

SECURITIES DIVISION

Entites registered and/or licensed with the Financial Services Commission under the supervision of the Securities Division
as of March 31, 2015

Self-Regulatory Organisations (SROs)	Registration date (new registrant)
Barbados Stock Exchange Inc	
Barbados Central Securities Depository Inc	
TOTAL	2

Securities Company (firms)	Registration date (new registrant)	Brokers (for firm)	Registration date (new registrant)	Traders (for firm)	Registration date (new registrant)
CAPITA Financial Services Inc		Michael Green			
		Shari Bynoe			
		Kerianne Jessamy			
Caribbean Financial Services Corporation		Cecilia Ramsay			
FirstCaribbean International Trust & Merchant Bank Limited		Beverley L. Walters			
		Michael D. Carter			
		Selwyn D. Kellman			
First Citizens Investment Services (Barbados) Ltd		Tamara Carter	24-Feb-15	David Neil McCallister	24-Feb-15
Fortress Fund Managers Limited		Christopher Callender		Rene Delmas	
Front Street Private Bank (Barbados) Ltd		Tracy Pounder			
		Bradley Bellis			
		Anmol Uttamchandani			
RBC Dominion Securities Global Limited		Andrew McCartney			
Republic Finance & Trust (B'dos) Corporation		Lana Yearwood-Evelyn	24-Feb-15	Olivia Green	
Royal Fidelity Capital Markets (Barbados) Limited		Maureen Chung		Kofi Farmer	
				Jillian Kathy Nunes	
				Lesley R.A. Greaves	
Sagicor Asset Management Inc		Lesley R.A. Greaves		Lesley R.A. Greaves	
		LeeAnn F. Woodroffe		LeeAnn F. Woodroffe	
		Samica Hunte		Samica Hunte	
STS Capital Partners Securities Inc.		N/R		N/R	
Signia Financial Group Inc		Ayesha Maycock			
		Terry Williams			
The Bank of Nova Scotia		Paul Jenkins			
TOTAL			13		

* N/R - none required

Investment Adviser (firms)	Registration date (new registrant)	Investment Adviser (for firm)	Registration date (new registrant)
Altom Capital International Ltd.		Olga O'Neill	
Ameregris Wealth Management (Barbados) Limited (formerly Delta Asset Management (Barbados) Limited)		Paul Boskma	14-Jan-15
Fintrade Services Inc		Juan L.M. Pacheco	
First Citizens Investment Services (Barbados) Ltd		David Neil McCallister	
FirstCaribbean International Trust & Merchant Bank Limited		Michael D. Carter Selwin D. Kellman	
Fortress Advisory & Investment Services Limited	02-Feb-15	Peter Arender	02-Feb-15
Front Street Private Bank (Barbados) Ltd		Tracy Pounder	
		Anmol Uttamchandani	
		Brad Bellis	
OurInterest Adviser Inc.		Craig Harewood	24-Mar-15
Pencarrek Limited		Michael Berry	
Quantum Investment Management Inc.	01-Jan-15	Henrich Nicholas Funk	01-Jan-15
RBC Dominion Securities Global Limited		Hendricus Marinus Schalkwijk	
		Norman Elliott Barrow	
RBC Merchant Bank (Caribbean) Limited		Andrew Christopher Boissiere	
		Stefan Simmons	
Sagicor Asset Management Inc		Lesley R.A. Greaves	
		LeeAnn F. Woodroffe	
		Samica Hunte	
STS Capital Partners Securities Inc.		Robert C. Follows	24-Feb-15
Summit Asset Management Inc.	01-Jan-15	John Howard	01-Jan-15
		Paul Jenkins (on behalf of The Bank of Nova Scotia)	
TOTAL	15		

Dealers (firms)	Registration date (new registrant)	Dealer (for firm)	Registration date (new registrant)
CAPITA Financial Services Inc		Michael Green	
FirstCaribbean International Trust & Merchant Bank Limited		Beverley L. Walters	
Sagicor Asset Management Inc		Lesley R.A. Greaves	
		LeeAnn F. Woodroffe	
		Samica Hunte	
TOTAL	3		

