



Securities Industry Act, 2011

Registrants as at 31 August 2017

| Name | Categories | Phone | Fax | Email | Address | P. O. Box | Registered Personnel |
|---|--|----------|----------|--|---|-----------|--|
| A.S.P.I Bahamas Ltd. (formerly R.I.A.F. Ltd) | 1. Managing Securities 2. Advising on Securities | 601-5334 | 601-5339 | methompson@aspibahamas.com | Ground Floor Ocean Centre, East Bay Street | SP-61913 | Magnal Thompson |
| Abaco Global Advisors Ltd. | 1. Managing Securities | 328-2131 | 356-2155 | info@abaco-ltd.com | 3B One Sandypoint Plaza West Bay Street | SP-64168 | Michele Knowles-Doura; Olivier Notz |
| Adi Dassler International Family Office Limited | 1. Managing Securities | 356-5454 | 356-9432 | jwright@winterbotham.com | Winterbotham Place, Marlborough & Queen Streets | SP-62556 | Julian Bradham; David Rounce; Anthony Kevin Burrows |
| Advantage Financial International Ltd. | 1. Managing Securities 2. Advising on Securities | 502-7020 | 393-5002 | info@genesishfundservices.com | 5th Floor 308 East Bay Street | N-9058 | Francesco Confuorti; Samantha Watson-Crooks |
| Akelius Invest Ltd. | 1. Managing Securities | 367-2030 | 367-5788 | demetris.syllouris@akeliusinvest.com | 700 Don Mackay Boulevard Abaco | AB-20415 | Demetrius Syllouris; Rhonda Hull |
| Alliance Investment Management Ltd. | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Advising on Securities | 326-7333 | 326-7336 | info@allianceinvest.com; aelcock@allianceinvest.com; jbrown@allianceinvest.com | Carmichael Commercial Centre, 2nd Floor Suite 201, Carmichael Road | SS-19051 | Julian Brown; Avril Elcock-Major; Nolan Johnson |
| Alternative Asset Advisors S.A. | 1. Managing Securities 2. Advising on Securities | 702-1423 | 702-1424 | jillian.ferguson@syzgroup.com | Building # 2, Old Fort Bay, Windsor Field Road | N-1089 | Venetia Dekle-Maura; Jillian Ferguson; Keitra Pratt; Cristiano Pasqualino; Julian Benichoa |



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|--|--|----------|----------|---|--|-----------|--|
| Alternative Investment Solutions Ltd. | 1. Advising on Securities | 362-6071 | 362-6079 | info@ais.solutions | 5 Pineapple Grove, Lyford Cay | SP-64284 | Samir Lakkis; Wanda Maycock; Julian Benichou |
| Amber Bank & Trust Ltd. (formerly Arner Bank & Trust (Bahamas) Ltd.) | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 327-6594 | 327-6584 | katriena.marshall@amberbank.com | Suite 2 Building 2, Caves Village | N-3917 | Katriena Marshall; Lisa Patterson; Julian Adderley; Alessandro Molo; Andrea Albanese |
| Analytical Research Advisors, LLC | 1. Advising on Securities | 322-5448 | 325-8445 | info@sterling-bahamas.com | 205A Saffrey Square, Bank Lane and Bay Street | N-9934 | Jean-Stephane Marie Lods; Michelle Bain |
| Andbank (Bahamas) Limited | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 394-7090 | 394-7089 | info.bahamas@andbank.com; manel.martinez@andbank.bs | One Montague Place, East Bay Street | AP-59223 | Manuel Martinez Campos; Daniel Brunner; Wendell Gardiner; Werner Gruner; George Maillis; Jamaal Wright |
| Ansbacher (Bahamas) Limited | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 322-1161 | 326-5020 | info@ansbacher.bs; andrew.alexio@ansbacher.bs | 4th Floor Colina Imperial Building, #308 East Bay Street | N-7768 | Catherine L. Fadely; Ricardo Rolle; Lashelle White; Katherine Rolle; Antoin Bowe; Andrew Alexiou |



