

Securities Industry Act, 2011



Registrants as at 30 June 2019

LICENSEE	CATEGORIES	CONTACT PERSON	EMAIL	ADDRESS	P.O. BOX	Registered Representatives				
						CEO	COMPLIANCE OFFICER	TRADING REP	ADVISING REP	MANAGING REP
A.S.P.I Bahamas Ltd. (formerly R.I.A.F. Ltd)	1. Managing Securities 2. Advising on Securities	Carole Sassoon	methompson@aspibahamas.com	Ground Floor Ocean Centre, East Bay Street	SP-61913	Carole Sassoon	Magnal Thompson	N/A	N/A	N/A
Abaco Global Advisors Ltd.	1. Managing Securities	Oliver Notz	onotz@abaco-ltd.com; info@abaco-ltd.com	3B One Sandypoint Plaza West Bay Street	SP-64168	Oliver Notz	Michele Knowles-Doura	N/A	N/A	Oliver Notz
Acetop Global Markets Limited	1. Dealing in Securities as Agent or Principal 2. Arranging Deals	Fareda Sands	fareda@acetop.com	208 Church Street, Sandypoint	N/A	Fareda Sands	Rayneth Darling	Mark Gemma	N/A	N/A
ActivTrades Corp.	1. Dealing in Securities as Agent or Principal 2. Advising on Securities	Alessandro Giuseppe Gho	agho@activtrades.com; cmorley@activtrades.com	209/210 Church Street, Sandypoint Plaza, Nassau, Bahamas	SP-64388	Alessandro Giuseppe Gho	Clesha Morley	N/A	N/A	N/A
Aguila Consultancy Ltd.	1. Advising on Securities	Aldo Mazzella	aldo.mazzella@niswal.com	Suite 205, Saffrey Square, Bay Street, Nassau, Bahamas	N/A	Aldo Mazzella	Michelle Bain	N/A	Aldo Mazzella	N/A
Akelius Invest Ltd.	1. Managing Securities	Demetrius Syllouris	demetris.syllouris@akeliusinvest.com	1100 East Bay Street, Abaco, Bahamas	AB-20415	Demetrius Syllouris	Sandra Gilbert	N/A	N/A	Demetrius Syllouris
Alliance Investment Management Ltd.	1. Dealing in Securities as Agent 2. Arranging Deals 3. Advising on Securities	Julian Brown	info@allianceinvest.com; aelcock@allianceinvest.com; jbrown@allianceinvest.com	Carmichael Commercial Centre, 2nd Floor Suite 201, Carmichael Road	SS-19051	Julian Brown	Ruth Bowe-Darville	Julian Brown Nolan Johnson	Julian Brown	Nolan Johnson
Alternative Asset Advisors S.A.	1. Managing Securities 2. Advising on Securities	Jillian Ferguson	jillian.ferguson@syzgroup.com	Old Fort Bay Town Centre, Building 2, Windsor Field Road	N-1089	Jillian Ferguson	Venetia Dekle-Maura	N/A	Keitra Pratt	Keitra Pratt Pascal Cristiano
Alternative Investment Solutions Ltd.	1. Advising on Securities	Samir Lakkis	info@aisfg.com; samir.lakkis@aisfg.com; francisca.delva@aisfg.com; tamekia.stubbs@aisfg.com	5 Pineapple Grove, Lyford Cay	SP-64284	Samir Lakkis	Francisca Anthonicia Delva	N/A	Tamekia Stubbs Julian Benichou Sergio Estes Vidal Marc Elongman	N/A

Securities Industry Act, 2011



Registrants as at 30 June 2019

LICENSEE	CATEGORIES	CONTACT PERSON	EMAIL	ADDRESS	P.O. BOX	Registered Representatives				
						CEO	COMPLIANCE OFFICER	TRADING REP	ADVISING REP	MANAGING REP
Amber Bank & Trust Ltd.	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Vincenzo Piantedosi	vpiantedosi@siriob.com; admin@ambergrouphdgs.net; katriena.marshall@amberbank.com	Caves Village, Building #2, West Bay Street, Nassau, Bahamas	N-3917	Vincenzo Piantedosi	Katreina Marshall	Lisa Patterson Mateo Raimondo Julian Adderley Andrea Albanese	Lisa Patterson Mateo Raimondo Julian Adderley Andrea Albanese	Mateo Raimondo Julian Adderley Andrea Albanese
Analytical Research Advisors, LLC	1. Advising on Securities	Jean-Stephane Marie Lods	slods@analyticalresearch.com; info@sterling-bahamas.com	205A Saffrey Square, Bank Lane and Bay Street	N-9934	Jean-Stephane Marie Lods	Michelle Bain	N/A	Jean-Stephane Marie Lods	N/A
Andbank (Bahamas) Limited	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Shulamit Garburg	shulamit.garburg@andbank.com; info.bahamas@andbank.com; manel.martinez@andbank.bs	One Montague Place, East Bay Street	AP-59223	Shulamit Garburg	Natasha Symonette	Ginarene Chuno	George Maillis Jamaal Wright	N/A
Ansbacher (Bahamas) Limited	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Andrew Alexiou	info@ansbacher.bs; andrew.alexiou@ansbacher.bs	4th Floor Colina Imperial Building, #308 East Bay Street	N-7768	Andrew Alexiou	Tatjana Jancic-Turner	N/A	N/A	N/A
Arbital Securities Ltd.	1. Dealing in Securities as Agent or Principal 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Andre Souza	nassau@arbital.com; andre@arbital.com	Offices at Old Fort Bldg No. 4, Old Fort Bay, Lyford Cay	SP-64093	Andre Souza	Indira Ferguson	Andre Souza; Alexander Iferenta; Shinique Rolle	Andre Souza	Andre Souza; Alexander Iferenta; Shinique Rolle
Audaci Capital Limited	1. Arranging Deals 2. Managing Securities 3. Advising on Securities	Damian Forbes	dforbes@audacicapital.com; info@audacicapital.com	Albany Financial Center, South Ocean Boulevard	SP-60486	Damian Forbes	Indira Ferguson	Damian Forbes	Damian Forbes	N/A
Autana Capital Management Limited	1. Managing Securities 2. Advising on Securities	Mr. Jean-Marc Emden	jme@autanacapital.com	17 Professional Centre, Caves Village, West Bay Street	CB-12762	Mr. Jean-Marc Emden	Vacant	N/A	N/A	N/A
Axia Partners	1. Managing Securities	Kevin Lee Price	kevinprice7@hotmail.com; contact@apms-ltd.com;	Halisbury Commercial Centre, Suite #2, Vilage Road North	SS-19689	Kevin Lee Price	Indira Ferguson	N/A	N/A	N/A

