

## SECURITIES DIVISION

Entites registered and/or licensed with the Financial Services Commission under the supervision of the Securities Division  
as of September 30, 2015

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

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			
Cidel Bank & Trust Inc		Ryle L. Weekes		Cynthia Butcher Joy Aberback	
FirstCaribbean International Trust & Merchant Bank Limited		Beverley L. Walters Michael D. Carter Selwyn D. Kellman			
First Citizens Investment Services (Barbados) Ltd		Tamara Carter		David Neil McCallister	
Fortress Fund Managers Limited		Christopher Callender		Rene Delmas	
Front Street Private Bank (Barbados) Ltd		Tracy Pounder Bradley Bellis			
NCB Capital Markets (Barbados) Limited	22-Sep-15	Steven O. Gooden	22-Sep-15	Davie Martin	22-Sep-15
RBC Dominion Securities Global Limited		Andrew McCartney Kevin P. Armstrong Norman E. Barrow Hendricus M. Schalkwijk		Paul S. Broomes Chelsey L. Walcott Melissa A. Archer	
Republic Finance & Trust (B'dos) Corporation		Lana Yearwood-Evelyn		Olivia Green	
Royal Fidelity Capital Markets (Barbados) Limited		Maureen Chung		Kofi Farmer Jillian Kathy Nunes	
Sagicor Asset Management Inc		Lesley R.A. Greaves LeeAnn F. Woodroffe Samica Hunte		Lesley R.A. Greaves LeeAnn F. Woodroffe Samica Hunte	
STS Capital Partners Securities Inc.					
Signia Financial Group Inc		Ayesha Maycock Terry Williams			
The Bank of Nova Scotia		Paul Jenkins			
<b>TOTAL</b>			<b>15</b>		

Investment Adviser (firms)	Registration date (new registrant)	Investment Adviser (for firm)	Registration date (new registrant)
Altom Capital International Ltd.		Olga O'Neill	
Amergeris Wealth Management (Barbados) Limited (formerly Delta Asset Management (Barbados) Limited)		Paul Boskma	
Cidel Bank & Trust Inc		Edward A. Meyer Ryle L. Weekes	
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		Peter Arender	
Front Street Private Bank (Barbados) Ltd		Tracy Pounder Bradley Bellis	
International Advisors Inc.		Pauline Tully	
NCB Capital Markets (Barbados) Limited	22-Sep-15	Steven O. Gooden	22-Sep-15
OurInterest Adviser Inc.		Craig Harewood	
Pencarrek Limited		Michael Berry	
Quantum Investment Management Inc.		Henrich Nicholas Funk	
RBC Dominion Securities Global Limited		Hendricus Marinus Schalkwijk Norman Elliott Barrow Kevin P. Armstrong	
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	
Summit Asset Management Inc.		John Howard	
		Paul Jenkins (on behalf of The Bank of Nova Scotia)	
<b>TOTAL</b>	<b>18</b>		

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	
First Citizens Investment Services (Barbados) Limited		David Neil McCallister	
NCB Capital Markets (Barbados) Limited	22-Sep-15	Steven O. Gooden	22-Sep-15
Oxy Trading Corporation		Darren Treasure	
Sagicor Asset Management Inc		Lesley R.A. Greaves LeeAnn F. Woodroffe Samica Hunte	
<b>TOTAL</b>	<b>6</b>		

Underwriters (firms)	Registration date (new registrant)
Citicorp Merchant Bank Limited	
Consolidated Finance Company Limited	
FirstCaribbean International Trust & Merchant Bank Limited	
First Citizens Investment Services (Barbados) Ltd	
NCB Capital Markets (Barbados) Limited	22-Sep-15
RBC Merchant Bank (Caribbean) Limited	
Republic Finance & Trust (B'dos) Corporation	
<b>TOTAL</b>	<b>7</b>

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	
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	
JMMB Group Limited (formerly Jamaica Money Market Brokers)	
Emera (Caribbean) Incorporated (formerly Light & Power Holdings Ltd)	
Massy Holdings Limited formerly (Neal & Massy Holdings Limited)	
One Caribbean Media Limited	
Queen Elizabeth Hospital	
RBC Financial (Caribbean) Limited	
RBC Royal Bank (Barbados) 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**

**44**

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

Mutual Funds (including sub-funds)		Registration date (new registrant)
CLICO Balanced Fund Inc		
Financorp Funds SCC		
Focused Opportunities Offshore Limited		
Fortress Caribbean High Interest Fund Limited		
Fortress Caribbean Pension Fund Limited		
Fortress Caribbean Property Fund Limited SCC	<i>Fortress Caribbean Property Fund - Value</i>	
	<i>Fortress Caribbean Property Fund - Development</i>	
Fortress Mutual Fund Limited		
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 A2) Fund</i>	
	<i>Royal Fidelity TIGRS (Series A3) 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		
<b>TOTAL</b>	<b>14</b>	<b>[Including sub-funds - 23]</b>

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		
Sagikor Asset Management Inc.		
<b>TOTAL</b>	<b>10</b>	

<b>Mutual Fund Administrator (Restricted)</b>	Registration date (new registrant)
<b>TOTAL</b>	<b>0</b>

**STATISTICAL SUMMARY as of September 30, 2015**

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

Type	Number
Market intermediaries <sup>1</sup>	30
Mutual Funds (including sub-funds)	23
Other Issuers	2
Reporting Issuers	44
Self-regulatory organisations	2

TABLE 2 - Breakdown of Market Intermediaries (firms)

Category	Number
Securities company	15
Investment adviser	18
Dealer	6
Underwriter	7
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.