

SECURITIES DIVISION

Entites registered and/or licensed with the Financial Services Commission under the supervision of the Securities Division
as at September 30, 2016

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		Terry A. Bonnett	23-Sep-16		
Caribbean Financial Services Corporation		Cecilia Ramsay			
Cidel Bank & Trust Inc		Ryle L. Weekes		Cynthia Butcher	
Concorde Bank Limited		Annette Marina Corbin		Joy Aberback	
FirstCaribbean International Trust & Merchant Bank Limited		Beverley L. Walters			
		Michael D. Carter			
		Selwyn D. Kellman			
FirstCaribbean International Wealth Management Bank (Barbados) Limited	12-Jul-16	Sean Mottley	12-Jul-16		
		Zdravko Vrlc	12-Jul-16		
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.		Sean Yearwood			
Oxy Trading Corporation		Darren Treasure			
NCB Capital Markets (Barbados) Limited				Davie Martin	
		Andrew McCartney		Paul S. Broomes	
RBC Dominion Securities Global Limited		Kevin P. Armstrong		Chelsey L. Walcott	
		Norman E. Barrow			
		Hendricus M. Schalkwijk			
Republic Finance & Trust (Barbados) Corporation		Lana G. Yearwood-Evelyn		Olivia Green	
Royal Fidelity Capital Markets (Barbados) Limited		Jillian Kathy Nunes		Kofi R. Farmer	
				Lamar Dario Goring	
		Lesley R.A. Greaves		Lesley R.A. Greaves	
Sagicor Asset Management Inc		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			
TOTAL			19		

* 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.		Andrew Douglas Alleyne Roger Dalrymple Walkes Nicole Lisa Bayley	
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.		Carlos Corral Gonzalez	
Mithril Financial Advisors Inc.		Jonathan J. K. Brathwaite	
NCB Capital Markets (Barbados) Limited		Warrick Ward	
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	
Royal Fidelity Merchant Bank & Trust (Barbados) Ltd.		Jillian Kathy Nunes Graham John Marshall	
Sagicor 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)	
		Scott Stollmeyer (on behalf of The Bank of Nova Scotia)	
TOTAL	22		

Dealers (firms)	Registration date (new registrant)	Dealer (for firm)	Registration date (new registrant)
CAPITA Financial Services Inc			
FirstCaribbean International Trust & Merchant Bank Limited		Beverly L. Walters	
First Citizens Investment Services (Barbados) Limited		David Neil McCallister	
NCB Capital Markets (Barbados) Limited		Warrick Ward	
Sagicor Asset Management Inc		Lesley R.A. Greaves LeeAnn F. Woodroffe Samica J. Hunte	
TOTAL	5		

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) Limited	
NCB Capital Markets (Barbados) Limited	
RBC Merchant Bank (Caribbean) Limited	
Republic Finance & Trust (Barbados) Corporation	
TOTAL	7

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	
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

44

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 (In Liquidation)		
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		
J & T Funds Inc	J&T Canadian Money Market Fund	12-Jul-16
	J&T Global Fixed Income Fund	
	J&T International Equity Fund	
	J&T Equity Fund	
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>	
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		
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		
Sagikor Asset Management Inc.		
TOTAL	10	

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

STATISTICAL SUMMARY as of September 30, 2016

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

Type	Number
Market intermediaries ¹	37
Mutual Funds (including sub-funds)	25
Other Issuers	2
Reporting Issuers	44
Self-regulatory organisations	2

TABLE 2 - Breakdown of Market Intermediaries (firms)

Category	Number
Securities company	19
Investment adviser	22
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.