Securities Industry Act, 2011



Registrants as at 30 June 2019

LICENSEE	CATEGORIES	CONTACT PERSON	EMAIL	ADDRESS	P.O. BOX	Registered Representatives				
						CEO	COMPLIANCE OFFICER	TRADING REP	ADVISING REP	MANAGING REP
Axmin Capital Ltd.	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Ernesto Fridman Pardo	efridman@fridman.com.uy	Winterbotham Place, Marlborough & Queen Sts.	N-3026	Ernesto Fridman Pardo	Marcelo A. Uste	Guillermo Baeza	Guillermo Baeza; Ernesto Fridman Pardo	N/A
Axxets Management Inc.	1. Managing Securities 2. Advising on Securities	Anthony Ferguson	info@cfal.com; aferguson@cfal.com	308 East Bay Street	CB-12407	Anthony Ferguson	Prescott Adderley	N/A	Anthony Ferguson; Yair Esrubilsky	Anthony Ferguson; Yair Esrubilsky
Bahamas Central Securities Depository	Clearing Facility	Nerika Burrows	NBurrows@bahamascsd.com; info@bahamascsd.com	British Colonial Hotel Hilton #202	N-9307	Nerika Burrows	Latonia Symonette- Tinker	N/A	N/A	N/A
Bahamas International Securities Exchange (BISX)	Exchange	Keith Davies	info@bisxbahamas.com; hgrant@bisxbahamas.com; kdavies@bisxbahamas.com	Suite 201, Fort Nassau Centre, British Colonial Hilton, Bay Street	EE-15672	Keith Davies	Holland Grant	N/A	N/A	N/A
Bahamas Securities (1987) Limited	1. Advising on Securities	George C. Culmer	cculmer@bdobahamas.com	Gresham House' Charlotte Street South	N-10144	George C. Culmer	Myles Culmer	N/A	George C. Culmer; Myles J. Culmer	N/A
Banca del Sempione (Overseas) Ltd.	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities	Beat Meier	beat.meier@sempione-overseas.com; neil.baker@sempione-overseas.com; bsoverseas@sempione-overseas.com	3rd Floor George House, George Street	N-8159	Beat Meier	Neil Baker	Edrick Cleare; Stanley Coakley; Michele Piantoni	N/A	Simone Bertoldo
Banco Santander (Suisse) SA	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Alfonso Coloma Bello	acoloma@bpe-gruposantander.com	3rd Floor Goodman's Bay Corporate Centre, West Bay Street	N-1682	Alfonso Coloma Bello	Roberto Crespo	Alfonso Coloma Bello	Alfonso Coloma Bello	Alfonso Coloma Bello
Bank J. Safra Sarasin (Bahamas) Ltd.	1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities	Adrian Zadeh	bahamas@jsafrasarasin.com; adrian.zadeh@jsafrasarasin.com	204 Church Street, Olde Towne, Sandport, West Bay Street	CB-10988	Adrian Zadeh	Bernard Young	Yantoni Zeitoune; Joao Franco	Adrian Zadeh	Adrian Zadeh Daniel Saralegui

Securities Industry Act, 2011



Registrants as at 30 June 2019

LICENSEE	CATEGORIES	CONTACT PERSON	EMAIL	ADDRESS	P.O. BOX	Registered Representatives				
						CEO	COMPLIANCE OFFICER	TRADING REP	ADVISING REP	MANAGING REP
Bank of the Bahamas Limited	1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities	Kenrick Brathwaite	kenrick.brathwaite@bankbahamas.com	Cloughton House, Shirley & Charlotte Streets	N-7118	Kenrick Brathwaite	Wendell A. Gardiner	N/A	N/A	N/A
Banque Havilland (formerly Pasche Bank & Trust Limited)	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Stefano Grace	S.Grace@banquehavilland.com	Unit 1 Western Commercial Centre, Mt. Pleasant Village, Western Road	AP-59241	Stefano Grace	Samantha Barrett	N/A	N/A	N/A
Bearbull Degroof International Limited	1. Managing Securities 2. Advising on Securities	Nicole M. Dupuy	dupuy@bahamas.net.bs	Bougainvillea Lyford Drive, Lyford Cay, Nassau, Bahamas	N-4287	Nicole M. Dupuy	Inger Simms	N/A	Nicole M. Dupuy	N/A
Benchmark Advisors (Bahamas) Ltd.	1. Deal in Securities as Agent or Principal 2. Advising on Securities	Avril Elcock-Major	aelcock@allianceinvest.com	Gresham House, Charlotte Street North	N-10144	Avril Elcock-Major	Ruth Bowe-Darville	Nolan Johnson	Nolan Johnson	N/A
Black Isle Management Services Ltd.	1. Managing Securities 2. Advising on Securities	Ian Black	ian@blackislemanagement.com	UBS Annex, 2nd Floor, East Bay Street	SS-19501	Ian Black	Chamika Gibson	N/A	Marc-Claudio Muller Ian Black	Bradley Crawley Ian Black Marc-Claudio Muller
Blue Line Advisors Ltd.	1. Managing Securities	Vincy Singh	v.singh@blueline-ltd.com	Halisbury Commercial Centre, Suite #2, Village Road North	SS-19689	Vincy Singh	Indira Ferguson	N/A	N/A	N/A
Blue Sea Asset Management Ltd.	1. Managing Securities 2. Arranging Securities	Anthony Ferguson	Aferguson@cfal.com	308 East Bay Street	CB-12407	Anthony Ferguson	Monique Knowles	N/A	Anthony Ferguson	N/A
Bluebay Global Advisors Ltd.	1. Managing Securities 2. Advising on Securities	Roger Landucci	roger@bluebay-ltd.com	Halisbury Commercial Centre, Suite #2, Village Road North	SS-19689	Roger Landucci	Indira Ferguson	N/A	Roger Landucci	Roger Landucci
Braun & CIE Ltd.	1. Advising on Securities	Julian Brown	jbrown@allianceinvest.com	Charlotte Street South, Gresham House	N-10144	Julian Brown	Julian Brown	N/A	N/A	N/A
Capital Index (Global) Limited	1. Dealing in Securities as Principal & Agent 2. Arranging Deals	Amaechi Azikiwe	a.azikiwe@gmail.com; compliance@capitalindex.com	208 Church Street, 2nd Floor, Sandypoint West Bay Street, Nassau, Bahamas	SS-19086	Amaechi Azikiwe	Kensil Johnson	Trevor Barwell	N/A	N/A

Securities Industry Act, 2011



Registrants as at 30 June 2019

LICENSEE	CATEGORIES	CONTACT PERSON	EMAIL	ADDRESS	P.O. BOX	Registered Representatives				
						CEO	COMPLIANCE OFFICER	TRADING REP	ADVISING REP	MANAGING REP
Capital Union Bank	1. Dealing in Securities as Principal or Agent 2. Managing Securities 3. Advising on Securities	Ludavic Chechin-Laurans	lcl@capitalunionbank.com; luciana.silvera@capitalunionbank.com; stanya.stuart@capitalunionbank.com; mikeiko.brown@capitalunionbank.com	CUB Financial Centre; Lyford Cay	AP-59223	Ludavic Chechin-Laurans	Nicolette Alexis Duncanson	Clement Ducasse; Antoine Lacourt Maxine Barberis	Clement Ducasse; Antoine Lacourt	Clement Ducasse; Antoine Lacourt
Capital Vision Limited	1. Managing Securities 2. Advising on Securities	Anthony Ferguson	aferguson@cfal.com	308 East Bay Street	CB-12407	Anthony Ferguson	Monique Knowles	N/A	N/A	N/A
CBH Bahamas Ltd.	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Dorothy Hilton	dhilton@cbhbank.com	CBH House, East Bay Street	N-1724	Dorothy Hilton	Steven Miller	Shamini Gibson; Jamal Wright Ahmad Strachan Daniel Baron Jamaal Farquharson Belinda Mills William Gibson	Shamini Gibson; Jamal Wright Ursula Rolle Ahmad Strachan Jamaal Farquharson Belinda Mills William Gibson	N/A
CFAL	1. Managing Securities 2. Advising on Securities	Anthony Ferguson	aferguson@cfal.com; info@cfal.com; sthurston@cfal.com	308 East Bay Street	CB-12407	Anthony Ferguson	Monique Knowles	N/A	Anthony Ferguson Pamela Musgrove	Anthony Ferguson Pamela Musgrove
CFAL Securities Ltd.	1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities	Anthony Ferguson	aferguson@cfal.com; info@cfal.com; mtknowles@cfal.com	308 East Bay Street	CB-12407	Anthony Ferguson	Monique Knowles	Pamela Musgrove; Tiffany Angelique Smith; Jeanelle Christal Francis; Giovannah Evans; Anna Zervos;	Dwayne Swann; Shafegah Duncanson;	N/A
Chariton Capital Ltd.	1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Anthony Ferguson	Aferguson@cfal.com	308 East Bay Street, 1st Floor Bayview House. Nassau, Bahamas	CB 12407	Anthony Ferguson	Indira Ferguson	Anthony Ferguson	Anthony Ferguson	Anthony Ferguson
CIBC Trust Company (Bahamas) Limited	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Perry A Rolle	perry.rolle@cibcfib.com	1st Floor Goodman's Bay Corporate Centre, West Bay Street & Seaview Drive	N-3933	Perry A Rolle	Natika Whitfield	N/A	N/A	N/A

