

## SECURITIES DIVISION

Entites registered and/or licensed with the Financial Services Commission under the supervision of the Securities Division as at November 30, 2022

Self-Regulatory Organisations (SROs)	Registration date (new registrant)
Barbados Stock Exchange Inc.	
Barbados Central Securities Depository Inc.	
Tokenise Stock Exchange International Limited (Formerly Daxnet BB (Barbados) Ltd.)	
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.		Terry A. Bonnett			
Cidel Bank & Trust Inc.		Ryle L. Weekes		Cynthia Butcher	
Concorde Bank Limited		Annette M Corbin		Carlos M. Stevenson	
Desjardins Global Asset Management Inc		James Daniel Burdick			
		Anthony Salvatore			
		Alain Rheume			
		Philippe Mercier			
FirstCaribbean International Bank (Barbados) Limited		Beverley L. Walters			
FirstCaribbean International Wealth Management Bank (Barbados) Limited		Paul Jenkins			
		Chelsey Walcott			
First Citizens Investment Services Limited		Omolara DeRiggs-Morris		Resheda Sobers	
Florita Investments Limited		Ho Wai Alan Chung			
FXI (Barbados) Limited.		Iain Thomson			
Fortress Fund Managers Limited		Rene C. Delmas			
		Rashada L. Lopez			
J&T Trust Inc. (formerly J&T Bank and Trust Inc.)		Marcelle Correia			
Tokenise Brokerage Limited (formerly Kession Capital International Ltd.)		Mohamed S. Razak			
NCB Capital Markets (Barbados) Limited		Angus P. Young		Christopher Buchanan	
				Shanika Wright	
QuestGlobal Inc.		Nicole L. Bayley			
		Praneil Ladwa			
RBC Dominion Securities Global Limited		Andrew McCartney		Paul S. Broomes	
		Kevin P. Armstrong		Chad J. Sandiford	
		Norman E. Barrow			
		Hendricus M. Schalkwijk			
RF Capital Markets (Barbados) Limited		Jillian Kathy Nunes		Lamar Dario Goring	
		Lesley R.A. Greaves		Lesley R.A. Greaves	
Sagicor Asset Management Inc.		Gene A. Phillips-Gay		Gene A. Phillips-Gay	
		Rebie N. Cumberbatch		Rebie N. Cumberbatch	
SigniaGlobe Financial Group Inc.		Ayesha Maycock			
		Terry Williams			
		Ramon Boyce			
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.		Henricus Antonius Marianus Maria de Koning	
Forvest Global Wealth Management Barbados (formerly Argentum Asset Management Inc.)		Andrew Douglas Alleyne Roger Dalrymple Walkes	
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 Charles L. M. King	
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	
Mayfair Global Consulting Inc. <i>(Inactive)</i>		Michael Green <i>(Inactive)</i> William Chandler <i>(Inactive)</i>	
NCB Capital Markets (Barbados) Limited		Angus P. Young Christopher Buchanan	
RBC Dominion Securities Global Limited		Hendricus Marinus Schalkwijk Norman Elliott Barrow Kevin P. Armstrong	
RF Merchant Bank & Trust (Barbados) Ltd.		Jillian Kathy Nunes Graham John Marshall	
Sagicor Asset Management Inc.		Lesley R.A. Greaves 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	
<i>Investment Advisers Registered on Behalf of The Bank of Nova Scotia</i>			
		Daniel Kardo	
		Paul Cusimano	
		Carlo Ylagan	
		Guillaume Maurice	
		Scott Stollmeyer	
		Yuly Juarez	

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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		Beverly L. Walters	
First Citizens Investment Services Limited		Resheda Sobers	
NCB Capital Markets (Barbados) Limited		Angus P. Young	
Sagicor Asset Management Inc.		Lesley R.A. Greaves Rebie N. Cumberbatch	

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Underwriters (companies)	Registration date (new registrant)
ANSA Merchant Bank (Barbados) Limited (formerly 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.	
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	
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	
Golden Acquisition Limited	
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		
Fortress World Funds Limited SCC	<i>Fortress World - Fixed Income Fund</i>	
	<i>Fortress World - Growth Fund</i>	
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>	
	<i>J&amp;T Money Market Fund</i>	
Republic Funds Inc.	<i>Republic Capital Growth Fund</i>	
	<i>Republic Income Fund</i>	
	<i>Republic Property Fund</i>	
RF (Barbados) Investment Fund Limited	<i>RF Select Balanced Fund</i>	
	<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	
J&T Trust Inc. (formerly J&T Bank and Trust Inc.)	
Republic Bank (Barbados) Limited	
RF Capital Markets (Barbados) Limited	
Sagicor Asset Management Inc.	

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

### STATISTICAL SUMMARY as of November 30, 2022

Category	Number
Securities company	19
Broker	33
Trader	11
Investment adviser (companies)	23
Investment adviser (individuals)	41
Dealer (companies)	5
Dealer (individuals)	6
Underwriter	5
Other Issuers	3
Reporting Issuers	36

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Self-regulatory organisations	4
Mutual Fund Administrator (General)	9
Mutual Fund Administrator (Restricted)	1
Mutual Funds (including sub-funds)	27

Total Companies	98
Total Market Intermediaries (SC,IA,D,U,MFA)	40
Mutual Funds (Excluding Sub-Funds)	15