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| Arbital Securities Ltd. | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 362-6750 | 362-6760 | andre@arbital.com | Bldg No. 4, Old Fort Bay, Lyford Cay | SP-64093 | Andre Mendes Senra Souza; Fernando Mauricio Da Rocha Pereira Leite; Rodrigo Paiva; Wendy Warren; Andre Pereira Landi |
| Autana Capital Management Limited | 1. Managing Securities 2. Advising on Securities | 327-3947 | 327-3958 | jme@autanacapital.com | 17 Professional Centre, Caves Village, West Bay Street | CB-12762 | Jean-Marc Emden |
| Axia Partners | 1. Managing Securities | 394-4182 | 394-4183 | contact@apms-ltd.com;tamara.bain@apms-ltd.com | Halsbury Commercial Centre, Suite No. 2 | SS-19689 | Marcel Ott; Tamara Bain |
| AXMIN CAPITAL LTD. (formerly RIG Investment Advisors Limited) | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 356-5454 | 356-9432 | aroberts@rigadvisors.com | Winterbotham Place, Marlborough & Queen Sts. | N-3026 | Roberto A. Roberts; Robert Ingrey |
| Axxets Management Inc. | 1. Managing Securities 2. Advising on Securities | 502-7007 | 393-4639 | aferguson@axxets.com | 308 East Bay Street | CB-12407 | Anthony Ferguson; Yair Esrubilsky; Samuel Wilkinson |
| Bahamas Central Securities Depository | Clearing Facility | 322-5522 | 356-3613 | NBurrows@bahamascsd.com; info@bahamascsd.com | British Colonial Hotel Hilton #202 | N-9307 | Nerika Burrows |



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| Bahamas International Securities Exchange (BISX) | Exchange | 323-2330 | 323-2320 | info@bisxbahamas.com; hgrant@bisxbahamas.com; kdavies@bisxbahamas.com | 2nd Floor of the Fort Nassau Centre, British Colonial Hilton | EE-15672 | Keith Davies |
| Bahamas Securities (1987) Limited | 1. Advising on Securities | 325-6591 | 325-6592 | info@bdobahamas.com | Charlotte Street South | N-10144 | George C. Culmer; Myles J. Culmer |
| Banca del Sempione (Overseas) Ltd. | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 322-8015 | 356-2030 | beat.meier@sempione-overseas.com | 3rd Floor George House, George Street | N-8159 | Beat Viktor Meier; Neil DeCordova Baker; Edrick Cleare; Stanley Coakley; Simone Bertoldo; Michele Piantoni; Francesca Trizzino |
| Banco Santander Bahamas International Limited | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 502-7900 | 322-3585 | alfonsocoloma@bstnas.com | 3rd Floor Goodman's Bay Corporate Centre, West Bay Street | N-1682 | Alfonso Coloma Bello; Roberto Morales |
| Bank J.Safra Sarasin (Bahamas) Ltd. (formerly Safra International Bank & Trust Ltd.) | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | 601-6403 | 601-6401 | bahamas@jsafrasarasin.com; israel.borba@jsafrasarasin.com | Saffrey Square, Suite 103-B, Bay Street & Bank Lane | CB-10988 | Isreal Borba; Adrian Zadeh; Yantoni Zeitoune; Joao Franco; Daniel Saralegui; Lianne Johnson |



