**Securities Industry Act, 2024**

**Registrants as at 31 October 2026**

| LICENSEE | CATEGORIES | ADDRESS | P.O. BOX | Registered Representatives | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP | CFD SUPERVISORY OFFICER |
| A.S.P.I Bahamas Ltd. | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | Ground Floor Ocean Centre, East Bay Street | SP-61913 | Carole Sassoon | Magnal Elaine Thompson | N/A | N/A | N/A | |
| Abaco Global Advisors Ltd. | 1. Managing Capital Market Instruments | 3B One Sandyport Plaza<br>West Bay Street | SP-64168 | Oliver Notz | Michelle Knowles-Doura | N/A | N/A | Oliver Notz | |
| Acetop Global Markets Limited | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments and trading CFD's | Unit 9, North Buckner Square, Sandyport<br>Nassau, Bahamas | N/A | Fareda Sands | Tamara Bain | Mark Gemma | N/A | N/A | |
| ActivTrades Corp. | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments and trading CFD's | 209/210 Church Street, Sandyport Plaza,<br>Nassau, Bahamas | SP-64388 | Alessandro Giuseppe Gho | Clesha Morley | Andrea Draghi | N/A | N/A | Alessandro Gho |
| Air Capital Partners (Bahamas) Limited | 1. Dealing in Capital Market Instruments as Agent<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | G.K. Symonette Building,<br>Shirley Street,<br>Nassau, Bahamas | | Dale Winner | Phillisia Beneby-Williams | Soroosh Shambayati | Soroosh Shambayati | Soroosh Shambayati | |
| Akelius Invest Ltd. | 1. Managing Capital Market Instruments | Lyford Manor, Western Road,<br>Nassau, Bahamas | AP-59223 | Demetrius Syllouris | Sandra Gilbert | N/A | N/A | Demetrius Syllouris | |
| Alliance Investment Management Ltd. | 1. Dealing in Capital Markets Instruments as Agent<br>2. Arranging Deals in Capital Market Instruments<br>3. Advising on Capital Market Instruments | Carmichael Commercial Centre,<br>2nd Floor Suite 201,<br>Carmichael Road | SS-19051 | Julian Brown | Mioshe Chen Bascom | Julian Brown;<br>Nolan Johnson | Julian Brown | N/A | |
| AlpacaX Securities Ltd. | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | Access Co Work Suites, Suite 13, One West Plaza,<br>Windsor Field Road Nassau, The Bahamas | | Arush Sehgal | Ebony Wright | Tony Lee | Tony Lee | Tony Lee | |
| Alternative Investment Solutions Ltd. | 1. Dealing in Capital Markets Instruments as Agent<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | 5 Pineapple Grove, Lyford Cay | SP-64284 | Samir Lakkis | Francisca Anthonicia Delva | Samir Lakkis | Tameka Stubbs<br>Julian Benichou<br>Sergio Esteso Vidal;<br>Samir Lakkis<br>Nassib Hacham;<br>Markus Wiessler;<br>Maria Ujueta;<br>Miguel Solis;<br>Richard Allford;<br>Ignacio A.A. Torro;<br>Karim A. Lakkis Cases;<br>Rogelio Javier Solis Velasquez;<br>Mina Lazic;<br>Jad Al Boustani;<br>Pieter Waldo Du Plessis<br>Willem Hendrik Oldewage | N/A | |
| ASA Asset (Bahamas) Ltd | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | Winterbotham Place, Marlborough & Queen Sts. | N-3026 | Mario Pavan | Anja Charles | N/A | Mario Pavan | Mario Pavan | |

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| | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP | CFD SUPERVISORY OFFICER |
| Ask Capital Management Ltd. | 1. Managing Capital Market Instruments | Clairmont Trust Company Limited<br>Pineapple House #4 Lyford Cay | SP-642874 | James Hoar | Wanda Maycock | N/A | N/A | Fouad Akkari;<br>James Hoar;<br>Daniel Magdolen | |
| Axxets Management Inc. | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | Bayside Executive Park No. 3, 3rd Floor<br>West Bay Street & Blake Road<br>Nassau, Bahamas | CB-12407 | Anthony Ferguson | Prescott Adderley | N/A | Anthony Ferguson<br>Aslan L. H. Mansur | Anthony Ferguson | |
| Bahamas Central Securities Depository (BCSD) | Clearing Facility | British Colonial Hotel Hilton #202 | N-9307 | Melissa Campbell | Latonia Symonette-Tinker | N/A | N/A | N/A | |
| Bahamas International Securities Exchange (BISX) | Exchange | Suite 201, Fort Nassau Centre,<br>British Colonial Hilton, Bay Street | EE-15672 | Keith Davies | Holland Grant | N/A | N/A | N/A | |
| Bahamas Securities (1987) Limited | 1. Advising on Capital Market Instruments | 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 Capital Markets Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | Unit 10-12 Old Fort Bay Town Centre, Bldg. 2 | N-8159 | Simone Bertoldo | Rickel Alma Morton | Edrick Cleare;<br>Simone Bertoldo; Benjamin Roger Pinder | Stefano Donati, Benjamin Roger Pinder | Simone Bertoldo;<br>Stefano Donati | |
| Banco Santander International SA | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | 1st Floor Caves Corporate Centre, Building A,<br>West Bay Street and Blake Road | N-1682 | Blanca Catena Rallo | Tamara Joan Johnson | Blanca Catena Rallo | Blanca Catena Rallo | Blanca Catena Rallo | |
| BankPro Limited | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | Lyford Manor, Western Road, Nassau, Bahamas | N-7776 | Paolo Broccardo | Chris Barr | (Vacant) | (Vacant) | (Vacant) | |
| Bank J. Safra Sarasin (Bahamas) Ltd. | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | Lyford Financial Centre, Building 2,<br>Western Road, Lyford Cay | CB-10988 | Adrian Zadeh | Helene Virginie Tison Duhaze | Yantoni Zeitoune;<br>Joao Franco | Adrian Zadeh | Adrian Zadeh<br>Daniel Saralegui | |