Securities Industry Act, 2011



Registrants as at 30 June 2019

LICENSEE	CATEGORIES	CONTACT PERSON	EMAIL	ADDRESS	P.O. BOX	Registered Representatives				
						CEO	COMPLIANCE OFFICER	TRADING REP	ADVISING REP	MANAGING REP
Citco Bank & Trust Company (Bahamas) Limited	1. Dealing in Securities as Principal & Agent 2. Arranging Deals	Rupert Walle	rwalle@citco.com	One Montaque Place, East Bay Street	N-4906	Rupert Walle	Cindy A. Smith (Interim)	Tamar M. Armbrister-Delancey	N/A	N/A
Clairmont Advisors Ltd.	1. Managing Securities 2. Advising on Securities	Benjamin Hein	Benjamin.hein@clairmontwealth.com; Compliance@clairmontwealth.com	#5 Pineapple Grove, Lyford Cay	SP-64284	Benjamin Hein	Clement Anthony Penn Jr.	N/A	Benjamin Hein; John Jephson; Sebastian Duenas	John Jephson; Sebastian Duenas
Clairmont Trust Company Limited	1. Advising on Securities	Miles Evans	fsd@clairmonttrust.com; miles.evans@clairmonttrust.com; reporting@clairmonttrust.com	#5 Pineapple Grove, Lyford Cay	SP-64284	Miles Evans	Wanda Maycock	N/A	James Hoar; John Jephson; Jaime Stewart	N/A
Colonial Pension Services (Bahamas) Limited	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Larry Gibson	Larry.Gibson@atlantichouse.com.bs	2nd Floor Atlantic House, Collins Avenue	SS-6246	Larry Gibson	Antoinette Blair	Kriston Moore	Larry Gibson	Desiree Parker
Core Capital Partners Ltd.	1. Dealing in Securities as Agent 2. Managing Securities 3. Advising on Securities	Heather Bellot-Hazarian	hbh@ccpl.capital	Suite 232, Island Traders Building, Sandyport	SS-6836	Heather Bellot-Hazarian	Kristy Kemp	N/A	Heather Bellot-Hazarian	Heather Bellot-Hazarian
Corner Bank (Overseas) Limited	1. Managing Securities 2. Advising on Securities	Christine Russell	christine.russell@corner.bs; ruch@corner.bs; info@corner.bs;michele.clivio@corner.bs	1st Floor 308 East Bay Street	N-7134	Christine Russell	Jennifer Rahming	N/A	Stefano Donati; Davide Bonetti; Birgit Ludig-Dridi; Myriam Larbi-McKenzie; Jerome Elliott Pyfrom	Eirene Gatis-Thronebury; Jerome Elliott Pyfrom
Credit Suisse AG, Nassau Branch Ltd.	1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities	Vanessa Knowles	vanessa.knowles@credit-suisse.com	4th Floor The Financial Centre, Shirley & Charlotte Streets	N-4928	Vanessa Knowles	Danish Asghar Iqbal	Thomas Markus Karrer; Oliver Turner; Thiago Pereira; Guilherme Bianchi; Rogerio Ribas	Thomas Markus Karrer; Michael Ranson; Flavio Lopes; Miguel Angel Mesino; Cristiano Carvalho De Souza Melo; Douglas Pereira; Carlos D'Alessandro; and Martin Kempf	Miguel Angel Mesino; Martin Kempf; and Carlos D'Alessandro

Securities Industry Act, 2011



Registrants as at 30 June 2019

LICENSEE	CATEGORIES	CONTACT PERSON	EMAIL	ADDRESS	P.O. BOX	Registered Representatives				
						CEO	COMPLIANCE OFFICER	TRADING REP	ADVISING REP	MANAGING REP
Credit Suisse Brazil (Bahamas) Limited	1. Dealing in Securities as Principal & Agent	Vaughn Marvin Gibson	vaughn.gibson@credit-suisse.com	4th Floor Bahamas Financial Centre, Shirley & Charlotte Streets	N-3241	Vaughn Marvin Gibson	Application Pending	N/A	N/A	N/A
Crescendo (Bahamas) Ltd.	1. Managing Securities 2. Advising on Securities	Claude Philip Meier	claudio.meier@gmail.com; pklonaris@delaneypartners.com	Western Business Center, Western Road, Nassau, Bahamas	CB-13007	Claude Philip Meier	Duhiza Taylease S. Smith	N/A	Claude Philip Meier	Claude Philip Meier
Dartley Securities Limited	1. Dealing in Securities as Agent	Dillon Dean	dillon_dean@hotmail.com; operations@dartley.com.bs; administrator@dartleybank.com;	Equity House, Caves Village Plaza, West Bay Street & Blake Road	CB-11838	Dillon Dean	Sally Patton	Charles Aboulafia	N/A	N/A
Delessert Asset Management Ltd.	1. Managing Securities 2. Advising on Securities	Anthony Ferguson	del-compliance@delessert-am.bs; AFerguson@cfal.com	308 East Bay Street	CB-12407	Anthony Ferguson	Prescott Adderley	N/A	Anthony Ferguson	N/A
Deltec Bank & Trust Ltd.	1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Odetta Morton	sas@deltecbank.com	Deltec House, Lyford Cay	N-3229	Odetta Morton	Vacant	Vasilias Mavros; James Moss; Audra Dean; Richard Heathcote; William Godet; Atul Lele; Christopher Leonard; Vivienne Watts; Robert Turnquest	Marianne Tremblay; Vasilias Mavros; Atul Lele; Christopher Leonard; Vivienne Watts; Marcia Adderley; Giovanni Pirana; Zachary Lyons; Paul Stappard; Richard Beek	Stefano Pral; Atul Lele; Christopher Leonard; Vivienne Watts; Marcia Adderley; Robert Turnquest; Giovanni Pirana; Zachary Lyons; Paul Stappard; Patrick Gibson; Theresse Hudson
Deltec Investment Advisers Limited	1. Managing Securities 2. Advising on Securities	Odetta Morton (Pending approval)	sas@deltecbank.com	Deltec House, Lyford Cay	N-3229	Odetta Morton (Pending approval)	Vacant	N/A	Richard Beek; Marcia Adderley; Christopher Leonard; Vivienne Watts; Robert Turnquest	Vivienne Watts; Marcia Adderley; Christopher Leonard; Robert Turnquest; Theresse Hudson
Deltec Securites Ltd.	1. Dealing in Securities as Principal & Agent 2. Arranging Deals.	Odetta Morton (Pending approval)	sas@deltecbank.com	Deltec House, Lyford Cay	N-3229	Odetta Morton (Pending approval)	Vacant	Richard Heathcote; Audra Dean	N/A	N/A

Securities Industry Act, 2011



Registrants as at 30 June 2019

LICENSEE	CATEGORIES	CONTACT PERSON	EMAIL	ADDRESS	P.O. BOX	Registered Representatives				
						CEO	COMPLIANCE OFFICER	TRADING REP	ADVISING REP	MANAGING REP
Destek Global Limited	1. Dealing in Securities as Agent or Principal 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Anthony Ferguson	aferguson@cfal.com	1st Floor, Bay View House, East Bay Street	CB-12407	Anthony Ferguson	Prescott Adderley	Anthony Ferguson	Anthony Ferguson	Anthony Ferguson
Eclipse Asset Management Ltd.	1. Managing Securities 2. Advising on Securities	Dillon Dean	ddean@equitybahamas.com	Equity Trust House, Caves Village, West Bay Street	N-10697	Dillon Dean	Monalisa Hanna	N/A	Ivlyln Cassar	Ivlyln Cassar
EFG Bank & Trust (Bahamas) Ltd.	1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities	Juan Massens	juan.massens@efgbank.com; efgbahamas@efgbank.com	Goodman's Bay Corporate Centre, 3rd Floor, West Bay Street and Sea View Drive	CB 10956	Juan Massens	Maria Dorsett	Robert Scott Morrison; Neil Emery; Jorge Zeballos; Alain Newry; Peter Ceuleers; Andrea Fronzoni	Jorge Borlandelli; Peter Ceuleers; Neil Emery, Alain Torchon-Newry	N/A
Elco Securities Limited	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	E. Isaac Collie	isaac@elco-bank.com; info@elco-bank.com; elcobank@batelnet.bs	Loyalist Plaza, Don Mackey Boulevard, Marsh Harbour, Abaco	AB-20377	E. Isaac Collie	J. Derek Benjamin	David Hoang	Lawrence Collie	E. Isaac Collie
Equity Bank and Trust Bahamas Limited	1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities	Dillon Dean	ddean@equitybahamas.com; info@equitybahamas.com	Equity Trust House, Caves Village, West Bay Street	N-10697	Dillon Dean	Christopher Lunn	N/A	N/A	N/A
EuroBanco Bank Limited	1. Dealing in Securities as Agent	Natividad Esther Benitez	ebenitez@eurobancobankltd.com	Suite 5 Caves Professional Center, West Bay Street & Blake Road	N-1114	Natividad Esther Benitez	Ramiro Argonz	Natividad Esther Benitez	N/A	N/A
Exmer Partners Limited	1. Managing Securities	Ivan Hooper	drounce@winterbotham.com; ihooper@winterbotham.com	Winterbotham Place, Marlborough & Queen Streets	SP-62557	Ivan Hooper	David Rounce	N/A	N/A	Ivan Hooper