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| Bank of the Bahamas Limited | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | 397-3000 | 323-8811 | philice.albury@bankbahamas.com | Cloughton House, Shirley & Charlotte Streets | N-7118 | Renee Davis; Hubert Edwards; Laura Williams; Philice Albury; Yvette Johnson |
| Banque Havilland (formerly Pasche Bank & Trust Limited) | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 702-2900 | 362-6186 | G.Tiivas@banquehavilland.com | Unit 1 Western Commercial Centre, Mt. Pleasant Village, Western Road | AP-59241 | Gert Tiivas |
| Bearbull Degroof International Limited | 1. Managing Securities 2. Advising on Securities | 362-5959 | 362-5973 | erica.knowles@bearbulldegroof.com | Unit 2 Old Fort Bay Lyford Cay | N-4287 | Nicole M. Dupuy; Denise O'Brien |
| Benchmark Advisors (Bahamas) Ltd. | 1. Advising on Securities | 326-7333 | 325-6592 | jbrown@allianceinvest.com | Gresham House, Charlotte Street North | N-10144 | Julian Brown |
| Berkeley (Bahamas) Limited | 1. Arranging Deals | 362-4700 | 362-5190 | contact@bbloffshore.com | 9 Pineapple Grove, Old Fort Bay | SP-63893 | Warren T. Roberts; Christopher I. Thompson; Frank L. Saunders |
| Binnacle Advisors Limited | 1. Arranging Deals 2. Managing Securities 3. Advising on Securities | 502-8822 | 502-8840 | info@groupclaymore.com;diane@groupclaymore.com | 2nd Floor, Equity Trust House, Caves Village, West Bay Street | AP-59213 | Dianne C. Bowe-Pindling |



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| Binnacle Investment Group Ltd. | 1. Managing Securities | 502-8822 | 502-8840 | binnacle@groupclaymore.com;diane@groupclaymore.com | 2nd Floor, Equity Trust House, Caves Village, West Bay Street | AP-59213 | Dianne C. Bowe-Pindling |
| Biscayne Capital Ltd. | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | 698-1059 | 327-1173 | carla.taylor@biscaynecapital.com | 3rd Floor, Suite # 304 Centre of Commerce, 1 Bay Street | SP-64214 | Carla Taylor; Tinessa Diallo; Amaechi Azikiwe; |
| Black Isle Management Services Ltd. | 1. Managing Securities 2. Advising on Securities | 394-6870 | 1-(866) 807-1383 | ian@blackislemanagement.com | UBS Annex, East Bay Street | SS-19501 | Ian Black; Chamika Gibson; Claudio Muller; Bradley Crawley |
| Blue Hope Ltd. | 1. Managing Securities | 327-0689 | 327-0696 | info@hlbgalanis.com; pgalanis@hlbgalanis.com | 7 North Buckner Square, Olde Towne, Sandypoint | N-3205 | Philip Galanis |
| Blue Line Advisors Ltd. | 1. Managing Securities | 394-4182 | 394-4183 | tamara.bain@apms-ltd.com | Village Road North | SS-19689 | Tamara Bain; Zakyia Butler |
| Blue Sea Asset Management Ltd. | 1. Managing Securities 2. Arranging Securities | 502-7010 | 393-4639 | Aferguson@cfal.com | 308 East Bay Street | CB-12407 | Anthony Ferguson; Samuel Wilkinson |
| Bluebay Global Advisors Ltd. | 1. Managing Securities | 394-4182 | 394-4183 | tamara.bain@apms-ltd.com | Village Road North | SS-19689 | Roger Landucci; Tamara Bain |
| Blueprint Financial Ltd. | 1. Managing Securities 2. Arranging Securities | 362-4700 | 362-5190 | mhilton@bpfinco.com | 9 Pineapple Grove, Old Fort Bay | SP-60765 | Melanie Rolle-Hilton; Denise O'Brien |



