

Schedule 2

ISSUER REGISTRATION STATEMENT  
Sections 97(2), 97(3) and 97(4) of the Securities Act, 2001

FORM RS - 2

Select One:  Annual Registration  Issue of Securities

FIRST CITIZENS INVESTMENT SERVICES LIMITED

\_\_\_\_\_  
(Exact name of Company as set forth in Certificate of Incorporation)

Place and date of incorporation:

15TH JUNE 1999

Street and postal address of registered office:

17 WAINWRIGHT STREET, ST CLAIR, PORT OF SPAIN TRINIDAD AND TOBAGO

\_\_\_\_\_  
PRINCIPAL ADDRESS: JOHN COMPTON HIGHWAY, SANS SOUCI, CASTRIES, ST. LUCIA

Company telephone number: ( <sup>758</sup> ) 458-6391

Fax number: ( <sup>758</sup> ) 451-7984

Email address: arletta.huntley-wells@firstcitizenslu.com

Financial year-end: SEPTEMBER 30 2017  
(month) (day) (year)

Contact person(s): ARLETTA HUNTLEY-WELLS (FCIS SLU)  
STEPHEN THOMAS (FCIS TRINIDAD)

Telephone number (if different from above): ( <sup>868</sup> ) 622-3247 EXT 5902

Fax number: ( <sup>868</sup> ) 627-5496

Email address: stephen.thomas@firstcitizenstt.com

Did the company file all reports required to be filed by Section 98 of the Securities Act, 2001 during the preceding 12 months?

Yes

No

Did the company file all reports required to be filed by the Companies Act during the preceding 12 months?

Yes

No

**1. Description of the Industry in which the Company Operates**

FCIS operates in the securities industry that sells Fixed Income, Equity and other Securities to clients, offer investment advice and arrange deals for issuers in capital markets.

**2. Exchanges on which the Company's Securities are Listed**

Exchange(s)	Securities Type	No. of Shares	Valuation
N/A			

**3. Description of Securities Being Offered (including who is the Issuer and who is the Offeror of the Securities)**

FCIS issue Repurchase Agreement (repo) in minimum amounts of XCD3,000 and/or USD1,000 for each repo for tenors ranging from overnight to seven hundred and thirty four days in conformity with investor requests and agreements up to a total maximum offer amount of all repos issued of XCD500M and USD100M respectively over a period of one (1) year,

**4. Territories in which Securities are Being Offered**

Territory	Effective Date
OECS	
Wider Caribbean	

5. Description of Share Capital

a) Authorised

<b>TYPE/CLASS</b>	<b>No. OF SHARES</b>
COMMON	UNLIMITED

b) Issued

<b>TYPE/CLASS</b>	<b>No. OF SHARES</b>
COMMON	637,697

c) Outstanding

<b>TYPE/CLASS</b>	<b>No. OF SHARES</b>
COMMON	637,697

**6. EXECUTIVE OFFICERS AND KEY PERSONNEL OF THE COMPANY**

Position:

**GENERAL MANAGER**

Name: SANA RAGBIR

Age: 38

Mailing Address: 10 GITTENS STREET, TACARIGUA, TRINIDAD

Telephone No.: 868-793-7236

List jobs held during past five years (including names of employers and dates of employment).  
Give brief description of current responsibilities.

FIRST CITIZENS INVESTMENT SERVICES LIMITED GENERAL MANAGER 2015-CURRENT  
RESPONSIBLE FOR GENERAL OVERSIGHT AND LEADERSHIP OF FCIS GROUP

ASSISTANT GENERAL MANAGER 2010-2015  
RESPONSIBLE FOR MANAGEMENT OF INVESTMENTS, BUSINESS MANAGEMENT, RESEARCH, PORTFOLIO  
MANAGEMENT, OPERATIONS AND FINANCE

Education (degrees or other academic qualifications, schools attended, and dates):

MASTERS OF BUSINESS ADMINISTRATION • COLUMBIA BUSINESS SCHOOL 2006-2007

CHARTERED FINANCIAL ANALYST (CFA) 2004

BSc CHEMISTRY/MANAGEMENT • 1998 • 2001

Also a Director of the company

Yes

No

If retained on a part time basis, indicate amount of time to be spent dealing with company matters:

*Use additional sheets if necessary.*

**6. EXECUTIVE OFFICERS AND KEY PERSONNEL OF THE COMPANY**

Name: STEPHEN THOMAS Position: ASSISTANT GENERAL MANAGER

Age: 45

Mailing Address: 21 RAMLOGAN CIRCULAR, UPPER LA SEIVA, MARAVAL  
\_\_\_\_\_  
\_\_\_\_\_

Telephone No.: 868-686-4888

List jobs held during past five years (include names of employers and dates of employment).  
Give brief description of current responsibilities

Citibank (Trinidad & Tobago) Limited 2009-2017:-  
Senior Relationship Manager - Public Sector and Financial Institutions  
Head - Capital Markets  
Head - Risk Treasury and Trading  
Assistant General Manager - First Citizens Investment Services Limited  
- oversight of Wealth management, Brokerage & Advisory Services, Structuring and Advisory and Operations (regionally) of FCIS.