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| | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP | CFD SUPERVISORY OFFICER |
| Bank of Nassau 1982 Limited | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | Offices at Old Fort Bay, West Bay St. | SP-61302 | Jonathan Cartwright | Wendell Alick Gardiner | Ingrid Taylor;<br>Valentin Sevilla;<br>Valerie Garcia | Ingrid Taylor;<br>Valentin Sevilla;<br>Patrick Guye-Bergeret;<br>Valerie Garcia | Ingrid Taylor;<br>Valentin Sevilla;<br>Valerie Garcia | |
| BDI Limited | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | Bougainvillea Lyford Drive, Lyford Cay<br>Nassau, Bahamas | N-4287 | Nicole M. Dupuy | Monique Knowles | N/A | Nicole M. Dupuy | Nicole M. Dupuy | |
| Benchmark Advisors (Bahamas) Ltd. | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Advising on Capital Market Instruments | Gresham House, Charlotte Street North | N-10144 | Sandra J. Knowles | Mioshe Chen Bascom | Nolan Johnson | Nolan Johnson | N/A | |
| Bilkool Advisors Ltd. (formerly Blue Line Advisors Ltd.) | 1. Managing Capital Market Instruments | APMS House #8 Pineapple Grove Old Fort Bay | SS-19689 | Eric Mermet Pierre | Indira Ferguson | N/A | N/A | Eric Mermet Pierre | |
| Black Isle Management Services Ltd. | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | 104 Cotton Tree Plaza,<br>East Bay Street,<br>Nassau, Bahamas | PO-SS19501 | Ian Black | Valentino Brown | Shamir M. A. Rolle | Marc-Claudio Muller<br>Ian Black | Ian Black<br>Marc-Claudio Muller | |
| Blackwell Global Investments Limited | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments and trading CFDs | 4 North Buckner Square Sandyport,<br>Nassau, Bahamas | N-3406 | Jerome Gomez | Philisa Beneby Williams | Shiwei Kwong | N/A | Shiwei Kwong | |
| Bluebay Global Advisors Ltd. | 1. Managing Capital Market Instruments | APMS House #8 Pineapple Grove Old Fort Bay | SS-19689 | Daniel Marc Brunner | Indira Ferguson | N/A | N/A | Daniel Marc Brunner | |
| Britannia Bank & Trust Ltd. (formerly Amber Bank & Trust Ltd. ) | 1. Dealing in Capital Markets Instruments as Agent<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | Caves Village, Building #2, West Bay Street,<br>Nassau, Bahamas | N-3917 | Jose Herrera | Sue-Ann Viken | Mateo Raimondo<br>Julian Adderley<br>Andrea Albanese<br>Joseph Byrne<br>Jose Herrera | Mateo Raimondo<br>Julian Adderley<br>Andrea Albanese<br>Joseph Byrne | Mateo Raimondo<br>Julian Adderley<br>Andrea Albanese<br>Joseph Byrne<br>Jose Herrera | |
| Britannia Securities Limited (formerly Arbitral Securities Ltd. ) | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | Unit 6, Western Business Centre,Western Road,<br>Nassau, Bahamas | SP-64093 | Andre Souza | Rochelle Cleare | Shinique Rolle,<br>Bernardo Amaral | Andre Souza | Andre Souza;<br>Shinique Rolle,<br>Bernardo Amaral | |
| B2B Prime Services Bahamas Limited | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments and trading CFD'S | Aristo House Balmoral, Sandford Drive<br>Nassau The Bahamas | SP-50643 | Dusan Romcevic | Kesna Pinder | Juan Murillo | Kevin Burrows | Kevin Burrows | Kevin Burrows |

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|---|---|---|---|---|---|---|---|---|---|
| | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP | CFD SUPERVISORY OFFICER |
| Capital Com Online Investments Ltd. | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments and trading CFD's | #3 Bayside Executive Park,<br>Blake Road and West Bay Street | 65167 | Prescott Edvardo Adderley | Noelle Beneby | Anthony Ferguson | N/A | N/A | Anthony Ferguson |
| Capital Index (Global) Limited | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments and trading CFD's | Bayside Executive Park, No. 3,<br>West Bay Street & Blake Road,<br>Nassau, Bahamas | SS-19086 | Anthony Ferguson | Prescott Adderley | Anthony Ferguson | N/A | N/A | Anthony Ferguson |
| Capital Union Bank Ltd. | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Managing Capital Market Instruments<br>3. Advising on Capital Market Instruments | No. 5 Pineapple Grove, Lyford Cay,<br>Western New Providence<br>Nassau, Bahamas | AP-59223 | Michael Paton | Nicolette Alexis Duncanson | Clement Ducasse;<br>Antoine Lacourt;<br>Maxine Barberis;<br>Pierre Soron;<br>Clement Gless; Axel Chevalier;<br>Nathan Perez; Charles Carroll Jr.;<br>Franck Mathieu; Donovan Landry;<br>Emiliano Cabrera; Guillaume<br>Duthilleul | Clement Ducasse;<br>Antoine Lacourt | Clement Ducasse;<br>Antoine Lacourt; | |
| CBH Bahamas Ltd. | 1. Dealing in Capital Market Instruments as Agent<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | CBH House, East Bay Street | N-1724 | Daniel Baron | Rochelle Rolle | Shamini Gibson;<br>Daniel Baron;<br>William Gibson;<br>Ginarenae Chuno;<br>Lynette Martinborough;<br>Julio Vargas<br>Jordanna Wring<br>Martin Muller<br>Thomas Karrer | Shamini Gibson;<br>William Gibson;<br>Ginarenae Chuno;<br>Guilhermo Alvarez Santini;<br>Lynette Martinborough;<br>Julio Vargas;<br>Daniel Baron<br>Martin Muller<br>Thomas Karrer | vacant | |
| CF Group Company Limited | 1. Dealing in Capital Market Instruments as Agent | Balmoral Corporate Centre,<br>2nd Floor, Unit C, Suite A<br>Sanford Drive | SP-63191 | Keva Ferguson | Indira Ferguson | Cheuk Yin Kung | N/A | N/A | |
| CFAL Securities Ltd. | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | 308 East Bay Street | CB-12407 | Anthony Ferguson | Monique Knowles | Pamela Musgrove;<br>Tiffany Angelique Smith;<br>Jeanelle Christal Francis;<br>Anna Zervos; | Dwayne Swann;<br>Shafegah Duncanson; | N/A | |
| CIBC Caribbean Bank (Bahamas) Limited | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | FirstCaribbean International Bank Financial Centre,<br>2nd Floor, Shirley Street | N-3221 | Terrance Gibson | Alicia Shalle Stuart | Gina Mackenzie; Sean Blyden; Brent Haines; Damingo L. Weir | Brent Haines; Damingo L. Weir | Gina Mackenzie | |
| CIBC Caribbean Trust Company (Bahamas) Limited | 1. Dealing in Capital Market Instruments as Agent<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | 1st Floor Goodman's Bay Corporate Centre,<br>West Bay Street & Seaview Drive | N-3933 | Perry A Rolle | Joan Rahming | Desaree Shantell Romer | (Vacant) | (Vacant) | |
| Colina Financial Advisors Limited (CFAL) | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | 308 East Bay Street | CB-12407 | Anthony Ferguson | Monique Knowles | N/A | Anthony Ferguson<br>Pamela Musgrove | Anthony Ferguson<br>Pamela Musgrove | |

