

SECURITIES DIVISION

Entities registered and/or licensed with the Financial Services Commission under the supervision of the Securities Division as at September 30, 2026

Self-Regulatory Organisations (SROs)	Registration date (new registrant)
Adaptive Infrastructure Inc.	
Barbados Stock Exchange Inc.	
Barbados Central Securities Depository Inc.	
Frontline Environmental Exchange Inc.	
Tokenise Stock Exchange International Limited	
Digiclear Limited	

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.		Curtis Knight			
Cidel Bank & Trust Inc.		Cof Amsterdam			
Cidel Financial Inc.		Paul Buchanan		Carlos M. Stevenson	
Concorde Bank Limited		Carlos Stevenson		Brian Hoyte	
		Jonathan Walcott		Pamela V. Carmichael	
		Sharmaine C. Vaughan			
Desjardins Global Asset Management Inc		James Daniel Burdick			
		Alain Rheau			
		Philippe Mercier			
CIBC Caribbean Bank (Barbados) Limited (formerly FirstCaribbean International Bank (Barbados) Limited)		Beverley L. Walters			
CIBC Caribbean Wealth Management Bank (Barbados) Limited (formerly FirstCaribbean International Wealth Management Bank (Barbados) Limited)		Paul Jenkins			
		Chelsey Walcott			
First Citizens Investment Services Limited		Onolara DeRiggs-Morris		Resheda Sobers	
Velocity Trade Securities Inc.		Iain Thomson			
		Rene C. Delmas			
Fortress Fund Managers Limited		Rashada L. Lopez			
		Jabari Banfield			
JMMB International Limited		Michael Jordan		Ramon Boyce	
Tokenise Brokerage Limited		Mohamed S. Razak			
NCB Capital Markets (Barbados) Limited		Angus P. Young		Ricardo Davis	
Proven Wealth (Barbados) Limited		Ana-Kaye Marshall		Kerrie-Ann Greaves	
		Nicole L. Bayley		Shanka Wright	
QuestGlobal Inc.		Ross Pitt			
		Praneil Ladwa			
		Andrew McCartney		Paul S. Broomes	
RBC Dominion Securities Global Limited		Kevin P. Armstrong		Robert Cameron	
		Norman E. Barrow			
		Hendricus M. Schalkwijk			
RF Capital Markets (Barbados) Limited		Lamar Dario Goring			
Richmond Street Capital Limited		John Doyle			
		Sanjay Chitrani	3-Sep-26		
		Lesley R.A. Greaves		Lesley R.A. Greaves	
		Gene A. Phillips-Gay		Gene A. Phillips-Gay	
		Rebie N. Cumberbatch		Rebie N. Cumberbatch	
Sagicor Asset Management Inc.		Angely Deodat			
		Janario Nurse			
		Ebony Prescod			
		Michelle L. Miller			
		Ayesha Maycock			
SigniaGlobe Financial Group Inc.		Terry Williams			
		Janai S. Butts			
		Scott Stollmeyer			
The Bank of Nova Scotia		Grace Vidal-Ribas			

Investment Adviser (companies)	Registration date (new registrant)	Investment Adviser (for company)	Registration date (new registrant)
Altom Capital International Ltd.		Olga O'Neill	
Artemas Wealth Management (Barbados) Ltd		Henricus Antonius Marianus Maria de Koning	
Forvest Global Wealth Management (Barbados) Inc.		Roger Dalrymple Walkes	
		Marcia Cyrus	
Cidel Bank & Trust Inc.		Edward A. Meyer	
Cidel Financial Inc.		Paul Buchanan	
Concorde Assets Management Ltd.		Carlos Stevenson	
Figtree Family Office Limited		Christopher A Gregory	
Fintrade Services Inc.		Charles L. M. King	
CIBC Caribbean Bank (Barbados) Limited (formerly FirstCaribbean International Bank (Barbados) Limited)		Juan L. M Pacheco	
		Jeffrey Newton	
CIBC Caribbean Wealth Management Bank (Barbados) Limited (formerly FirstCaribbean International Wealth Management Bank (Barbados) Limited)		Paul Jenkins	
First Citizens Investment Services Limited		Chelsey Walcott	
		Resheda Sobers	
Amphora Investment Management Inc. (formerly Heward Investment Management (Barbados) Inc)		Charles C. Gagnon	
International Advisors Inc.		Aleksandra Bukacheva	
JMMB International Limited		Pauline Tully	
NCB Capital Markets (Barbados) Limited		Leigh-Ann Norville	
Proven Wealth (Barbados) Limited		Angus P. Young	
		Ricardo Davis	
		Ana-Kaye Marshall	
RBC Dominion Securities Global Limited		Hendricus Marinus Schalkwijk	
		Norman Elliott Barrow	
		Kevin P. Armstrong	
RF Merchant Bank & Trust (Barbados) Ltd.		Graham John Marshall	
		Dionne C. Best	
		Lesley R.A. Greaves	
		Rebie N. Cumberbatch	
Sagicor Asset Management Inc.		Angely Deodat	
		Janario Nurse	
		Ebony Prescod	
Summit Asset Management Limited		Edward Majewski	
VM Wealth Management Limited		John Howard	
		Sean Yearwood	
Investment Advisers Registered on Behalf of The Bank of Nova Scotia			
		Daniel Kardo	
		Paul Cusimano	
		Carlo Ylagan	
		Guillaume Maurice	
		Scott Stollmeyer	
		Yuly Juarez	

