SECURITIES DIVISION

Entites registered and/or licensed with the Financial Services Commission under the supervision of the Securities Division as at October 31, 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			
		Cofi Amsterdam			
Cidel Bank & Trust Inc.		Paul Buchanan		Carlos M. Stevenson	
Cidel Financial Inc.		Carlos Stevenson		Brian Hoyte	
Concorde Bank Limited		Jonathan Walcott		Pamela V. Carmichael	
		Sharmaine C. Vaughan			
Desjardins Global Asset Management Inc		James Daniel Burdick			
		Alain Rheaume			
		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		Omolara DeRiggs-Morris		Resheda Sobers	
Velocity Trade Securities Inc.		Iain Thomson			
Fortress Fund Managers Limited		Rene C. Delmas			
		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	
				Kerrie-Ann Greaves	
Proven Wealth (Barbados) Limited		Ana-Kaye Marshall		Shanika Wright	
QuestGlobal Inc.		Nicole L. Bayley			
		Ross Pitt			
		Praneil Ladwa			
RBC Dominion Securities Global Limited		Andrew McCartney		Paul S. Broomes	
		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 Chatrani			
Sagicor Asset Management Inc.		Lesley R.A. Greaves		Lesley R.A. Greaves	
		Gene A. Phillips-Gay		Gene A. Phillips-Gay	
		Rebie N. Cumberbatch		Rebie N. Cumberbatch	
		Angaly Deodat			
		Janario Nurse			
		Ebony Prescod			
		Michelle L. Miller			
SigniaGlobe Financial Group Inc.		Ayesha Maycock			
		Terry Williams			
		Janai S. Butts			
The Bank of Nova Scotia		Scott Stollmeyer			
		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	
		Paul Buchanan	
Cidel Financial Inc.		Carlos Stevenson	
Concorde Assets Management Ltd.			
Figtree Family Office Limited		Christopher A Gregory	
		Charles L. M. King	
Fintrade Services Inc.		Juan L M Pacheco	
CIBC Caribbean Bank (Barbados) Limited (formerly FirstCaribbean International Bank (Barbados) Limited)		Jeffrey Newton	
CIBC Caribbean Wealth Management Bank (Barbados) Limited (formerly FirstCaribbean International Wealth Management Bank (Barbados) Limited)		Paul Jenkins	
		Chelsey Walcott	
First Citizens Investment Services Limited		Resheda Sobers	
Amphora Investment Management Inc. (formerly Heward Investment Management (Barbados) Inc)		Charles C. Gagnon	
		Aleksandra Bukacheva	
International Advisors Inc.		Pauline Tully	
JMMB International Limited		Leigh-Ann Norville	
NCB Capital Markets (Barbados) Limited		Angus P. Young	
		Ricardo Davis	
Proven Wealth (Barbados) Limited		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	
Sagicor Asset Management Inc.		Lesley R.A. Greaves	
		Rebie N. Cumberbatch	
		Angaly Deodat	
		Janario Nurse	
		Ebony Prescod	
Summit Asset Management Limited		Edward Majewski	
		John Howard	
VM Wealth Management Limited		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	
		Terrell Cumberbatch	23-Oct-26
CIBC Caribbean Bank (Barbados) Limited (formerly FirstCaribbean International Bank (Barbados) Limit		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	
Sagicor Asset Management Inc.		Lesley R.A. Greaves	
		Rebie N. Cumberbatch	
		Angaly Deodat	
		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 FirstCaribbbean 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 s*ub-funds)*	Sub-Funds	Registration date (new registrant)
Alces Asset Fund SCC	*The Alces Technology Fund*	
	The Alces Renewable Energy Fund	
	The Alces Diversified Fund	
Eppley Caribbean Property Fund Limited SCC	*Eppley Caribbean Property Fund Limited SCC - Value Fund*	
	Eppley Caribbean Property Fund Limited SCC - Development Fund	
Financorp Funds SCC		
Fortress Caribbean High Interest Fund Limited		
Fortress Caribbean Pension Fund Limited		
Fortress Mutual Fund Limited		
Fortress World Funds Limited SCC	*Fortress World - Fixed Income Fund*	
	Fortress World - Growth Fund	
VM Wealth Funds Ltd (formerly Republic Funds Inc.)	*VM Wealth Capital Growth Fund*	
	VM Wealth Income Fund	
	VM Wealth Property Fund	
RF (Barbados) Investment Fund Limited	*RF Select Balanced Fund*	
	RF Strategic Growth Fund	
	RF Premium Income Fund	
Sagicor (Bonds) Fund		
Sagicor (Equity) Fund		
Sagicor Funds Inc.	*Sagicor Global Balanced Fund*	
	Sagicor Preferred Income Fund	
	Sagicor Select Growth Fund	
Sagicor Special Opportunity Fund SCC	*Sagcior Renewable Energy Fund*	
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 October 31, 2026

Category	Number
Securities company	21
Broker	43
Trader	13
Investment adviser (companies)	22
Investment adviser (individuals)	40
Dealer (companies)	7
Dealer (individuals)	13
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