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| | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP | CFD SUPERVISORY OFFICER |
| Coralisle Pension Services (Bahamas) Limited | 1. Dealing in Capital Market Instruments as Agent<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | 2nd Floor Atlantic House, Collins Avenue | SS-6246 | Kriston Moore | Tamika Bodie-Dean | Kriston Moore | Kriston Moore | Kriston Moore | |
| Core Capital Partners Ltd. | 1. Dealing in Capital Market Instruments as Agent<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | #3 Windsor Business Park, Building B-1,<br>Windsor Field Road<br>Nassau, Bahamas | SP-63035 | Christian V . Quege | Kristy Kemp | Alma Moultrie-McIntosh | Alma Moultrie-McIntosh | Alma Moultrie-McIntosh | |
| Corner Bank (Overseas) Limited | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Managing Capital Market Instruments<br>3. Advising on Capital Market Instruments and trading CFD's | Lyford House, Lyford Cay | N-7134 | Christine Russell | Jennifer Rahming | Davide Sergio Bonetti;<br>Shakema Sweeting;<br>Eronjha McIntosh;<br>Shevonne Rahming | Davide Sergio Bonetti;<br>Orazio Defilippis;<br>Andrea Fronzoni;<br>Peter Ceuleers;<br>Jamaal Wright | Orazio Defilippis<br>Davide Sergio Bonetti | Davide Sergio Bonetti |
| Corvalier Trust Company (Bahamas) Limited | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | #4 Pineapple House, Lyford Cay | SP-64284 | Miles Evans | Wanda Maycock | N/A | Miles Evans;<br>James Hoar;<br>John Jephson;<br>Jaime Stewart Davies | Miles Evans;<br>James Hoar;<br>John Jephson;<br>Jaime Stewart Davies | |
| CPL Advisors Limited | 1. Managing Capital Market Instruments | Winterbotham Place Marlborough & Queen Streets | N- 3026 | Agustin del Rio | Anja Charles | N/A | N/A | Agustin del Rio | |
| Crescendo (Bahamas) Ltd. | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | Western Business Center, Western Road,<br>Nassau, Bahamas | SP-64412 | Claude Philip Meier | Natasha Michelle Bastian | Damian Eustan Forbes | Claude Philip Meier<br>Damian Eustan Forbes | Claude Philip Meier<br>Damian Eustan Forbes | |
| Dartley Securities Limited | 1. Dealing in Capital Market Instruments as Agent | Equity House, Caves Village Plaza,<br>West Bay Street & Blake Road | CB-11838 | Dillon Dean | Sally Patton | Thomas Strachan | N/A | N/A | |
| Deltec Bank & Trust Ltd. | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | Deltec House, Lyford Cay | N-3229 | Jean Chalopin | (Vacant) | (Vacant) | (Vacant) | (Vacant) | |
| ECM Capital Advisors Ltd. | 1. Arranging Deals in Capital Market Instruments<br>2. Advising on Capital Market Instruments | Capital Union Financial Centre, 3rd Floor<br>Western Road, Lyford Cay | N-1879 | Gene Caldwell McBurney | LaTonia Symonette-Tinker | N/A | Gene Caldwell McBurney | N/A | |