Education (degrees or other academic qualifications, schools attended, and dates):

BSc Economics - University of the West Indies (1991-1995)  
MBA - Georgetown University - Washington D.C. (2003)

Also a Director of the company  Yes  No

If retained on a part time basis, indicate amount of time to be spent dealing with company matters:

N/A

*Use additional sheets if necessary*

**6. EXECUTIVE OFFICERS AND KEY PERSONNEL OF THE COMPANY**

Name: ARLETTA HUNTLEY-WELLS

Position: COUNTRY MANAGER

Age: 40

Mailing Address: P.O. Box CHOC 8103, Castries, Saint Lucia

Telephone No.: 458 6391/ 484 0801

List jobs held during past five years (include names of employers and dates of employment).  
Give brief description of **current** responsibilities

**JOBS HELD DURING THE LAST FIVE YEARS:**

Feb 2015 - June 2016 - Group Financial Analyst, East Caribbean Financial Holding Co. (ECFH)  
Apr 2014 - Jan 2015- Manager, Private Banking Unit, Bank of Saint Lucia Ltd  
Jan 2011 - Mar 2014- Senior Fund Manager, Wealth & Asset Management Division, Bank of Saint Lucia Ltd

**CURRENT RESPONSIBILITIES - COUNTRY MANAGER, FCIS - SAINT LUCIA**

FCIS is the largest full service brokerage and financial advisory firm in the Caribbean. As Country Manager, I am responsible for the supervision and smooth running of the Saint Lucia operations. We service the OECS from the Saint Lucia Office. This includes my being a registered Principal overseeing the activities of the representatives and authorizing trades.

Education (degrees or other academic qualifications, schools attended, and dates):

FCCA - Became a Fellow of the Association of Chartered Certified Accountants (ACCA) - 2007  
MBA (Finance Specialization) - International University of Monaco, Monaco - 2004  
ACCA - Became a Member of the Association of Chartered Certified Accountants (ACCA) - 2002  
BSc Economics & Accounting (Double Major) - University of the West Indies, Cave Hill Campus - 1998

Also a Director of the company

Yes

No

If retained on a part time basis, indicate amount of time to be spent dealing with company matters:

NA

*Use additional sheets if necessary*

**7. DIRECTORS OF THE COMPANY**

Information concerning non-Executive Directors:

Name: Anthony Isidore Smart Position: Chairman  
Age: 70  
Mailing Address: #3 Moka Townhouse, Moka Road, Maraval  
\_\_\_\_\_  
\_\_\_\_\_

Telephone No.: (868) 681 0600 or 623 9540

List jobs held during the past five years (including names of employers and dates of employment). Give brief description of current responsibilities.

Gittens Smart & Company – Partner

Education (degrees or other academic qualifications, schools attended, and dates):

BA (General) Majoring in Economics, University of Toronto, Canada, 1968  
Solicitors' Qualifying Examinations Parts I and II, 1970 and 1971, College of Law, Surrey, England

*Use additional sheets if necessary*



## **DIRECTORS OF THE COMPANY**

Information concerning non-Executive Directors:

Name: **Ryan Proudfoot**

Position: **Director**

Age: 44

Mailing Address: 32 Westpark Villas, Western Circle, Westmoorings

Telephone No.: (868) 310 3106

List jobs held during the past five years. Give brief description of responsibilities. Include names of employers.

Total Office (creation of office spaces) – Managing Director & Majority Shareholder  
(2007 – Present)

Education (degrees or other academic qualifications, schools attended, and dates):

MBA – International Management, University of Exeter, 1994 – 1995

BA (Hons.) Accounting - University of Kent at Canterbury, 1991 – 1994

*Use additional sheets if necessary*

## **DIRECTORS OF THE COMPANY**

Information concerning non-Executive Directors:

Name: **Karen Darbasie**

Position: **Director**

Age: 51

Mailing Address: 105 Golf Course Road, Fairways, Maraval

Telephone No.: (868) 621 5333

List jobs held during the past five years. Give brief description of responsibilities. Include names of employers.