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|----------------------|--|----------|----------|--|--|-----------|---|
| Braun & CIE Ltd. | 1. Advising on Securities | 325-6591 | 325-6592 | jbrown@allianceinvest.com | Charlotte Street South, Gresham House | N-10144 | Julian Brown |
| Capital Union Bank | 1. Dealing in Securities as Principal or Agent 2. Managing Securities 3. Advising on Securities | 362-6880 | 362-6887 | luciana.silvera@capitalunionbank.com;stanya.stuart@capitalunionbank.com;mikeiko.brown@capitalunionbank.com | 6 Pineapple Grove, Western Road | AP-59223 | Ludavic Chechin-Laurans; Clement Ducasse; Tency Demeritte |
| CBH Bahamas Ltd. | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 394-6161 | 394-6262 | dhilton@cbhbank.com | CBH House, East Bay Street | N-1724 | Ursula Rolle; Ahmad Strachan; Lucethy Smith; Dorothy Hilton; Charles Newbold; Earvin Rahming |
| CFAL | 1. Managing Securities 2. Advising on Securities | 502-7010 | 393-4639 | info@cfal.com;sthurston@cfal.com | 308 East Bay Street | CB-12407 | Anthony Ferguson; Pamela Musgrove; Samuel Wilkinson |
| CFAL Securities Ltd. | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | 502-7010 | 393-4639 | info@cfal.com;sthurston@cfal.com | 308 East Bay Street | CB-12407 | Anthony Ferguson; Shafegah Duncanson; Pamela Quise Musgrove; Tiffany Angelique Smith; Dwayne Swann; Jeanelle Christal Francis; Anna Zervos; Giovannah Evans; Samuel Wilkinson |



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| CIBC Trust Company (Bahamas) Limited | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 356-1800 | 322-3692 | m.carmen.butler@wi.cibc.com | Goodman's Bay Corporate Centre, West Bay Street & Seaview Drive | N-3933 | Maria del Carmen Butler; Sean R. Harrington; Norma Major; Natika Whitfield |
| Citco Bank & Trust Company (Bahamas) Limited | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals | 502-5300 | 394-0701 | lhepburn@citco.com; vglover@citco.com | One Montaque Place, East Bay Street | N-4906 | Tamar M. Armbrister-Delancey; Lyla A. Hepburn; Rupert Walle |
| Clairmont Advisors Ltd. | 1. Managing Securities 2. Advising on Securities | 362-6071 | 362-6079 | Compliance@clairmontadvisorsgroup.com; wanda.maycock@clairmonttrust.com | #5 Pineapple Grove, Lyford Cay | SP-64284 | John Jephson; Benjamin Hein; Sebastian Duenas; Wanda Maycock; |
| Clairmont Trust Company Limited | 1. Advising on Securities | 362-6071 | 362-6079 | fsd@clairmonttrust.com; milesevans@clairmonttrust.com | #5 Pineapple Grove, Lyford Cay | SP-64284 | Miles Evans; James Hoar; John Jephson; Jaime Stewart; Wanda Maycock |
| Colonial Pension Services (Bahamas) Limited | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 502-7526 | 502-7501 | Larry.Gibson@atlantichouse.com.bs | 2nd Floor Atlantic House, Collins Avenue | SS-6246 | Larry Gibson; Desiree L. Parker; Kriston Moore; Antoinette Blair |



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| Core Capital Partners Ltd. | 1. Dealing in Securities as Agent 2. Managing Securities 3. Advising on Securities | 676-2775 | 323-8036 | hbh@ccpl.capital | #15 Cumberland House, Cumberland Street | SS-6836 | Heather Bellot-Hazarian; Rochelle Cleare; Kristy Kemp |
| Corner Bank (Overseas) Limited | 1. Managing Securities 2. Advising on Securities | 394-4977 | 394-5264 | info@corner.bs;michele.clivio@corner.bs | 1st Floor 308 East Bay Street | N-7134 | Colyn Roberts;Michele Clivio; Eirene Gatis Thronebury; Birgit Dridi; Miriam Larbi; Stefano Tartini; Sebastien Kofler; Jennifer Rahming |
| Credit Suisse AG, Nassau Branch | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | 356-8100 | 326-6589 | vanessa.knowles@credit-suisse.com | 4th Floor The Financial Centre, Shirley & Charlotte Streets | N-4928 | Michael Ranson; Delric Beneby; Alexandre Sampedro; Leonardo Brayner; Guilherme Simoes Bianchi; Thomas Karrer; Luiz Barros; Darren Campbell; Vanessa Knowles; Carlos D'Alessandro; Marcelo Agesen; Indira Godet; Carlos de Souza Fernandes; Douglas de Souza Pereira; Gilmar Rodrigues de Oliveira; Gustavo Fraga Abrunhosa; Martin Kemp; Miguel Angel Daroca Mesino |