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| | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP | CFD SUPERVISORY OFFICER |
| EFG Bank & Trust (Bahamas) Ltd. | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | Goodman's Bay Corporate Centre, 3rd Floor,<br>West Bay Street and Sea View Drive | CB 10956 | Alexandre Sampedro | Maria Dorsett | Armando Neto, | Robert S. Morrison;<br>Katty Ferguson;<br>Armando Neto;<br>Douglas Blank De Sousa Pereira;<br>Carlos D'Alessandro;<br>Fabio Frascino | (Vacant) | |
| Eightcap Global Limited | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments and trading CFD's | 201 Church Street, Sandyport,<br>West Bay St.,<br>Nassau, Bahamas | SP 64407 | Andrew Rolle | Samuel Wilkinson | Joel Murphy | N/A | N/A | Andrew Rolle |
| Elco Securities Limited | 1. Dealing in Capital Market Instruments as Agent<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | Loyalist Plaza, Don Mackey Boulevard,<br>Marsh Harbour, Abaco | AB-20377 | E. Isaac Collie | J. Derek Benjamin | David Hoang | Lawrence Collie | E. Isaac Collie | |
| Equity Bank Bahamas Limited | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | Equity Trust House, Caves Village,<br>West Bay Street | N-10697 | Dillon Dean | Robyn Newton | Dillon Dean; Jpy Delos Reyes | Dillon Dean | Dillon Dean | |
| EuroBanco Bank Limited | 1. Dealing in Capital Market Instruments as Agent | Suite 5 Caves Professional Center,<br>West Bay Street & Blake Road | N-1114 | Cora Brana | Natividad Esther Benitez | (Vacant) | N/A | N/A | |
| Exmer Partners Limited | 1. Managing Capital Market Instruments | Winterbotham Place,<br>Marlborough & Queen Streets | SP-62557 | Ivan Hooper | Anja Marie Charles | N/A | N/A | Ivan Hooper | |
| Extiber Ltd. | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | 212 Church St., Sandyport, West Bay Street | SP-62238 | Flavio De Paulis | Nathan Adderley | N/A | Alessandro Russo | Alessandro Russo | |
| FAM Fund and Asset Management Ltd. | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | APMS House #8 Pineapple Grove,<br>Old Fort Bay, Western Road | SS - 19689 | Christian Coquoz | Indira Ferguson | N/A | Christian Coquoz | Christian Coquoz | |
| Faro Capital Investors Ltd. | 1. Advising on Capital Market Instruments | 4th Floor, Lyford Cay House, Western Rd | N-7776 | Federico Andres Riege | Nathan Adderley | N/A | Federico Andres Riege | N/A | |
| FC Capital Investments Ltd. | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | # 3 Western New Providence Commercial Center | SS-19027 | Alexander Martin Murbach | Nathan Adderley | N/A | Leo Betschart; Tiffany Jones | Leo Betschart; Tiffany Jones | |
| Fidelis Advisors Ltd. | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | #4 Pineapple House, Lyford Cay | SP-64284 | Miles Evans | Wanda Maycock | N/A | Miles Evans;<br>Osman Amre Youness | Miles Evans;<br>Osman Amre Youness | |

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| | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP | CFD SUPERVISORY OFFICER |
| First Overseas Bank Limited | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Advising on Capital Market Instruments | Office #2, Building #8,<br>Caves Village Professional Centre,<br>West Bay Street | CB-11903 | Carlos Walton | Ricardo Leandro Villalba | Carlos Walton | Federico Perez | N/A | |
| First Prudential Markets (Global) Ltd. | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments and trading CFD's | Sea Sky Lane Sandyport,<br>West Bay Street | | Craig Mckinlay Allison | Kyriakos Kyprianou | Thomas Peter Roberts | N/A | N/A | Craig Mckinlay Allison |
| Fitpart Fund Administration Services Ltd. | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | Bahamas Financial Centre, 4th floor,<br>Shirley & Charlotte Streets | CB-13515 | Fernando Prado | Indira Ferguson | N/A | Fernando Prado | Fernando Prado | |
| FK Capital Management Ltd. | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | 2nd Floor Goodman's Bay Corporate Center<br>Nassau, Bahamas | SP-61567 | Jorge Finkler Braverman | Indira Ferguson | N/A | Jorge Finkler Braverman;<br>Eduardo Finkler Bravermen | Jorge Finkler Braverman;<br>Eduardo Finkler Bravermen | |
| FxPro Global Markets Ltd. | 1. Dealing in Capital Market Instruments as Agent or Principal and trading CFD's | Lyford Manor, Western Road, Nassau, Bahamas | N-7776 | Denis Sukhotin | Piotr Madej | Dimitriy Chipliev | N/A | N/A | Dimitriy Chipliev |
| GEM Global Equities Management S.A. | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | 201 Marina Lane<br>Sandyport<br>Nassau, Bahamas | SP-64452 | | | N/A | N/A | N/A | |
| Global Advisors Partners Ltd. | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | 3rd Floor<br>Coin of the Realm Building<br>Charlotte Street | N-9471 | Alexandre Vancoff | Edgar Seligman | N/A | Ivano Alliata<br>Alexandre Vancoff | Alexandre Vancoff,<br>Ivano Alliata | |
| Green Cay Advisory Ltd. | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | Building #2, Caves Village | N-7776 | Joseph Byrne | Indira Ferguson | N/A | Joseph Byrne | Joseph Byrne | |
| High Tech Invest Limited | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments and trading CFD's | Sea Sky Lane, Sandyport, Nassau, Bahamas | N/A | Peter Hoffmann Thage | Gerogianne Robinson | Peter Hoffmann Thage | N/A | N/A | Jerome Pastel Gomez |
| Holdun Family Office (Bahamas) Limited | 1. Managing Capital Market Instruments | Albany Financial Center Suite 303 | SP-63158 | Brendan Dunn | Kristy Kemp | N/A | N/A | Brendan Dunn | |
| Holowesko Partners Ltd. | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | Shipston House, West Bay Street, Lyford Cay | N-7776(78) | Mark Holowesko | Karen Zyp | N/A | Mark Holowesko,<br>Richard Farrington,<br>Christopher Maura | Mark Holowesko,<br>Richard Farrington,<br>Christopher Maura | |