Citibank – Country Treasurer and Local Markets Head (Financial Sector) 2005-2015

Education (degrees or other academic qualifications, schools attended, and dates):

MBA Dist. - University of Warwick, 1990-1991

MSc. (Dist.) Telecommunications and Information System – University of Essex, 1986 – 1987

Bsc. (Hons), Electrical Engineering - University of the West Indies, 1982 – 1985

*Use additional sheets if necessary*

**DIRECTORS OF THE COMPANY**

Information concerning non-Executive Directors:

Name: **Troy Garcia**

Position: **Director**

Age: 46

Mailing Address: 33 Sandown Road, Goodwood Park

Telephone No.:(868) 680-7278

List jobs held during the past five years. Give brief description of responsibilities. Include names of employers.

Parts World Limited – Chief Executive Officer – 1997 to date  
United Bearings & Equipment Agencies – Director – 1998 to date  
Parts World Limited – Chief Executive Officer – 1997 to date  
High Performance Coatings – Managing Director – 2003 to date

Education (degrees or other academic qualifications, schools attended, and dates):

Bachelor of Business Administration - Stetson University, Florida, USA, 1991 to 1995

*Use additional sheets if necessary*

## **DIRECTORS OF THE COMPANY**

Information concerning non-Executive Directors:

Name: **Idrees Omardeen**

Position: **Director**

Age: 44

Mailing Address: 315 Soogrim Street, Gulf View

Telephone No.: (868) 680-9657

List jobs held during the past five years. Give brief description of responsibilities. Include names of employers.

Omardeen School of Accounting Limited – Managing Director – May 1995 to present

Education (degrees or other academic qualifications, schools attended, and dates):

Association of Accounting Technicians (AAT)

Became a member after completing the examination and obtaining relevant work experience - 1996

Association of Chartered Certified Accountants (ACCA)

Became a member after completing the examination and obtaining relevant work experience, - 2004

Association of Chartered Certified Accountants (ACCA)

Grant Fellow Membership Status - 2009

*Use additional sheets if necessary*

## **DIRECTORS OF THE COMPANY**

Information concerning non-Executive Directors:

Name: **Jayselle McFarlane**

Position: **Director**

Age: 46

Mailing Address: #25 Third Street, St. Joseph Village, San Fernando

Telephone No.: n / a

List jobs held during the past five years. Give brief description of responsibilities. Include names of employers.

Trinidad Bulk Traders – Financial Controller	2008-2012
Tobago Hilton Golf & Spa – Financial Controller	2007-2008
Business Owner – Bookstore	current

Education (degrees or other academic qualifications, schools attended, and dates):

Students Accountancy Centre - ACCA
Heriott-Watt University – currently pursuing MBA

*Use additional sheets if necessary*

## **DIRECTORS OF THE COMPANY**

Information concerning non-Executive Directors:

**Name: David Inglefield**

**Position: Director**

**Age: 66**

**Mailing Address: 224 Tangerine Drive, Haleland Park, Maraval**

**Telephone No.: (868) 290-3449**

List jobs held during the past five years. Give brief description of responsibilities. Include names of employers.

Inglefield, Ogilvy & Mather - Chief Executive Officer and Founder – 1993-2003  
Ansa McAl Group – Group Marketing Director – 2003-2005  
Ansa McAl Group – Sector Head, Distribution – 2005-2007  
Ansa McAl (Barbados) – President/CEO – 2007-2011  
Ansa McAl Group – Sector Head (Retail, Media & Services) – 2011-2015  
Business Consultant – July 2015 to present  
Vice President – Trinidad and Tobago Olympic Committee  
Non-Executive Chairman – Inglefield, Ogilvy & Mather

Education (degrees or other academic qualifications, schools attended, and dates):

n/a

*Use additional sheets if necessary*

## **DIRECTORS OF THE COMPANY**

Information concerning non-Executive Directors:

**Name: Nicole De Freitas**

**Position: Director**

**Age: 43**

**Mailing Address: Lot 44 Paxvale, Phase Two, Santa Cruz**

**Telephone No.: 721-1318**

List jobs held during the past five years. Give brief description of responsibilities. Include names of employers.

- Scotiabank Trinidad and Tobago Limited –
- Director Operations Support, Shared Services Caribbean Hub July 2014-June 2016
- Director, Consolidations Shared Services Jan 2013 – June 2015
- Assistant General Manager, Shared Services Mar 2010 – Dec 2012

Provides the leadership, management and vision for the functional areas under my purview, ensuring that the Operational and Administrative activities support the strategic and business activities of the Group.

Responsible for leading and directing the following functional business areas in the Group: Information Communications and Technology, Systems and Procedures, Back Office Support/Shared Service, Project Management, Group Facilities Management and Security Services

Assist the Deputy Chief Executive Officer, Operations and Administration in the development of organization overall strategic and plans to support efficiency of the functional areas under my purview to ensure that the strategic and operational goals of the Group are achieved.