Securities Industry Act, 2011



Registrants as at 30 June 2019

LICENSEE	CATEGORIES	CONTACT PERSON	EMAIL	ADDRESS	P.O. BOX	Registered Representatives				
						CEO	COMPLIANCE OFFICER	TRADING REP	ADVISING REP	MANAGING REP
Extiber Ltd.	1. Managing Securities 2. Advising on Securities	Walter Christen	Nassau@extiber.com; wjc@extiber.com	212 Church St., Sandyport, West Bay Street	SP-62238	Walter Christen	Nathan Adderley	N/A	Alessandro Russo	Alessandro Russo
FAM Fund & Asset Management Ltd.	1. Managing Securities 2. Advising on Securities	Zakita Butler	contact@apms-ltd.com; z.butler@apms-ltd.com	Halisbury Commercial Centre, Suite #2, Village Road North	SS - 19689	Zakita Butler	Indira Ferguson	N/A	Zakita Butler	Zakita Butler
FC Capital Investments Ltd.	1. Managing Securities 2. Advising on Securities	Leo Betschart	leo@fccibahamas.com	Montague Sterling Centre, East Bay Street	SS-19027	Leo Betschart	Edison Neely	N/A	Leo Betschart; Tiffany Jones	Leo Betschart; Tiffany Jones
FG Capital Markets Limited	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Glen Ritchie	glen.ritchie@familyguardian.com; info@fgcapitalmarkets.com	#1 Village Road	SS-6232	Glen Ritchie	Bryinda Russell	Sherell Woodside-Conliffe; Kerah Farquharson	Sherell Woodside-Conliffe; Kerah Farquharson; G. Andre White	N/A
First Overseas Bank Limited	1. Dealing in Securities as Principal & Agent	Carlos Walton	cwalton@firstoverseasbank.com; info@firstoverseasbank.com; jshedden@firstoverseasbank.com	Office #2, Building #8, Caves Village Professional Centre, West Bay Street	CB-11903	Carlos Walton	Carlos Walton	Carlos Walton	N/A	N/A
FirstCaribbean International Bank (Bahamas) Limited	1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities	Marie Rodland-Allen	marie.rodland-allen@cibcfib.com	FirstCaribbean International Bank Financial Centre, 2nd Floor, Shirley Street	N-3221	Marie Rodland-Allen	Randy Taylor	Raymond Donaldson; Gina Mackenzie; Sean Blyden; Brent Haines; Carlyle Bethel	Raymond Donaldson; Brent Haines; Carlyle Bethel	Gina Mackenzie
Fitpart Fund Administration Services Ltd.	1. Managing Securities 2. Advising on Securities	Fernando Prado	fernando@fitpart.com.br; bethell@fitpart.bs	Bahamas Financial Centre, 4th floor, Shirley & Charlotte Streets	CB-13515	Fernando Prado	Indira Ferguson	N/A	Fernando Prado	Fernando Prado
FK Capital Management Ltd.	1. Managing Securities 2. Advising on Securities	Jorge Finkler Braverman	efinkler@fkcapitalmanagement.com; contact@caystonesolutions.com	Lyford Financial Centre #2, Lyford Cay	SP-64283	Jorge Finkler Braverman	Indira Ferguson	N/A	Jorge Finkler Braverman; Eduardo Finkler Braverman	N/A
FxPro Global Markets Ltd.	1. Dealing in Securities as Principal & Agent	Charalambos Psimolophitis	cp@fxpro.com	Lyford Financial Center; Western Road	N-7776	Charalambos Psimolophitis	Cassandra Johnson	Charalambos Psimolophitis	N/A	N/A

Securities Industry Act, 2011



Registrants as at 30 June 2019

LICENSEE	CATEGORIES	CONTACT PERSON	EMAIL	ADDRESS	P.O. BOX	Registered Representatives				
						CEO	COMPLIANCE OFFICER	TRADING REP	ADVISING REP	MANAGING REP
Gabarit International Ltd.	1. Managing Securities 2. Advising on Securities	Jean-Pierre Ribes	jeanpierre@ribes.ch	Caprice 5 West Bay Street	AP-59223 Slot # 623	Jean-Pierre Ribes	Endric Deleveaux	N/A	Jean-Pierre Ribes	Jean-Pierre Ribes
GEM Global Equities Management S.A.	1. Managing Securities 2. Advising on Securities	Anthony Inder Rieden	ceo@euro-dutch.com	Templeton Building, West Bay Street	N-9204	Anthony Inder Rieden	Eric Strachan	N/A	Anthony Inder Rieden	Anthony Inder Rieden
Gems Management Limited	1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Cedric Carroll	cedric.carroll@gemsmanagement.com	Harbour Bay Shopping Plaza, East Bay Street	CB-12809	Cedric Carroll	Indira Ferguson	Cedric Carroll	Cedric Carroll	Cedric Carroll
Global Advisors Partners Ltd.	1. Managing Securities 2. Advising on Securities	Alexandre Vancoff	alex@globalnassau.com	3rd Floor Coin of the Realm Building Charlotte Street	N-9471	Alexandre Vancoff	Edgar Seligman	N/A	Ivano Alliata	Alexandre Vancoff, Ivano Alliata
Global Private Portfolio Management Ltd.	1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities	Henry Anthony Podlewski	gppm@batelnet.bs; henioGPPM@coralwave.com	Suite 232, 2nd Floor, Island Lane Building, Olde Towne, Sandypport	N-4487	Henry Anthony Podlewski	Nathan Adderley	N/A	N/A	N/A
GMP Securities Emerging Markets Corp.	1. Arranging Deals. 2. Advising on Securities	Gene Caldwell McBurney	genem@gmpsecurities.com; dobrien@dss360solutions.com	One Marina Drive, Suite 300, Paradise Island, Nassau, Bahamas	CR-56766	Gene Caldwell McBurney	Denise O'Brien	N/A	Gene Caldwell McBurney	N/A
Goldensheikh Overseas Limited	1. Advising on Securities	Riccardo Sigon	gsoslimited@gmail.com	202 Church Street, Nassau	N-3205	Riccardo Sigon	Latonia Symonette-Tinker	N/A	Riccardo Sigon	N/A
Gonet Bank & Trust Limited	1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities	Jean-Marc Fellay	jmfellay@bankgonet.com	Offices at Old Fort Bay, West Bay St.	SP-61302	Jean-Marc Fellay	Iyandra Patricia Bryan	Kevin Price; Ingrid Taylor; James French; Patrick Feuz; Valentin Seville	Ingrid Taylor; Guilherme Santini; Patrick Feuz; Valentin Seville	James French; Ingrid Taylor; Kevin Price; Patrick Feuz; Valentin Seville