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| | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP | CFD SUPERVISORY OFFICER |
| Huber Management Ltd. | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | Top Floor No. 1, CUB Financial Center,<br>Lyford Cay, Nassau, Bahamas | N-7139 | Bernard Huber | Jennifer Wells | N/A | Bernard Huber<br>Juan Zatarain | Bernard Huber<br>Juan Zatarain | |
| IC Markets Ltd. | 1. Dealing in Capital Market Instruments as Agent or Principal and trading CFD's | Western Business Center,<br>Unit 3B, Upper Floor<br>Western Road,<br>Nassau, Bahamas | N-272 | Latonia Symonette-Tinker | Philip Dorsett | Charalambos Agapiou | N/A | N/A | (Vacant) |
| IEXS Global Ltd | 1. Dealing in Capital Market Instruments as Agent | Fionza Corporate Services Centre<br>Balmoral Development, Unit C, Sandford Drive<br>Nassau, Bahamas | | Keva Ferguson | Antonia Roberta Thompson-Carey | Anthony Stubbs | N/A | N/A | N/A |
| Inteligo Bank Ltd. | 1. Dealing in Capital Market Instruments as Agent<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | Balmoral Corporate Centre,<br>Ground Floor, Unit B, 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. Managing Capital Market Instruments | #14 University Drive | SS-19086 | Ansel Watson | Omar Sands | N/A | N/A | Ansel Watson | |
| ITG Bahamas Inc. | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Advising on Capital Market Instruments | Templeton Building,<br>Western Road,<br>Nassau Bahamas | | Benjamin A. Shaw | Marcia Meeres | Benjamin A. Shaw | Benjamin A. Shaw | N/A | |
| J. Safra Sarasin Asset Management (Bahamas) Ltd. | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | Lyford Financial Centre, Building 2,<br>Western Road, Lyford Cay | CB-10988 | Daniel Kamkkaji | Helene Virginie Tison Duhaze | N/A | Daniel Kamkhaji | Daniel Kamkhaji | |
| Jefferson Capital Limited | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | 5th Floor 308 East Bay Street | N-9058 | Khofiz Shakhidi | Shonalee Munroe | N/A | Khofiz Shakhidi | Khofiz Shakhidi | |
| Kirkoswald Global Management Services Ltd. | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | Suite 4B, Albany Financial Centre<br>Lewis Drive<br>Nassau, Bahamas | SP-63158 | Gregory Coffey | David Abdo Hassan | Gregory Coffey | Gregory Coffey | Gregory Coffey | |
| Kuhn, Loeb & Co Capital Markets Ltd. (formerly IX Capital Group Limited) | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments and trading CFD's | 201 Church Street,<br>Sandyport, West Bay Street | N-3406 | Anthony Stubbs | Georgianne Robinson | (Vacant) | N/A | (Vacant) | Jerome Pastel Gomez |

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**Registrants as at 31 October 2026**

| LICENSEE | CATEGORIES | ADDRESS | P.O. BOX | Registered Representatives | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP | CFD SUPERVISORY OFFICER |
| Leno Corporate Services Limited | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | Fifth Floor<br>Leno Corporate Centre<br>Third Terrace and Collins Avenue<br>Nassau, Bahamas | N-8339 | Sean Longley | Darcy Delaney | Kerah Farquharson;<br>George A. White;<br>Sonia Beneby | Kerah Farquharson;<br>George A. White;<br>Sonia Beneby;<br>Sherell Woodside-Conliffe;<br>Cleora Farquharson | N/A | |
| Levant Advisors Ltd. | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | #7/8 Windsor Business Park, Windsor Field Road<br>Nassau, The Bahamas | CB-12407 | Angelo Butler | Prescott Adderley | Anthony Ferguson | Anthony Ferguson | Anthony Ferguson | |
| Levant Securities Ltd. | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | Bayside Executive Park, No. 3,<br>West Bay Street & Blake Road,<br>Nassau, Bahamas | CB-12407 | Martin D. Cornell | Prescott Adderley | Anthony Ferguson | Anthony Ferguson | Anthony Ferguson | |
| Lighthouse Asset Management Ltd. | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | #3 Pineapple Grove<br>Old Fort Bay<br>Western Road | N-7776 | Riccardo Romani | Calvin Rolle | N/A | Riccardo Romani;<br>Rosella Dack | Riccardo Romani;<br>Rosella Dack | |
| Lion Capital Partners Ltd. | 1. Arranging Deals in Capital Market Instruments<br>2. Managing Capital Market Instruments<br>3. Advising on Capital Market Instruments | Caves Village , Building 2<br>West Bay Street | | Lyndon Lea | Nathan Adderley | N/A | Lyndon Lea | Lyndon Lea | |
| LOM Financial (Bahamas) Limited | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Advising on Capital Market Instruments | LOM House<br>#3 Pineapple Grove,<br>Western Road,<br>Nassau Bahamas | AP-59223 | Craig Lines | Jalinka Strachan | Kyle Annesley; Ariyan Shadai | Nakhazia Gay | N/A | |
| LOM Invest Ltd. | 1. Advising on Capital Market Instruments | LOM House<br>#3 Pineapple Grove,<br>Western Road,<br>Nassau Bahamas | AP-59223 | Craig Lines | Jalinka Strachan | N/A | Craig Lines<br>Nakhazia Gay | N/A | |
| Lombard Odier & Cie (Bahamas) Limited | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | Goodman's Bay Corporate Centre,<br>West Bay Street & Seaview Drive | N-4938 | Eduard Zouein | Venetia Maura | (Vacant) | Claudio Godenzi;<br>Maurice Chiacchiari;<br>Lea Dana;<br>Edward Zouein;<br>Alexandre Musumeci Suarez | Claudio Godenzi;<br>Maurice Chiacchiari;<br>Lea Dana;<br>Edward Zouein;<br>Alexandre Musumeci Suarez | |
| LT Green Capital Investment Limited | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | 3rd Floor Bayview House, 308 East Bay Street | CB-12407 | Edson Ito | Prescott Adderley | N/A | Edson Ito | Edson Ito | |
| Macro Bank Limited | 1. Dealing in Capital Market Instruments as Agent<br>2. Arranging Deals in Capital Market Instruments | Building 8 Office 1, Caves Village, West Bay Street | N-4444 | Rosina Simeto | Stella Giani | Rosina Simeto | N/A | N/A | |