Education (degrees or other academic qualifications, schools attended, and dates):

- Executive Masters in Business Administration degree with distinction – UWI, Arthur Lok Jack Graduate School of Business (UWI-ALJGSB) – 2009 to 2012
- Completed the Levy Leadership Program - Richard Levy School of Business – University of Western Ontario – Nov 2014
- Advanced Diploma in Management Information Systems with distinction – UWI, Institute of Business (UWI-IOB) – 2000 to 2002
- First class honors degree with majors in Mathematics and Computer Science - UWI – 1992 to 1995

*Use additional sheets if necessary*

## **DIRECTORS OF THE COMPANY**

Information concerning non-Executive Directors:

Name: **Ian Narine**

Position: **Director**

Age: 47

Mailing Address: 4 Moses Avenue, San Juan

Telephone No.: 775 - 8782

List jobs held during the past five years. Give brief description of responsibilities. Include names of employers.

General Manager – Guardian Asset Management Ltd -May 2010 to July 2014

Direct responsibility for the functions of sales and marketing, investment management, operations and information technology, business development

Education (degrees or other academic qualifications, schools attended, and dates):

Master of Business Administration – The University of Manchester – 21 June 2011  
Fellow Chartered Certified Accountant – Students Accountancy Center - May 2007  
Chartered Islamic Finance Executive – Ethica Institute of Islamic Finance - December 2010

*Use additional sheets if necessary*



**DIRECTORS OF THE COMPANY**

Information concerning non-Executive Directors:

Name: **Sterling Frost**

Position: **Director**

Age: **55**

Mailing Address: Apt 19C Tower 1, One Woodbrook Place

Telephone No.: 6 8 1 - 6 6 6 6

List jobs held during the past five years. Give brief description of responsibilities. Include names of employers.

December 01, 2013 to June 21, 2016  
Director – Human Resources, Citibank NA

June 22, 2016 to August 22, 2016  
Deputy Chief Executive Officer – Operations & Administration Designate

August 23, 2017 to present  
Deputy Chief Executive Officer – Operations & Administration

Education (degrees or other academic qualifications, schools attended, and dates):

Masters in Business Administration – 1999

*Use additional sheets if necessary*

**8. SUBSTANTIAL SHAREHOLDERS**

- (a) Principal owners of the company (those who beneficially own more than 5% of the common and preferred shares presently outstanding whether directly or indirectly) starting with the largest common shareholder. Indicate by endnote any transaction where the consideration was not cash. State the nature of any such consideration.

**SECURITIES NOW HELD:**

Name: Address:	Class of Shares:	No. of Shares:	% of Total
FIRST CITIZENS BANK LIMITED	COMMON SHARES	637697	100

- (b) Include all common shares issuable upon conversion of convertible securities and show conversion rate per share as if conversion has occurred.

**UPON CONVERSION:**

Name: Address:	Class of Shares:	Conversion Rate:	No. of Shares upon Conversion	% of Total*
N/A				

\* Current holding of shares if conversion option were exercised.

**9. Name and Address of Parent**

<b>Name:</b>	<b>Address:</b>	<b>Country of Incorporation:</b>	<b>Countries of Registration (where applicable)</b>	<b>Name of the Exchange(s) on which the company's securities are listed:</b>
FIRST CITIZENS	9 QUEENS PARK EAST	TRINIDAD	TRINIDAD	TRINIDAD AND TOBAGO STOCK EXCHANGE
BANK LIMITED	PORT OF SPAIN			

**10. Name(s) and Address(es) of Subsidiary(ies)**

<b>Name:</b>	<b>Address:</b>	<b>Percentage Ownership:</b>	<b>Name of the Exchange(s) on which the company's securities are listed:</b>
FIRST CITIZENS INVESTMENT SERVICES	ONE WELCHES, BARBADOS	100	N/A
FIRST CITIZENS BROKERAGE AND ADVISORY SERVICES	17 WAINWRIGHT ST. ST CLAIR	100	N/A

**11. Name(s) and Address(es) of Affiliate(s)**

<b>Name:</b>	<b>Address:</b>	<b>Name of the Exchange(s) on which the company's securities are listed:</b>
FIRST CITIZENS ST. LUCIA	SAINT LUCIA	N/A
FIRST CITIZENS FINANCIAL SERVICES	SAINT LUCIA	N/A
FIRST CITIZENS ASSET MANAGEMENT	PORT OF SPAIN	N/A
FIRST CITIZENS COSTA RICA SA	COSTA RICA	N/A
FIRST CITIZENS BANK BARBADOS	BARBADOS	N/A

**SIGNATURES**

A Director, the Chief Executive and Corporate Secretary shall sign this Registration Statement on behalf of the company. By so doing each certifies that he has made diligent efforts to verify the material accuracy and completeness of the information herein contained.

Name of Chief Executive Officer:

Name of Director:

**STEPHEN THOMAS**





Signature

Signature

24 JAN - 2018

Date

Date

Name of Corporate Secretary:



Signature

26/1/18

Date