.	
Barbados Central Securities Depository Inc.	
Daxnet BB (Barbados) Ltd.	

Securities Company (companies)	Registration date (new registrant)	Brokers (for company)	Registration date (new registrant)	Traders (for company)	Registration date (new registrant)
CAPITA Financial Services Inc.		Terry A. Bonnett			
Cidel Bank & Trust Inc.		Ryle L. Weekes		Cynthia Butcher	
Concorde Bank Limited		Annette M Corbin		Carlos M. Stevenson	
FirstCaribbean International Bank (Barbados) Limited		Beverley L. Walters			
		Zandre Bowen			
		Samantha Johnson			
FirstCaribbean International Wealth Management Bank (Barbados) Limited		Sean Mottley			
		Zdravko Vrlc			
		Paul Jenkins			
First Citizens Investment Services Limited		Omolara DeRiggs-Morris		Resheda Sobers	
Florita Investments Limited		Ho Wai Alan Chung			
Forex International (Barbados) Ltd.		Iain Thomson			
Fortress Fund Managers Limited		Roger Cave		Jonathan M. Nana	
J & T Bank and Trust Inc.		Derrick Cummins			
		Sobrina Forde			
Kession Capital International Ltd.		Mohamed S. Razak			
Oxy Trading Corporation				Victoria Sargeant	
				Jean Delangis	
NCB Capital Markets (Barbados) Limited		Angus P. Young		Ricardo Davis	
RBC Dominion Securities Global Limited		Andrew McCartney		Paul S. Broomes	
		Kevin P. Armstrong		Chad J. Sandiford	
		Norman E. Barrow			
		Hendricus M. Schalkwijk			
Royal Fidelity Capital Markets (Barbados) Limited		Jillian Kathy Nunes		Lamar Dario Goring	
				Kimberley S. Skinner	
Sagikor Asset Management Inc.		Lesley R.A. Greaves		Lesley R.A. Greaves	
		Gene A. Phillips-Gay		Gene A. Phillips-Gay	
		Aisha A. O’Neal		Aisha A. O’Neal	
		Rebie N. Cumberbatch		Rebie N. Cumberbatch	
SigniaGlobe Financial Group Inc.		Ayesha Maycock			
		Terry Williams			
The Bank of Nova Scotia		Scott Stollmeyer			
		Grace Vidal-Ribas			

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Investment Adviser (companies)	Registration date (new registrant)	Investment Adviser (for company)	Registration date (new registrant)
Altom Capital International Ltd.		Olga O'Neill	
Amergeris Wealth Management (Barbados) Ltd.		Paul Boskma	
Argentum Asset Management Inc.		Andrew Douglas Alleyne	
		Roger Dalrymple Walkes	
		Nicole Lisa Bayley	
Cidel Bank & Trust Inc.		Edward A. Meyer	
		Ryle L. Weekes	
Concorde Assets Management Ltd.		Gerard Phillippe Emile Claude Lussan	
Ernst & Young Services Ltd.		Christopher Sambrano	
Figtree Family Office Limited		Daniel W Farmer	
		Christopher A Gregory	
Fintrade Services Inc.		Juan L M Pacheco	
FirstCaribbean International Bank (Barbados) Limited		Elizabeth Morgan	
FirstCaribbean International Wealth Management Bank (Barbados) Limited		Paul Jenkins	
First Citizens Investment Services Limited		Resheda Sobers	
Fortress Advisory & Investment Services Limited		Peter Arender	
International Advisors Inc.		Pauline Tully	
Maybridge Asset Management Limited		Matthew D. MacKay	
NCB Capital Markets (Barbados) Limited		Angus P. Young	
Quantum Investment Management Inc.		Heinrich N.Funk	
RBC Dominion Securities Global Limited		Hendricus Marinus Schalkwijk	
		Norman Elliott Barrow	
		Kevin P. Armstrong	
Royal Fidelity Merchant Bank & Trust (Barbados) Ltd.		Jillian Kathy Nunes	
		Graham John Marshall	
Sagikor Asset Management Inc.		Lesley R.A. Greaves	
		Aisha A. O'Neal	
		Rebie N. Cumberbatch	
Silver Technetium Capital Inc.		Arvind H. Gopwani	
		Terrol McD. Cummins	
Stelac Advisory Services (Barbados) Ltd.		Paulette Tudor	
		Teisha Small	
Summit Asset Management Limited		John Howard	
Tarindus Investments Ltd.		Gerard P E C Lussan	
		Paul Cusimano (on behalf of The Bank of Nova Scotia)	
		Scott Stollmeyer (on behalf of The Bank of Nova Scotia)	
		Daniel Kardo (on behalf of The Bank of Nova Scotia)	12-Mar-20