Securities Industry Act, 2011



Registrants as at 30 June 2019

LICENSEE	CATEGORIES	CONTACT PERSON	EMAIL	ADDRESS	P.O. BOX	Registered Representatives				
						CEO	COMPLIANCE OFFICER	TRADING REP	ADVISING REP	MANAGING REP
GQ Capital Markets Limited	1. Dealing in Securities as Principal & Agent 2. Arranging Deals.	Hubert Edwards	hubert.edwards@gqfx.com; compliance@gqfx.com	208 Church Street, Sandyport. Nassau, Bahamas	SP-64195	Hubert Edwards	Duhiza Taylease S. Smith	Keith Christopher Kirksey	N/A	N/A
Green Cay Advisory Ltd.	1. Managing Securities 2. Advising on Securities	Jane Siebels	js@greencay.com.bs	Lyford Cay Drive, Lyford Cay, Nassau	N-7776	Jane Siebels	Vacant	N/A	Jane Siebels	Jane Siebels
Holdun Family Office (Bahamas) Limited (formerly Holdun Investment Partners Inc.)	1. Managing Securities	Brendan Dunn	bdunn@holdun.com	Albany Financial Center Suite 303	SP-63158	Brendan Dunn	Kristy Kemp	N/A	N/A	Brendan Dunn
Holowesko Advisors Ltd.	1. Managing Securities 2. Advising on Securities	Mark Holowesko	mholowesko@holoweskopartners.com; compliance@holoweskopartners.com	Shipston House, West Bay Street, Lyford Cay	N-7776(78)	Mark Holowesko	Karen Zyp	N/A	Mark Holowesko, Richard Farrington, Gregory Cleare	Mark Holowesko, Richard Farrington, Gregory Cleare
Holowesko Partners Ltd.	1. Managing Securities 2. Advising on Securities	Mark Holowesko	mholowesko@holoweskopartners.com; ereynolds@holoweskopartners.com; compliance@holoweskopartners.com	Shipston House, West Bay Street, Lyford Cay	N-7776(78)	Mark Holowesko	Karen Zyp	N/A	Mark Holowesko, Richard Farrington, Gregory Cleare	Mark Holowesko, Richard Farrington, Gregory Cleare
Huber Management Ltd.	1. Managing Securities 2. Advising on Securities	Bernard Huber	bh@huberint.com	1st Floor ,Charlotte House, Shirley & Charlotte Streets	N-529	Bernard Huber	Richard Coulson	N/A	Bernard Huber, Juan Zatarain	Bernard Huber, Juan Zatarain
Inteligo Group Corp. Ltd.	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Bruno Ferreccio Del Rio	bferreccio@inteligogroup.com; srodriguez@inteligogroup.com	1st Floor, Seventeen Shop Building, Fourth Terrace, Collins Avenue, Nassau, Bahamas	N-3732	Bruno Ferreccio Del Rio	Silka Yaneth Rodriguez Mendez	Bruno Ferreccio Del Rio	Bruno Ferreccio Del Rio	Bruno Ferreccio Del Rio
Investar Securities Ltd.	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Ansel Watson	awatson@ivstar.com	443 East Bay Street	SS-19086	Ansel Watson	Omar Sands	Ansel Watson	Ansel Watson	Ansel Watson
Itau International Securities Inc.	1. Dealing in Securities as Agent 2. Arranging Deals	Gustavo Abrunhosa	gustavo.abrunhosa@itauinternational.com	31B, Annex Building, 2nd Floor, East Bay Street	N-3930	Gustavo Abrunhosa	Sara Catalina Gaitan	Gustavo Abrunhosa, Marcelo Aagesan, Gilmar De Oliveira, Carlos Fernandes, Alberto Tahí	N/A	N/A

Securities Industry Act, 2011



Registrants as at 30 June 2019

LICENSEE	CATEGORIES	CONTACT PERSON	EMAIL	ADDRESS	P.O. BOX	Registered Representatives				
						CEO	COMPLIANCE OFFICER	TRADING REP	ADVISING REP	MANAGING REP
IX Capital Group Limited (formerly Infinox Capital (Bahamas) Limited)	1. Dealing in Securities as Agent or Principal 2. Arranging Deals 3. Managing Securities	Anthony Stubbs	anthony.stubbs@ixcg.bs	109 Church Street, Sandyport, Marina Village	SP-62756	Anthony Stubbs	Italia Cartwright	Mun Low	N/A	Fei Wang
J. Safra Sarasin Asset Management (Bahamas) Ltd.	1. Managing Securities 2. Advising on Securities	Daniel Kamkahji	daniel.kamkhaji@jsafrasarasin.com	204 Church Street, Old Towne, Sandyport	CB-10988	Daniel Kamkahji	Bernard Young	N/A	Daniel Kamkahji	Daniel Kamkahji
Jefferson Capital Limited	1. Managing Securities 2. Advising on Securities	Ali Bilgrami	a.bilgrami@jeffersongroup.com; corporate@genesisservices.com	5th Floor 308 East Bay Street	N-9058	Ali Bilgrami	Shonalee Munroe	N/A	N/A	N/A
Julius Baer Bank (Bahamas) Limited formerly (Julius Baer Bank & Trust (Bahamas) Limited)	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Peter Wirth	peter.wirth@juliusbaer.com	Ocean Centre, Montague Foreshore	N-4890	Peter Wirth	Rochelle Rolle	Aneka Rolle; Melan Georges; Orazio De Filippis; Latoya McPhee-Paul; Sharon LaFleur; Anna Zwyiolek; Federico Riege; Leda Curry; Khalila Duncombe; Maria Darville; Shelley Ward; Eronjha McIntosh; Ranel Hanna; Karina Ginton; Moses Darville; Gregory Metrailler	Aneka Rolle; Orazio De Filippis; Latoya McPhee-Paul; Sharon LaFleur; Anna Zwyiolek; Federico Riege; Khalila Duncombe; Shelley Ward; Gregory Metrailler	Aneka Rolle; Melan Georges; Gregory Metrailler
Kahu Capital Partners Limited	1. Managing Securities 2. Advising on Securities	Alexander Zivic	azivic@kahucp.com	Albany Financial Centre		Alexander Zivic	Indira Ferguson	Alexander Zivic	Alexander Zivic	Alexander Zivic
KP Investment Advisors Ltd.	1. Managing Securities 2. Advising on Securities	Zakiya Butler	zb@famfund-ltd.com; contact@apms-ltd.com	Halisbury Commercial Centre, Suite #2, Village Road North	SS-19689	Zakiya Butler	Indira Ferguson	N/A	Zakiya Butler	Zakiya Butler/Pierre Monnard

Securities Industry Act, 2011



Registrants as at 30 June 2019

LICENSEE	CATEGORIES	CONTACT PERSON	EMAIL	ADDRESS	P.O. BOX	Registered Representatives				
						CEO	COMPLIANCE OFFICER	TRADING REP	ADVISING REP	MANAGING REP
LCG Markets Limited (formerly London Capital Group (Bahamas) Limited)	1. Dealing in Securities as Principal & Agent 2. Arranging Deals	Sean Munnings	sean.munnings@lcg.com	Shirley Street & Victoria Avenue	N-272	Sean Munnings	Philip Dorsett	Georgios Stylianou	N/A	N/A
Leighton Global Advisors Ltd.	1. Managing Securities 2. Advising on Securities	Miguel Sulichin	miguel.sulichin@advisewm.com	Winterbotham Place, Marlborough & Queen Streets	N-3026	Miguel Sulichin	David Rounce	N/A	Miguel Sulichin	Miguel Sulichin
Leno Corporate Services Limited	1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Sean Longley	info@lenobahamas.com; slongley@lenocorporate.com	2nd Floor Pineapple Place, Bernard Road	N-8339	Sean Longley	Julian Bostwick	Tricetta Small	Tricetta Small; Khalil Braithwaite	N/A
Lighthouse Asset Management Ltd.	1. Managing Securities 2. Advising on Securities	Riccardo Romani	rr@lighthouse-am.com	Offices at Old Fort Bay, Building 4 Suite 303, Western Road, Lyford Cay	N-7776	Riccardo Romani	Calvin Rolle	N/A	Riccardo Romani/Osborne Lockhart/Rosella Dack	Riccardo Romani/Osborne Lockhart/Rosella Dack
LOM Financial (Bahamas) Limited formerly (LOM Stockbrokers International Ltd.)	1. Dealing in Securities as Agent 2. Advising on Securities	Craig Lines	craig.lines@lom.com	Building 4 Caves Village, West Bay Street	AB-12762	Craig Lines	Cheryl Watts	N/A	Semoy Scully/Kevin Murphy	N/A
Lombard Odier & Cie (Bahamas) Limited	1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Renaud Vielfaure	r.vielfaure@lombardodier.com	Goodman's Bay Corporate Centre, West Bay Street & Seaview Drive	N-4938	Renaud Vielfaure	Natasha Dean	Alejandro Catala	Renaud Vielfaure; Alejandro Catala; Barbara Buchert; Claudio Godenzi; Joanne Pyfrom; Maurice Chiacchiarri; Roberto Berbey	Renaud Vielfaure; Alejandro Catala; Barbara Buchert; Claudio Godenzi; Joanne Pyfrom; Maurice Chiacchiarri; Roberto Berbey
LT Green Capital Investment Limited	1. Managing Securities 2. Advising on Securities	Edson Ito	edsonito@hotmail.com	3rd Floor Bayview House, 308 East Bay Street	CB-12407	Edson Ito	Indira Ferguson	N/A	Edson Ito	Edson Ito

