



Eastern Caribbean Securities Regulatory Commission

ECCB FINANCIAL COMPLEX ♦ P O BOX

♦ BASSETERRE ♦ ST KITTS ♦ WEST INDIES

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Notice to Investors

The Eastern Caribbean Securities Regulatory Commission (“the Commission”) advises that the Securities Act requires that all persons soliciting or conducting securities business or providing investment advice in the Eastern Caribbean Currency Union must be licensed by the Commission to do so. The Securities Act also requires that securities must be registered by the Commission before they can be issued to the public.

The Commission urges all investors and potential investors to seek and accept advice only from licensed securities dealers or investment advisers. All investors and potential investors are advised to ensure that they have full information about the investment product, the entity and the person with whom they have chosen to invest. Investors should request audited financial statements and other pertinent documents (such as investment agreements, loan agreements, certificates of participation, etc) so that they can share them with their attorney or licensed investment adviser in order to receive professional advice.

A list of current licensed securities dealers and investment advisers can be found on the Commission’s website at www.ecsrc.com.

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