Underwriters (firms)	Registration date (new registrant)
Citicorp Merchant Bank Limited	
Consolidated Finance Company Ilimited	
FirstCaribbean International Trust & Merchant Bank Limited	
First Citizens Investment Services (Barbados) Ltd	
RBC Merchant Bank (Caribbean) Limited	
Republic Finance & Trust (B'dos) Corporation	
TOTAL	6

Reporting Issuers (listed and unlisted companies)	Registration date (new registrant)
ABV Investments Inc. (formerly Almond Resorts Inc.)	
Ansa McCal (Barbados) Ltd.	
Apes Hill Development SRL	
Arawak Cement Limited	
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.	
BCW Lions Limited	
BICO Limited	
Bridgetown Cruise Terminal Inc.	
Cable & Wireless (Barbados) Limited	
Cave Shepherd & Company Limited	
Coast Guard Relocation Incorporated	
Container Applications Limited	
FirstCaribbean International Bank Limited	
First Citizens Bank Limited	
Fortress Caribbean Property Fund 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	
GraceKennedy Limited	
Innotech Aquaserve Limited	
Insurance Corporation of Barbados Limited	
Jamaica Money Market Brokers Limited	
Emera (Caribbean) Incorporated (formerly Light & Power Holdings Ltd)	
Massy Holdings Limited formerly (Neal & Massy Holdings Limited)	
One Caribbean Media Limited	
Queen Elizabeth Hospital	
Radnor Hospital Inc.	
RBC Financial (Caribbean) Limited	
RBC Royal Bank (Barbados) Limited	
Republic Bank (B'dos) Limited	
Sagicor Financial Corporation	
Sagicor General Insurance Inc.	
Simpson Finance Limited	
Southern Golf & Country Club	
Sunbeach Communications Inc.	
Trinidad Cement Limited	
West India Biscuit Co. Ltd.	
West Indies Rum Distillery Limited (The)	
University of the West Indies	

TOTAL

47

Other issuers with registered securities (but not required to register as reporting issuers)	Date added
Barbados Water Authority	
The Government of Barbados	
TOTAL	2

Mutual Funds (including sub-funds)	Registration date (new registrant)
CLICO Balanced Fund Inc	
Financorp Funds SCC	
Focused Opportunities Offshore Ltd	
Fortress Caribbean High Interest Fund Limited	
Fortress Caribbean Pension Fund Limited	
Fortress Caribbean Property Fund Limited SCC	<i>Fortress Caribbean Property Fund</i>
	<i>Fortress Caribbean Property Fund</i>
Fortress Mutual Fund Limited	
Memoria Ltd	
Preservation Capital Ltd	
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 Fund</i>
	<i>Royal Fidelity TIGRS (Series A1) Fund</i>
	<i>Royal Fidelity TIGRS (Series A2) Fund</i>
	<i>Royal Fidelity TIGRS (Series A3) 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>
Universal Ventures Fund SCC	
TOTAL	15 [Including sub-funds - 25]

Mutual Fund Administrator (General)	Registration date (new registrant)
Amicorp Fund Services N.V	
CAPITA Financial Services Inc.	
Cidel Bank & Trust Inc	
Commonwealth Fund Services (Barbados) Ltd	
Fortress Fund Managers Limited	
Front Street Private Bank (Barbados) Ltd	
J & T Bank and Trust Inc.	
Republic Finance & Trust (Barbados) Corporation	
Royal Fidelity Capital Markets (Barbados Limited	
Sagicor Asset Management Inc.	
TOTAL	10

Mutual Fund Administrator (Restricted)	Registration date (new registrant)
TOTAL	0

STATISTICAL SUMMARY as of March 31, 2015

TABLE 1 - No. of Registrants / Licensees (firms)

Type	Number
Market intermediaries ¹	28
Mutual Funds (including sub-funds)	25
Other Issuers	2
Reporting Issuers	47
Self-regulatory organisations	2

TABLE 2 - Breakdown of Market Intermediaries (firms)

Category	Number
Securities company	13
Investment adviser	15
Dealer	3
Underwriter	6
Mutual Fund Administrator (General)	10
Mutual Fund Administrator (Restricted)	0

1. Market Intermediaries refers to firms registered in the categories of securities company, underwriter, investment adviser, dealer and mutual fund administrator. **Some firms are registered in more than one category.** To see the breakdown of market intermediaries within these categories see Table 2 above.