Securities Industry Act, 2011



Registrants as at 30 June 2019

LICENSEE	CATEGORIES	CONTACT PERSON	EMAIL	ADDRESS	P.O. BOX	Registered Representatives				
						CEO	COMPLIANCE OFFICER	TRADING REP	ADVISING REP	MANAGING REP
Lydda Capital Ltd.	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Anthony Ferguson	aferguson@lyddacap.com; info@lyddacap.com	3rd Floor Bayview House, #308 East Bay Street	CB-12407	Anthony Ferguson	Precott Adderley	Anthony Ferguson	Anthony Ferguson	Anthony Ferguson
Lyford International Bank Ltd (formerly Lyford International Bank & Trust Ltd)	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Chandra Camille Ferguson	compliance@lyfordbank.bs; chandra.ferguson@lyfordbank.bs	Lyford Manor, West Bay Street	CB-13012	Chandra Camille Ferguson	Application Pending	Devaughn Edgecombe	N/A	N/A
Macro Bank Limited	1. Dealing in Securities as Agent 2. Arranging Deals	Rosina Simeto	rsimeto@macrobankltd.com	Building 8 Office 1, Caves Village, West Bay Street	N-4444	Rosina Simeto	Stella Giani	Rosina Simeto	N/A	N/A
Magellan Securities Limited	1. Managing Securities 2. Advising on Securities	Robert Davidowski	bdavidowski@mfl.bs	309 West Bay Street, Goodman's Bay Corporate Centre	CB-13366	Robert Davidowski	Nathan Adderley	Meredith Miller	Robert Davidowski/Ian Towell	Robert Davidowski
Magnum Global Advisors Ltd.	1. Managing Securities	Christian Coquoz	cc@magnum-ltd.com; contact@apms-ltd.com	APMS House, #8 Pineapple Grove, Old Fort Bay, Western Road, Nassau, Bahamas	SS-19689	Christian Coquoz	Indira Ferguson	N/A	N/A	Christian Coquoz
Mint Capital Advisors Ltd.	1. Managing Securities	Eric Strachan	Eric@mint-advisors.com	Templeton Building, West Bay Street	N-9204	Eric Strachan	Neil Major	N/A	N/A	Eric Strachan
MMG Bank & Trust Ltd.	1. Dealing in Securities as Agent 2. Managing Securities 3. Advising on Securities	Jorge Morgan	jorge.morgan@mmgbank.com; bahamas.team@mmgbank.com; laverne.thompson@mmgbank.com	Suite 102, 1st Floor, Saffrey Square, Bay Street & Bank Lane	N-4889	Jorge Morgan	Kaylisa Adderley	Laverne Thompson	Laverne Thompson	Laverne Thompson
Mont Blanc Asset Management Ltd.	1. Managing Securities 2. Advising on Securities	Claudio Schreier	cshreier@montblanc.com.bs; info@cfal.com	3rd Floor Bayview House, #308 East Bay Street	CB-12407	Claudio Schreier	Indira Ferguson	N/A	Anthony Ferguson	Anthony Ferguson
Morgan and Drake Ltd.	1. Managing Securities 2. Advising on Securities	Nicholas Wright	nw@morganandrake.com	3rd Floor Bayview House, #308 East Bay Street	CB-12407	Nicholas Wright	Cassandra Johnson	N/A	N/A	N/A

Securities Industry Act, 2011



Registrants as at 30 June 2019

LICENSEE	CATEGORIES	CONTACT PERSON	EMAIL	ADDRESS	P.O. BOX	Registered Representatives				
						CEO	COMPLIANCE OFFICER	TRADING REP	ADVISING REP	MANAGING REP
Nordica Investment Management Limited	1. Advising on Securities	Danie Pertti Hedkrok	pertti@nordicamanagement.com; info@nordicamanagement.com	Suite 205A Saffrey Square, Bay Street & Bank Lane	N-9934	Danie Pertti Hedkrok	Anna Hedkrok	N/A	N/A	N/A
Octogone Fund Management Limited	1. Managing Securities 2. Advising on Securities	Alain Kunz	afk@octogone.com.bs	No. 3 Offices Old Fort Bay, Western Rd.	SP-63157	Alain Kunz	Cindy Thompson	N/A	Alain Kunz; George Pericles Maillis	Alain Kunz; George Pericles Maillis
Old Fort Financial	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Shameka Fernander	shameka.fernander@oldfortfinancial.com; laterio.culmer@oldfortfinancial.com	Offices at Old Fort Bay Building #4, Western Road	SP-63771	Shameka Fernander	Laterio Culmer	Shameka Fernander	Robert Jensen	Robert Jensen
Oracle Capital Advisors Ltd.	1. Dealing in Securities as Agent 2. Managing Securities 3. Advising on Securities	Oleg Nikityuk	mbain@sterling-bahamas.com; oleg.n@orcap-group.com	Suite 205A Saffrey Square, Bank Lane and Bay Street	N-9934	Oleg Nikityuk	Michelle Bain	Oleg Nikityuk	Oleg Nikityuk	Oleg Nikityuk
Pacifico Global Advisors Ltd.	1. Dealing in Securities as Principal or Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Arturo Klein	ak@pacifico-ltd.com; nb@pacifico-ltd.com	1 Pineapple House, Old Fort Bay, Western Road, Nassau, Bahamas	SS-19371	Arturo Klein	Vanasha Shearer-Butler	Lockley Virgil Knowles II	Lockley Virgil Knowles II	Arturo Klein; Lockley Virgil Knowles II
Pebble Global Advisors Ltd.	1. Managing Securities	Pierre Moncheur de Rieudotte	contact@apms-ltd.com; pebble@pebble-ltd.com	APMS House, #8 Pineapple Grove, Old Fort Bay, Western Road, Nassau, Bahamas	SS-19689	Pierre Moncheur de Rieudotte	Indira Ferguson	N/A	N/A	Pierre Moncheur de Rieudotte
Phoenix Capital Ltd.	1. Managing Securities 2. Advising on Securities	Luca Carlo Pasquale Lanciano	luca@phoenix.bs	212 Church Street, Old Towne Sandyport	SP-64377	Luca Carlo Pasquale Lanciano	Aruna Rodgers	N/A	Luca Carlo Pasquale Lanciano	Luca Carlo Pasquale Lanciano