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| LICENSEE | CATEGORIES | ADDRESS | P.O. BOX | Registered Representatives | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP | CFD SUPERVISORY OFFICER |
| Magellan Securities Limited | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | Suite 232, The Island Lane Building, The Olde Towne at Sandyport | CB-13366 | Robert Davidowski | Nathan Adderley | Meredith Miller;<br>Destiny Rollins<br>Michael Slack | Robert Davidowski;<br>Ian Towell; | Robert Davidowski | |
| Magnum Global Advisors Ltd. | 1. Managing Capital Market Instruments | APMS House, #8 Pineapple Grove, Old Fort Bay,<br>Western Road, Nassau, Bahamas | SS-19689 | Christian Coquoz | Indira Ferguson | N/A | N/A | Christian Coquoz | |
| Marlin Capital Partners Limited | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | CUB Financial Centre,<br>Western Road,<br>Nassau, Bahamas | N-4469 | Zachary Lyons | Indira Ferguson | N/A | Zachary Lyons;<br>Andrew Pajakowski<br>Vasilia Mavrosm<br>Richard Heathcote | Zachary Lyons;<br>Andrew Pajakowski<br>Vasilia Mavros<br>Richard Heathcote | |
| Metainvest Capital Management Ltd. (formerly Goldensheikh Overseas Limited) | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | 212 Church Street, Old Towne Sandyport | N-3205 | Riccardo Sigon | Latonia Symonette-Tinker | N/A | Riccardo Sigon | N/A | |
| Mint Capital Advisors Ltd. | 1. Managing Capital Market Instruments | Templeton Building, West Bay Street | N-9204 | Eric Strachan | Alicia Bodie | N/A | N/A | Eric Strachan | |
| MMG Bank & Trust Ltd. | 1. Dealing in Capital Market Instruments as Agent<br>2. Managing Capital Market Instruments<br>3. Advising on Capital Market Instruments | #204 Church Street, Sandy Port, Olde Towne<br>West Bay Street, Nassau, Bahamas | N-4889 | Pachridee Hanna-Ferguson | Cecil Ferguson | (Vacant) | (Vacant) | (Vacant) | |
| Mosaic Financial Ltd. | 1. Dealing in Capital Market Instruments as Agent<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | Caves Village, Building #6, West Bay Street | SP-63771 | Shameka Fernander | Laterio Culmer | Shameka Fernander | Robert Jensen | Robert Jensen | |
| Nexor (Bahamas) Ltd. | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | Suite 601<br>Albany Financial Center, South Ocean Boulevard | AP-59205-3380 | Daniel-Marc Brunner | Michelle Bain | N/A | Werner Gruner;<br>Daniel-Marc Brunner;<br>Patrick Feuz | Daniel-Marc Brunner;<br>Patrick Feuz | |
| O'Cof Securities Limited | 1. Dealing in Capital Market Instruments as Agent<br>2. Arranging Deals in Capital Market Instruments | BMCC Square, Suite # 7, Block # II Queens Highway,<br>Freeport, Bahamas | EE 16320 | N'Nhyn Mhlln Fernander | Crystal McClain-Turnquest | Kriston Moore | N/A | N/A | |
| Octogone Fund Management Ltd. | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | No. 3 Offices Old Fort Bay, Western Rd. | SP-63157 | George Pericles Maillis | Nathan Adderley | N/A | George Pericles Maillis | Joakim Lehmkuhl | |
| Palm Global Capital Ltd (formerly Destek Global Limited) | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments and trading CFD's | Bayside Executive Park, No. 3,<br>West Bay Street & Blake Road,<br>Nassau, Bahamas | CB-12407 | Anthony Ferguson | Prescott Adderley | Anthony Ferguson | Anthony Ferguson | Anthony Ferguson | Anthony Ferguson |

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| LICENSEE | CATEGORIES | ADDRESS | P.O. BOX | Registered Representatives | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP | CFD SUPERVISORY OFFICER |
| Pepperstone Markets Limited | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments and trading CFD's | Pineapple House,<br>Old Fort Bay,<br>Western Road,<br>Nassau, Bahamas | | Pragnasree Gudipati | Shavonnia Cordice | Earvin Rahming | N/A | Earvin Rahming | (Vacant) |
| Phoenix Capital Ltd. | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | 212 Church Street, Old Towne Sandyport | SP-64377 | Luca Carlo Pasquale Lanciano | LaTanya Hamilton | N/A | Luca Carlo Pasquale Lanciano;<br>Carla Taylor | Luca Carlo Pasquale Lanciano;<br>Carla Taylor | |
| Pictet Bank & Trust Limited | 1. Dealing in Capital Market Instruments as Agent<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | Bayside Executive Park, Building 1,<br>West Bay Street & Blake Road | N-4837 | Carlos De La Torre | Janique Duvalier | Tamica Rolle; Nikola Ruzicic-Kessler;<br>Melan Georges | Monica Millers; Jeremy Stuby; Isabelle Fiaux; Jose Suarez; Carlos De La Torre; Fernando Luperi Guerra; Nikola Ruzicic-Kessler; Dionne Curry; Jeremy Proffitt; Gabrielle Lefebvre | Nikola Ruzicic-Kessler;<br>Tyrez Sturrup | |
| Platinum Portfolio Management Ltd. | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | Suite #200, 1 Marina Drive<br>Sterling Commons<br>Paradise Island<br>Nassau, The Bahamas | N-1812 | Blair Robert Panes | Endric Deleveaux | N/A | Blair Robert Panes | Blair Robert Panes | |
| Plotio Global Financial Limited | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments and trading CFD's | Capital Union Bank Financial Centre,<br>Western Road, Lyford Cay,<br>Nassau, Bahamas | N-1879 | Vincent Laurent King | Latonia Symonette-Tinker | Tsz Hong Fung | N/A | N/A | (Vacant) |
| PLUS500BHS Ltd | 1. Dealing in Capital Market Instruments as Agent or Principal and trading CFD's | Bayside Executive Park, No. 3,<br>West Bay Street & Blake Road,<br>Nassau, Bahamas | | Prescott Edvardo Adderley | Sherella Vernetta Gibson-Sturrup | Anthony Ferguson | N/A | N/A | Anthony Ferguson |
| Portofino Financial Inc. | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | Winterbotham Place, Malborough & Queen Streets | N-3026 | Guillermo Hernan-Reekstin | Anja Marie Charles | N/A | Guillermo Hernan-Reekstin | Guillermo Hernan-Reekstin | N/A |
| Prevatt Capital Ltd. | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | Lyford Cay House, Western Road | N 7512 | Jonathan Israel Tepper | Indira Ferguson | N/A | Jonathan Israel Tepper | Jonathan Israel Tepper | |
| Primo Investment Advisors Limited | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | 2 Lyford Cay Financial Centre, Western Road,<br>Centre of Commerce<br>Nassau, Bahamas | SP-63948 | Ecio Silva | Indira Ferguson | N/A | Ecio Silva | Ecio Silva | |

