

## SECURITIES DIVISION

Entities registered and/or licensed with the Financial Services Commission under the supervision of the Securities Division  
as of March 31, 2016

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	
Concorde Bank Limited	8-Mar-16	Annette Marina Corbin	8-Mar-16		
FirstCaribbean International Trust & Merchant Bank Limited		Beverley L. Walters			
		Michael D. Carter			
		Selwyn D. Kellman			
First Citizens Investment Services (Barbados) Limited		Tamara Latoya Carter		David Neil McCallister	
Fortress Fund Managers Limited		Christopher Callender		Rene Delmas	
Front Street Private Bank (Barbados) Ltd		Tracy Pounder			
		Bradley Bellis			
J & T Bank and Trust Inc.	22-Mar-16	Sean Yearwood	22-Mar-16		
Oxy Trading Corporation	12-Jan-16	Darren Treasure	12-Jan-16	Jean Delangis	12-Jan-16
NCB Capital Markets (Barbados) Limited				Davie Martin	
				Paul S. Broomes	
RBC Dominion Securities Global Limited		Kevin P. Armstrong		Chelsey L. Walcott	
		Norman E. Barrow			
		Hendricus Marinus Schalkwijk			
		Lana G. Yearwood-Evelyn		Olivia Green	
Republic Finance & Trust (Barbados) Corporation		Jillian Kathy Nunes	29-Feb-16	Kofi R. Farmer	
				Lamar Dario Goring	08-Mar-16
Sagicor Asset Management Inc		Lesley R.A. Greaves		Lesley R.A. Greaves	
		LeeAnn F. Woodroffe		LeeAnn F. Woodroffe	
		Samica J. Hunte		Samica J. 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			
<b>TOTAL</b>			<b>18</b>		

\* 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	
Amergeris Wealth Management (Barbados) Limited (formerly Delta Asset Management (Barbados) Limited)		Paul Boskma	
Argentum Asset Management Inc.	2-Feb-16	Andrew Douglas Alleyne	2-Feb-16
		Roger Dalrymple Walkes	2-Feb-16
		Nicole Lisa Bayley	2-Feb-16
Cidel Bank & Trust Inc		Edward A. Meyer	
		Ryle L. Weekes	
Fintrade Services Inc		Juan Lorenzo Mendoza Pacheco	
First Citizens Investment Services (Barbados) Limited		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	
Management4 Holding Corp.	2-Feb-16	Carlos Corral Gonzalez	2-Feb-16
Mithril Financial Advisors Inc.	3-Jan-16	Jonathan J. K. Brathwaite	3-Jan-16
NCB Capital Markets (Barbados) Limited			
OurInterest Adviser Inc.		Craig Harewood	
Pencarrek Limited		Michael Berry	
Quantum Investment Management Inc.		Heinrich Nicholas Funk	
RBC Dominion Securities Global Limited		Hendricus Marinus Schalkwijk	
		Norman E. Barrow	
		Kevin P. Armstrong	
RBC Merchant Bank (Caribbean) Limited		Andrew C. Boissiere	
Sagikor Asset Management Inc		Lesley R.A. Greaves	
		LeeAnn F. Woodroffe	
		Samica J. 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>21</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		Steven O. Gooden	
Sagikor Asset Management Inc		Lesley R.A. Greaves	
		LeeAnn F. Woodroffe	
		Samica J. Hunte	
<b>TOTAL</b>	<b>5</b>		

Underwriters (firms)	Registration date (new registrant)
Citicorp Merchant Bank Limited	
Consolidated Finance Co. Limited	
FirstCaribbean International Trust & Merchant Bank Limited	
First Citizens Investment Services (Barbados) Ltd	
NCB Capital Markets (Barbados) Limited	
RBC Merchant Bank (Caribbean) Limited	
Republic Finance & Trust (Barbados) 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	
Emera (Caribbean) Incorporated (formerly Light & Power Holdings Ltd)	
Emera 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)	
Massy Holdings Limited formerly (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**

**45**

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 <b>(In Liquidation)</b>		
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 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 - 22]</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 March 31, 2016**

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

Type	Number
Market intermediaries <sup>1</sup>	35
Mutual Funds (including sub-funds)	22
Other Issuers	2
Reporting Issuers	45
Self-regulatory organisations	2

TABLE 2 - Breakdown of Market Intermediaries (firms)

Category	Number
Securities company	18
Investment adviser	21
Dealer	5
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.