Securities Industry Act, 2011



Registrants as at 30 June 2019

LICENSEE	CATEGORIES	CONTACT PERSON	EMAIL	ADDRESS	P.O. BOX	Registered Representatives				
						CEO	COMPLIANCE OFFICER	TRADING REP	ADVISING REP	MANAGING REP
Pictet Bank & Trust Limited	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Alberto Valenzuela	avalenzuela@pictet.com; jmezulanik@pictet.com	Bayside Executive Park, Building 1, West Bay Street & Blake Road	N-4837	Alberto Valenzuela	Janique Duvalier	Tamica Rolle; Donna Storr; Miriam Scott	Monica Millers; Jan Mezulanik; David Diaz; Jeremy Stuby; Isabelle Fiaux; Jose Suarez; Karol Czaratoryzki; Carlos De La Torre; Manuel Garcia; Jose Antonio Gago; Fernando Luperi Guerra	David Diaz
Privatam Corp.	1. Advising on Securities	Arthur Bauch	a.bauch@privatam.com; bahamas@privatam.com	Suite 106 Island Lane Building, Old Towne Sandypport, Nassau, Bahamas	N-7776	Arthur Bauch	Cassandra Johnson	N/A	Arthur Bauch Massimo Passamonti	N/A
Private Investment Bank Limited	1. Dealing in Securities as Agent 2. Managing Securities 3. Advising on Securities	Valerio Zanchi	valerio.zanchi@pib.bs; pibbank@pib.bs; pibl.general-management@pib.bs	Devonshire House, Queen Street	N-3918	Valerio Zanchi	Christine Archer	Claudio Robertson; Kevin Fernandez; Michael Sands; Benjamin Pinder	Claudio Robertson; Kevin Fernandez;	Claudio Robertson
Providence Advisors Limited	1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities	Kenwood Kerr	kenwood.kerr@providenceadvisors.net	1st Floor, Goodman's Bay Corporate Centre	AP-59223-409	Kenwood Kerr	Denise O'Brien	N/A	N/A	Kenwood Kerr; Carrol Burrows
Q I Advisors	1. Managing Securities 2. Advising on Securities	Heather Bellot-Hazarian	hbh@ccpl.capital	105 Church Street, Sandypport, Nassau, Bahamas	SP-63035	Heather Bellot-Hazarian	Kristy Kemp	Heather Bellot-Hazarian	Heather Bellot-Hazarian	Heather Bellot-Hazarian

Securities Industry Act, 2011



Registrants as at 30 June 2019

LICENSEE	CATEGORIES	CONTACT PERSON	EMAIL	ADDRESS	P.O. BOX	Registered Representatives				
						CEO	COMPLIANCE OFFICER	TRADING REP	ADVISING REP	MANAGING REP
RBC Dominion Securities (Global) Limited	1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities	Andrew McCartney	mario.smith@rbc.com;sophia.mckenzie@rbc.com;andrew.mccartney@rbc.com	Suite 201, Albany Financial Center, South Ocean Boulevard	N-3234	Andrew McCartney	Mario Smith	John Rodney Bond; Francisco Goncalves; Chelsey Walcott	John Rodney Bond; Carol Denis Newbold; Sophia Eloise McKenzie; Francisco Goncalves	Francisco Goncalves
RIA Company Ltd.	1. Managing Securities	Alejandro Luis Barroetavena	baroetavena@riacoltd.com; acharles@winterbotham.com	Winterbotham Place, Malborough & Queen Streets	N-3026	Alejandro Luis Barroetavena	Anja Marie Charles	N/A	N/A	Alejandro Luis Barroetavena
Royal Fidelity Merchant Bank & Trust Limited	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Michael Anderson	michael.anderson@royalfidelity.com; RFMBTRegulator@royalfidelity.com	Fidelity Financial Centre, 51 Frederick Street	N-4853	Michael Anderson	Theresa Felicia Ginton	Belinda Payne; Janeen Denise Bethel; Quentin Euriel Gibson	Paulette Lozaïque; Tishrea Grey; Candace Forbes; Janeen Denise Bethel; Quentin Euriel Gibson	Cleora Fraquharson
RQSI Limited	1. Managing Securities 2. Advising on Securities	Neil Patrick Ramsey	nramsey@rqi.com; corporate@genesisservices.com	5th Floor, 308 East Bay Street	N-9058	Neil Patrick Ramsey	Application Pending	N/A	N/A	N/A
Scotiabank (Bahamas) Limited	1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities	Roger Archer	roger.archer@scotiabank.com; schell.stubbs@scotiawealth.com	Rawson Square, Bay Street, Nassau, Bahamas	N-7518	Roger Archer	Schell Stubbs	Deno Moss; Janae Francis-Ingraham	Deno Moss; Lisa Cherisse Taylor	Deno Moss
Seacapital Ltd.	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Vacant	cesar@seacapitalinvestments.com	Compass Point Suite #2	CB-13027	Vacant	Francina Horton	Cesar Dominguez; Carlos Almandoz	Cesar Dominguez	Cesar Dominguez
Sinclair Asset Management Ltd.	1. Managing Securities 2. Advising on Securities	Jean-Marc Wagner	jmw@sinclairam.com; iferguson@caystonesolutions.com; jj@sinclairam.com	207 Church Street, Sandyport. Nassau, Bahamas	N/A	Jean-Marc Wagner	Indira Ferguson	N/A	Jean-Marc Wagner; Joel Johnson	Jean-Marc Wagner; Joel Johnson
SIS Solutions Ltd. (formerly Swiss Investment Solutions (SIS) Ltd.)	1. Managing Securities	Keva McPhee	keva.mcphee@sis-solutions-ltd.com	Devonshire House, Queen Street	SP-64111	Keva McPhee	Shacara Wells	N/A	N/A	Keva McPhee
Sixteen Securities Inc.	1. Dealing as Agent 2. Arranging Deals	Andrew Rolle	andrewcrolle@gmail.com; compliance@sixteensecurities.com	208 Church Street, Sandyport, Nassau, Bahamas	EE-17544	Andrew Rolle	Katie Roberts	Yuanyuan Gho	N/A	N/A

Securities Industry Act, 2011



Registrants as at 30 June 2019

LICENSEE	CATEGORIES	CONTACT PERSON	EMAIL	ADDRESS	P.O. BOX	Registered Representatives				
						CEO	COMPLIANCE OFFICER	TRADING REP	ADVISING REP	MANAGING REP
St. Matthew Capital Ltd.	1. Managing Securities 2. Advising on Securities	Antoine Bastian	abastian@scml.com/ aferguson@smcl.com	3rd Floor Bayview House, #308 East Bay Street	CB-12407	Antoine Bastian	Prescott Adderley	N/A	Anthony Ferguson	Anthony Ferguson
Sterling Financial Group Inc.	1. Managing Securities 2. Advising on Securities	David Kosoy	dk@sterlingglobaltd.com; info@sterlingglobaltd.com	81 East Bay Street, Nassau, Bahamas	N-1812	David Kosoy	Sunita Bonamy	David Kosoy; Stephen Tiller	David Kosoy; Stephen Tiller; Tangela Russell	David Kosoy; Stephen Tiller
Stone Tower Management Ltd.	1. Managing Securities	Olivier Chaponnier	sasa@leadingservices.net; stonetower@leadingservices.net	2nd Terrace West, Centreville	N-7755	Olivier Chaponnier	Indira Ferguson	N/A	N/A	Olivier Chaponnier
Swan Capital Ltd.	1. Managing Securities	Jorge Isaac Moreira Barrow	rb@swanap.net	Old Fort Bay Town Centre Unit 7, Building 2	SS-6333	Jorge Isaac Moreira Barrow	Rosemary Barrett	N/A	N/A	Tony Miller; Leah Treco
Swiss America Securities, Ltd.	1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities	Guy Gentile	guy@suretrader.com	Suite # 17, Elizabeth on Bay Plaza, Elizabeth Ave. & Bay Street	N-8340	Guy Gentile	Edward Cooper	Drameko Moore	N/A	N/A
Swiss Atlantic S.A.	1. Managing Securities 2. Advising on Securities	Olivier Chaponnier	sasa@leadingservices.net	2nd Terrace West, Centreville	N-10567	Olivier Chaponnier	Indira Ferguson	N/A	Olivier Chaponnier	Olivier Chaponnier; Leo Huber
Syz Bank (Bahamas) Ltd	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Daniel-Marc Brunner	daniel-marc.brunner@syzbank.com	Old Fort Bay Town Centre, Building 2, Windsor Field Road	N-1089	Daniel-Marc Brunner	Venetia Ruth Dekle- Maura	Daniel-Marc Brunner; Keitra Pratt; Werner Gruner	Frank Negri; Werner Gruner; Keitra Pratt; Daniel- Marc Brunner	Keitra Pratt
Templeton Global Advisors Limited	1. Managing Securities 2. Advising on Securities	Norman Boersma	norm.boersma@franklintempleton.com; peter.palleija@franklin.templeton.com	Templeton House, Lyford Cay, Nassau, Bahamas	N-7759	Norman Boersma	Peter Palleija	N/A	Norman Boersma; Heather Arnold; Peter Manfred Moeschter	Norman Boersma; James Harper; Heather Arnold; Herbert Arnett Jr.; Christopher Peel; Edgerton Scott II