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| LICENSEE | CATEGORIES | ADDRESS | P.O. BOX | Registered Representatives | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP | CFD SUPERVISORY OFFICER |
| Providence Advisors Limited | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | 1st Floor, Goodman's Bay Corporate Centre | AP-59223-409 | Kenwood Kerr | Indira Ferguson | Racquel Coleby-Grant | N/A | Kenwood Kerr<br>Racquel Coleby-Grant | |
| Q I Advisors (Bahamas) Ltd. | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | #3 Windsor Business Park, Building B-1,<br>Windsor Field Road<br>Nassau, Bahamas | SP-63035 | | Kristy Kemp | (Vacant) | Alma Moultrie-McIntosh | Alma Moultrie-McIntosh | |
| Quantfury Trading Americas Limited (formerly, Quantfury Trading Limited) | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | Lyford Cay House, 4th Floor, Western Road,<br>Nassau, Bahamas | CB 12407 | Nikolai Sawyer | Prescott Adderley | Angelo Butler Jr. | Angelo Butler Jr. | Angelo Butler Jr. | Anthony Ferguson |
| RBC Dominion Securities (Global) Limited | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | Suite 201, Albany Financial Center,<br>South Ocean Boulevard | N-3234 | Andrew McCartney | Mario Smith | John Rodney Bond;<br>Francisco Goncalves;<br>Gregory Metrailler; Amelia Jenice Bain | John Rodney Bond;<br>Carol Denis Newbold;<br>Sophia Eloise McKenzie;<br>Francisco Goncalves;<br>Gregory Metrailler | Francisco Goncalves;<br>Gregory Metrailler | |
| RIA Company Ltd. | 1. Managing Capital Market Instruments | Winterbotham Place, Malborough & Queen Streets | N-3026 | Alejandro Luis Barroetavena | Anja Marie Charles | N/A | N/A | Alejandro Luis Barroetavena | |
| RF Bank & Trust (Bahamas) Limited | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | Fidelity Financial Centre, 51 Frederick Street | N-4853 | Michael Anderson | Garnal Brown | Belinda Payne;<br>Quentin Euriel Gibson; Charmaine Williams;<br>Janeen Bethel<br>Tajano Minnis | Tishrea Grey;<br>Dominic Ajvon Stubbs ;<br>Patrick Ferguson;<br>Janeen Bethel<br>Leo Huber | David Craig Van Onselen;<br>David Slatter<br>Harold Munnings III | |
| Scotiabank (Bahamas) Limited | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | Rawson Square, Bay Street,<br>Nassau, Bahamas | N-7518 | Roger Archer | Rico Russell | Deno Moss;<br>Janae Francis-Ingraham | Deno Moss; | (Vacant) | |
| Sinclair Asset Management Ltd. | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | CUB Financial Center, Room TF3, Lyford Cay, Nassau,<br>Bahamas | N/A | Jean-Marc Wenger | Indira Ferguson | N/A | Jean-Marc Wenger;<br>Joel Johnson | Jean-Marc Wenger;<br>Joel Johnson | |
| SIS Solutions Ltd. | 1. Managing Capital Market Instruments | Cumberland House, 15 Cumberland Street | SP-64111 | Keva McPhee | Nathan Adderley | N/A | | Keva McPhee | |
| ST Global Markets Ltd. | 1. Dealing in Capital Market Instruments as Agent | Building 1 Unit 9,<br>Old Fort Bay Town Centre<br>Nassau, Bahamas | SP-64427 | Michael Bassett | (Vacant) | (Vacant) | N/A | N/A | |