Dealers (companies)	Registration date (new registrant)	Dealer (for company)	Registration date (new registrant)
CAPITA Financial Services Inc.		Curtis Knight	
CIBC Caribbean Bank (Barbados) Limited (formerly FirstCaribbean International Bank (Barbados) Limited)		Beverley L. Walters	
First Citizens Investment Services Limited		Resheda Sobers	
JMMB International Limited		Michael Jordan	
NCB Capital Markets (Barbados) Limited		Angus P. Young	
Proven Wealth (Barbados) Limited		Ana-Kaye Marshall	
		Lesley R.A. Greaves	
		Rebie N. Cumberbatch	
		Angaly Desodit	
Sagicor Asset Management Inc.		Janario Nurse	
		Ebony Prescod	
		Michelle L. Miller	

Underwriters (companies)	Registration date (new registrant)
ANSA Merchant Bank (Barbados) Limited	
CIBC Caribbean Bank (Barbados) Limited (formerly FirstCaribbean International Bank (Barbados) Limited)	
First Citizens Investment Services Limited	
JMMB International Limited	
NCB Capital Markets (Barbados) Limited	

Reporting Issuers (listed and unlisted companies)	Registration date (new registrant)
ABV Investments Inc.	
Apes Hill Development SRL	
Banks Holdings Limited	
Barbados Agricultural Management Co. Ltd.	
Barbados Dairy Industries Limited	
Barbados Farms Limited	
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	
CIBC Caribbean Bank Limited (formerly FirstCaribbean International Bank Limited)	
First Citizens Bank Limited	
First Citizens Group Financial Holdings 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	
Quantas Advantage Inc.	
Queen Elizabeth Hospital	
RBC Royal Bank (Barbados) Limited	
Roberts Manufacturing Co. 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	
Golden Acquisition Limited	
The Government of Barbados	

Mutual Funds (including sub-funds)	Sub-Funds	Registration date (new registrant)
Alces Asset Fund SCC	<i>The Alces Technology Fund</i>	
	<i>The Alces Renewable Energy Fund</i>	
	<i>The Alces Diversified Fund</i>	
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		
Fortress World Funds Limited SCC	<i>Fortress World - Fixed Income Fund</i>	
	<i>Fortress World - Growth Fund</i>	
VM Wealth Funds Ltd (formerly Republie Funds Inc.)	<i>VM Wealth Capital Growth Fund</i>	
	<i>VM Wealth Income Fund</i>	
	<i>VM Wealth Property Fund</i>	
	<i>RF Select Balanced Fund</i>	
RF (Barbados) Investment Fund Limited	<i>RF Strategic Growth Fund</i>	
	<i>RF Premium Income Fund</i>	
Sagicor (Bonds) Fund		
Sagicor (Equity) Fund		
Sagicor Funds Inc.	<i>Sagicor Global Balanced Fund</i>	
	<i>Sagicor Preferred Income Fund</i>	
	<i>Sagicor Select Growth Fund</i>	
Sagicor Special Opportunity Fund SCC	<i>Sagicor Renewable Energy Fund</i>	
Scotia Caribbean Income Fund Inc.		
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	
RF Capital Markets (Barbados) Limited	
Sagicor Asset Management Inc.	

Mutual Fund Administrator (Restricted)	Registration date (new registrant)
Meliora Management Inc.	
Scotia Asset Management (Barbados) Inc.	
VM Wealth Management Limited	

STATISTICAL SUMMARY as of September 30, 2026

Category	Number
Securities company	21
Broker	43
Trader	13
Investment adviser (companies)	22
Investment adviser (individuals)	40
Dealer (companies)	7
Dealer (individuals)	12
Underwriter	5
Other Issuers	3
Reporting Issuers	39
Self-regulatory organisations	6
Mutual Fund Administrator (General)	7
Mutual Fund Administrator (Restricted)	3
Mutual Funds (including sub-funds)	25

Total Companies	99
Total Market Intermediaries (SC,IA,D,U,MFA)	38
Mutual Funds (Excluding Sub-Funds)	15