Securities Industry Act, 2011



Registrants as at 30 June 2019

LICENSEE	CATEGORIES	CONTACT PERSON	EMAIL	ADDRESS	P.O. BOX	Registered Representatives				
						CEO	COMPLIANCE OFFICER	TRADING REP	ADVISING REP	MANAGING REP
The Bank of Nova Scotia Trust Company (Bahamas) Ltd.	1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities	Mario Causarano	mario.causarano@scotiawealth.com; glenette.reckley@scotiawealth.com	Scotia House, 404 East Bay Street	N-3016	Mario Causarano	Glenette Reckley	Jillian Dames; Gregory Walker; Rupina Knowles	Jillian Dames; Gregory Walker	Jillian Dames; Gregory Walker
The Private Trust Corporation Limited	1. Dealing in Securities as Agent 2. Arranging Deals	Adrian Crosbie-Jones	info@privatetrustco.com; acj@privatetrustco.com	2nd Floor, Charlotte House, Shirley & Charlotte Streets	N-65	Adrian Crosbie-Jones	Shasta Treco-Moxey	Charlene Storr; Bruno Roberts	N/A	N/A
The Street Trader Limited	1. Dealing in Securities as Agent	Vacant	hubleymark@hotmail.com	The Plaza On The Way, West Bay Street	EE-17971	Vacant	Edward Cooper	N/A	N/A	N/A
The Winterbotham Trust Company Ltd.	1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Ivan Hooper	ihooper@winterbotham.com	Winterbotham Place, Marlborough & Queen Streets	N-3026	Ivan Hooper	David Rounce	Christopher Hooper; Ivan Hooper; Jessica Thornley-Mitchell; Tevin Bannister; Andrea Quant	Jessica Thornley-Mitchell	David Thain
TigerWit Limited (formerly TigerWit Financial Services Limited).	1. Dealing in Securities as Principal or Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Darell Taylor	darell.taylor@tigerwit.com; compliance@tigerwit.com	Sea Sky Lane, Sandyport, Nassau, Bahamas	SP-64368	Darell Taylor	Tina Ginton	Andrew Rolle; James Manczak	Andrew Rolle; James Manczak	James Mnczak
Touchstone Advisory Ltd. (formerly deVere Bahamas Inc.)	1. Advising on Securities	Adrian Flambard	edeleveaux@summitcorpbahamas.com	Unit 1-5 Church Street, Sandy Port Marina Village	N-492	Adrian Flambard	Endric Deleveaux	N/A	Adrian Flambard	N/A
TradeZero Inc.	1. Dealing in Securities as Agent	Antonio Liberos	alibreros@tradezero.com; tz@tradezero.com	402-Building #2 Ocean Place West Bay Street, Cable Beach Nassau, Bahamas	SP-62904	Antonio Liberos	L Sydney Saunders	Antonio Liberos; Tonielle Brancaccio; Ray Briggs	N/A	N/A

Securities Industry Act, 2011



Registrants as at 30 June 2019

LICENSEE	CATEGORIES	CONTACT PERSON	EMAIL	ADDRESS	P.O. BOX	Registered Representatives				
						CEO	COMPLIANCE OFFICER	TRADING REP	ADVISING REP	MANAGING REP
UCAP Bahamas Limited	1. Managing Securities 2. Advising on Securities	Clement Ducasse	clement.ducasse@capitalunionbank.com; accounts@ucapbh.com	CUB Financial Center, Lyford Cay	N/A	Clement Ducasse	Indira Ferguson	N/A	Clement Ducasse	Clement Ducasse
Union Bancaire Privee, UBP SA	1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Andrea del Bubba	adb@ubp.ch; aqa@ubp.ch	5th Floor Lyford Cay House, Western Road, Lyford Cay	N-7529	Andrea del Bubba	Astrid Wilson	Brenda Powell; Davawn Turner; Van-Dyke Richard Saunders; Kyosen McPhee-Young	Brenda Powell	Van-Dyke Richard Saunders
Vauban Asset Management Limited	1. Managing Securities 2. Advising on Securities	Hubert Francois-Poncet	hfp@vam.business; Vauban@coralwave.com; JamesVAM@coralwave.com; KishnaVAM@coralwave.com	Suite 232 2nd Floor, Lagoon Court Building, The Olde Towne at Sandypport, West Bay Street	SP-61708	Hubert Francois-Poncet	Nathan Adderley	Michael Slack; Elsworth Moss	Hubert Francois-Poncet, Michael Slack, Elsworth Moss	Hubert Francois-Poncet, Michael Slack, Elsworth Moss
Vukota Capital Management Limited	1. Managing Securities 2. Advising on Securities	Tom Vokota	cwalker@vukotacapital.com; tvukota@vukotacapital.com	Pineapple Grove Building 3, Old Fort Bay, Western Road, Nassau, Bahamas	AP-59223/285	Tom Vokota	Nathan Adderley	N/A	Tom Vokota	Tom Vokota; Gina Cozza
Weiser Asset Management Ltd.	1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities	Serge Lacroix	info@weiser.com.bs; serge.lacroix@weiser.com.bs	Offices at Old Fort Bay Building #9, Pineapple Place Lyford Cay	AP-59223 Slot 501	Serge Lacroix	Shelby Brice	Courtney Filipenko; Rahul Kirpalani	N/A	N/A
Wells Capital Management Incorporated	1. Managing Securities 2. Advising on Securities	Kirk Hartman	kirt.hartman@wellsfargo.com; kerri.singer@wellsfargo.com; christine.donahue@wellsfargo.com	Lyford Manor, Western Road	N-7776	Kirk Hartman	Christine Donahue	N/A	Dale Winner	Dale Winner
Wincrest Capital Ltd.	1. Arranging Deals. 2. Managing Securities 3. Advising on Securities	Barbara Ann Bernard	bb@wincrest.capital; ca@wincrest.capital	3rd Floor, CUB Financial Center, Lyford Cay	N-7776	Barbara Ann Bernard	Indira Ferguson	N/A	Barbara Ann Bernard	Barbara Ann Bernard
Windermere Corporate Management Limited	1. Managing Securities	John Lawrence	john@windermerecm.com	New Providence Financial Centre, East Bay Street	N-7797, Suite A-084	John Lawrence	Millicent Clarke	N/A	N/A	N/A
WMCG Ltd.	1. Managing Securities	Charles de la Baume	charles@wmcg-ltd.com	Halisbury Commercial Centre, Suite #2, Village Road North	SS-19689	Charles de la Baume	Tamara Bain	N/A	N/A	Charles de la Baume

Securities Industry Act, 2011



Registrants as at 30 June 2019

LICENSEE	CATEGORIES	CONTACT PERSON	EMAIL	ADDRESS	P.O. BOX	Registered Representatives				
						CEO	COMPLIANCE OFFICER	TRADING REP	ADVISING REP	MANAGING REP
XL Partners Ltd.	1. Managing Securities 2. Advising on Securities	Mitsuo Alves	mitsuoalves@xlpartnersltd.net; dobrien@dss360solutions.com	207 Church Street, Sandyport. Nassau, Bahamas	N/A	Mitsuo Alves	Denise O'Brien	N/A	Mitsuo Alves	Mitsuo Alves