Dealers (companies)	Registration date (new registrant)	Dealer (for company)	Registration date (new registrant)
CAPITA Financial Services Inc.		Terry A. Bonnett	
FirstCaribbean International Bank (Barbados) Limited		Beverley L. Walters	
First Citizens Investment Services Limited		Resheda Sobers	
NCB Capital Markets (Barbados) Limited		Angus P. Young	
Sagikor Asset Management Inc.		Lesley R.A. Greaves	
		Aisha A. O'Neal	
		Rebie N. Cumberbatch	

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Underwriters (companies)	Registration date (new registrant)
Consolidated Finance Co. Limited	
FirstCaribbean International Bank (Barbados) Limited	
First Citizens Investment Services Limited	
NCB Capital Markets (Barbados) Limited	
Republic Bank (Barbados) Limited	

Reporting Issuers (listed and unlisted companies)	Registration date (new registrant)
ABV Investments Inc.	
Ansa McCal (Barbados) Ltd.	
Apes Hill Development SRL	
Banks Holdings Limited	
Barbados Agricultural Management Co. Ltd.	
Barbados Dairy Industries Limited	
Barbados Farms Limited	
Barbados Investment & Development Corporation	
Barbados National Terminal Inc.	
Barbados Port (Authority) Inc.	
Barbados Tourism Investment Inc.	
BICO Limited	
Bridgetown Cruise Terminal Inc.	
Cable & Wireless (Barbados) Limited	
Cave Shepherd & Company Limited	
Coast Guard Relocation Incorporated	
Emera Incorporated	
Eppley Caribbean Property Fund Limited SCC	
FirstCaribbean International Bank Limited	
First Citizens Bank Limited	
Goddard Enterprises Limited	
Government of St. Kitts & Nevis	
Government of St. Vincent & the Grenadines	
Government of St. Vincent & the Grenadines & Scotia Bank Trinidad and Tobago	
Insurance Corporation of Barbados Limited	
JMMB Group Limited	
Massy Holdings Limited	
One Caribbean Media Limited	
Productive Business Solutions Limited	
Queen Elizabeth Hospital	
RBC Royal Bank (Barbados) Limited	
Sagicor Financial Corporation	
Sagicor General Insurance Inc.	
Southern Golf & Country Club	
Sunbeach Communications Inc.	
Trinidad Cement Limited	
University of the West Indies	
West India Biscuit Co. Ltd.	

Other issuers with registered securities (but not required to register as reporting issuers)	Date added
Barbados Water Authority	
The Government of Barbados	

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Mutual Funds (including sub-funds)	Sub-Funds	Registration date (new registrant)
Eppley Caribbean Property Fund Limited SCC	<i>Eppley Caribbean Property Fund Limited SCC - Value Fund</i>	
	<i>Eppley Caribbean Property Fund Limited SCC - Development Fund</i>	
Financorp Funds SCC		
Fortress Caribbean High Interest Fund Limited		
Fortress Caribbean Pension Fund Limited		
Fortress Mutual Fund Limited		
J & T Funds Inc.	<i>J&amp;T Canadian Money Market Fund</i>	
	<i>J&amp;T Global Fixed Income Fund</i>	
	<i>J&amp;T International Equity Fund</i>	
	<i>J&amp;T Equity Fund</i>	
Republic Funds Inc.	<i>Republic Capital Growth Fund</i>	
	<i>Republic Income Fund</i>	
	<i>Republic Property Fund</i>	
Royal Fidelity (Barbados) Investment Fund Limited	<i>Royal Fidelity Select Balanced Fund</i>	
	<i>Royal Fidelity Strategic Growth Fund</i>	
	<i>Royal Fidelity Premium Income Fund</i>	
Sagikor (Bonds) Fund		
Sagikor (Equity) Fund		
Sagikor Funds Inc.	<i>Sagikor Global Balanced Fund</i>	
	<i>Sagikor Preferred Income Fund</i>	
	<i>Sagikor Select Growth Fund</i>	
Universal Ventures Fund SCC		

Mutual Fund Administrator (General)	Registration date (new registrant)
Amicorp Fund Services N.V	
CAPITA Financial Services Inc.	
Cidel Bank & Trust Inc.	
Eppley Fund Managers Limited	
Fortress Fund Managers Limited	
J & T Bank and Trust Inc.	
Republic Bank (Barbados) Limited	
Royal Fidelity Capital Markets (Barbados) Limited	
Sagikor Asset Management Inc.	

STATISTICAL SUMMARY as of March 31, 2020

Category	Number
Securities company	18
Broker	30
Trader	15
Investment adviser (companies)	23
Investment adviser (individuals)	37
Dealer (companies)	5
Dealer (individuals)	7
Underwriter	5
Other Issuers	2
Reporting Issuers	38
Self-regulatory organisations	3
Mutual Fund Administrator (General)	9
Mutual Fund Administrator (Restricted)	-
Mutual Funds (including sub-funds)	22