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| LICENSEE | CATEGORIES | ADDRESS | P.O. BOX | Registered Representatives | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP | CFD SUPERVISORY OFFICER |
| Sterling (Bahamas) Limited | 1. Dealing in Capital Market Instruments as Agent<br>2. Managing Capital Market Instruments<br>3. Advising on Capital Market Instruments | 202 Marina Lane Sandyport, Nassau, Bahamas | N-9934 | Alan Edward Cole | Raynell Naomi Miller | Christopher Claude Cole | Christopher Claude Cole | Christopher Claude Cole | |
| Swan Capital Ltd. | 1. Managing Capital Market Instruments | Halisbury Commercial Centre, #10,<br>Village Road, Nassau, Bahamas | SS-6333 | Jorge Isaac Moreira Barrow | Rosemary Barrett | N/A | N/A | Jorge Isaac Moreira Barrow | |
| Syncora Securities Ltd. | 1. Managing Capital Market Instruments | Albany Financial Center<br>Suite 601<br>South Ocean Boulevard<br>Nassu, The Bahamas | N-9204 | Eric Strachan | Jasmine Cartwright-King | N/A | N/A | Joao Esteireiro | |
| Talent Asset Management Limited | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | INCUDESK West, Windsor Field Rd.,<br>Old Fort Bay Town Centre, Buildng #3, Suit #13,<br>Nassau, Bahamas | N-3026 | Jose Ignacio Chercasky | Anja Marie Charles | N/A | Jose Ignacio Chercasky | Jose Ignacio Chercasky | |
| Techfin Markets Limited | 1.Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments and trading CFD's | Balmoral Business Center, Prospect Ridge,<br>Nassau, Bahamas | N-1879 | Theresa Haven-Adderley | Latonia Symonette-Tinker | Constantinos Michaelides | N/A | N/A | (Vacant) |
| Templeton Global Advisors Limited | 1. Managing Capital Market Instruments<br>2. Advising on Capital Market Instruments | Templeton House, Lyford Cay,<br>Nassau, Bahamas | N-7759 | Christopher Peel | (Vacant) | N/A | Warren Pustam;<br>Peter Sartori | Christopher Peel;<br>Warren Pustam;<br>Peter Sartori | |
| The Bank of Nova Scotia Trust Company (Bahamas) Ltd. | 1. Dealing in Capital Market Instruments as Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | Scotia House, 404 East Bay Street | N-3016 | Neil Macdonald | Chaquita Taylor | Jerome Franks<br>Locksley Knowles II | Jerome Franks;<br>Juan Giraldo<br>Locksley Knowles II | Jerome Franks<br>Locksley Knowles II | |
| The Private Trust Corporation Limited | 1. Dealing in Capital Market Instruments as Agent<br>2. Arranging Deals in Capital Market Instruments | 2nd Floor, Charlotte House,<br>Shirley & Charlotte Streets | N-65 | Adrian Crosbie-Jones | Natasha Dean | Charlene Storr;<br>Bruno Roberts | N/A | N/A | |
| The Winterbotham Trust Company Limited | 1. Dealing in Capital Market Instruments as Agent<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | Winterbotham Place,<br>Marlborough & Queen Streets | N-3026 | Ivan Hooper | Anja Marie Charles | Ivan Hooper;<br>Jessica Thornley-Mitchell; Andrea Quant, Nicola Patrice Rolle | Jessica Thornley-Mitchell | David Thain | |

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| LICENSEE | CATEGORIES | ADDRESS | P.O. BOX | Registered Representatives | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP | CFD SUPERVISORY OFFICER |
| Trade Nation Ltd. | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments and trading CFD's | Office 2B, One Sandyport Plaza,<br>West Bay Street, Nassau, Bahamas | CB-12407 | Richard Daniel Nathan | Aruna Tara Rodgers | Anthony Ferguson | Anthony Ferguson | Anthony Ferguson | Anthony Ferguson |
| TradeZero Inc. | 1. Dealing in Capital Market Instruments as Agent or Principal | 436 West Bay Street<br>Nassau, Bahamas | SP-62904 | Kay Briggs | Lizzette McKinney | Kay Briggs;<br>Shanae Mackey | N/A | N/A | |
| UBS AG, Nassau Branch (formerly known as Credit Suisse AG Nassau Branch) | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | 4th Floor The Financial Centre,<br>Shirley & Charlotte Streets | N-4928 | Ghislane Wilkinson | Cherise Cox-Nottage | (Vacant) | (Vacant) | (Vacant) | |
| UBS Brazil (Bahamas) Limited (formerly Credit Suisse Brazil (Bahamas) Limited) | 1. Dealing in Capital Market Instruments as Agent or Principal | 4th Floor Bahamas Financial Centre,<br>Shirley & Charlotte Streets | N-3241 | (Vacant) | (Vacant) | N/A | N/A | N/A | |
| UCAP Bahamas Limited | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | CUB Financial Center,<br>Lyford Cay,<br>Nassau, Bahamas | N/A | Patrick Zbinden | Perez Wille | Pierre Soron ;Christian Paton;Clement Ducasse | Clement Ducasse;Marvin Riera | Chiarel Quentin;Clement Ducasse | |
| Virtus Capital Ltd. (formerly Oracle Capital Advisors Ltd.) | 1. Dealing in Capital Market Instruments as Agent<br>2. Managing Capital Market Instruments<br>3. Advising on Capital Market Instruments | 202 Marina Lane Sandyport,<br>Nassau, Bahamas | N-9934 | Oleg Nikityuk | Raynell Miller | Oleg Nikityuk | Oleg Nikityuk | Oleg Nikityuk | |
| WG Capital Ltd. | 1. Dealing in Capital Market Instruments as Agent or Principal<br>2. Arranging Deals in Capital Market Instruments<br>3. Managing Capital Market Instruments<br>4. Advising on Capital Market Instruments | Unit A, Balmoral Corporate Center,<br>Balmoral Development | AP-59223<br>Slot 501 | Stavros Spyropoulos | Shelby Brice | Robbi Mathie | (Vacant) | (Vacant) | |
| Windermere Corporate Management Limited | 1. Managing Capital Market Instruments | 200 Sterling Commons, Harbour Drive,<br>Paradise Island, Nassau, Bahamas | N-7797, Suite A-084 | John Lawrence | Millicent Clarke | N/A | N/A | John Lawrence | |
| XL Partners Ltd. | 1. Managing Capital Market Instruments | APMS House<br>#8 Pineapple Grove, Old Fort Bay, Western Road,<br>Nassau, The Bahamas | N/A | Mitsuo Alves | Indira Ferguson | N/A | N/A | Mitsuo Alves | |