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| Credit Suisse Brazil (Bahamas) Limited | 1. Dealing in Securities as Principal & Agent | 302-4000 | 302-4049 | marcio.macedo@credit-suisse.com | The Financial Centre, Shirley & Charlotte Streets | N-3241 | Marcio Macedo |
| Dartley Securities Limited | 1. Dealing in Securities as Agent | 327-8663 | 327-4709 | administrator@dartleybank.com;s.patton@dartley.com.bs | No. 9 Caves Village, West Bay Street | CB-13319 | Charles Aboulafia; Sally Mae Patton |
| de la Fontaine & Associates Ltd. | 1. Managing Securities | 394-4182 | 394-4183 | contact@apms-ltd.com;tamara.bain@apms-ltd.com | Halsbury Commercial Centre, Suite No. 2 | SS-19689 | Ralf Huber; Tamara Bain; Pierre Monnard |
| Delessert Asset Management Ltd. | 1. Managing Securities 2. Advising on Securities | 502-7010 | 393-4639 | AFerguson@cfal.com | 308 East Bay Street | CB-12407 | Anthony Ferguson; Samuel Wilkinson |
| Deltec Bank & Trust Ltd. | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 302-4100 | 362-4623 | teg@deltecbank.com;Dmunoz@deltecbank.com | Deltec House, Lyford Cay | N-3229 | Jean Chalopin; David Munoz; Atul Lele; Christopher Cameron Leonard ; Vivienne Watts; Robert Alton Turnquest; Marcia Vinzanna Adderley; Robert Genovese; Giovanni Riccardo Pirana; Theresse Lavette Hudson; James Arthur Moss; Audra Oleta Dean; Richard John Keith Heathcote; Richard John Beek; Maria Ntzouvali Sevilla; Paul Stappard; Jeunesse Osadebay-Bullard |



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| Deltec Investment Advisers Limited | 1. Managing Securities 2. Advising on Securities | 302-4110 | 362-5926 | dmunoz@deltecinvc.com | Deltec House, Lyford Cay | N-3229 | David Munoz; Atul Lele; Vivienne Watts; Tonya Rolle; Marcia Vinzanna Adderley; Roberto Genovese; Christopher Cameron Leonard; Therese Lavette Hudson; Richard John Beek; Maria Ntzouvali Sevilla; Robert Alton Turnquest |
| Deltec Securites Ltd. | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. | 302-4110 | 362-5926 | dmunoz@deltecbank.com | Deltec House, Lyford Cay | N-3229 | David Munoz; Jeunesse Osadebay-Bullard; Richard John Keith Heathcote; Audra Oleta Dean |
| Eclipse Asset Management Ltd. | 1. Managing Securities 2. Advising on Securities | 676-8188 | 676-8199 | smancilla@equitybahamas.com; jmonreal@equitybahamas.com; ddean@equitybahamas.com | Equity Trust House, Caves Village, West Bay Street | N-10697 | Dillon Dean; Ivylyn Cassar; Monalisa Hanna; Jordan Monreal; Stephanie Mancilla |
| EFG Bank & Trust (Bahamas) Ltd. | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | 502-5400 | 502-5428 | efgbahamas@efgbank.com;jan.comins@efgbank.com | Centre of Commerce; 2nd Floor 1; Bay Street | SS-6289 | Ian Comins; Denora Marshall-McPhee; Scott Morrison; Neil Emery; Karen Daly Pinder; Gia Singh; Jorge Carlos Borlandelli Zeballos; Tisca Pratt Armbrister |



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| Elco Securities Limited | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 367-2558 | 367-2568 | elcobank@batelnet.bs | Loyalist Plaza, Don Mackey Boulevard, Marsh Harbour, Abaco | AB-20377 | John D. Benjamin; Ellison Collie; Lawrence Collie; David Hoang; |
| Equity Bank and Trust Bahamas Limited | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | 676-8188 | 676-8199 | info@equitybahamas.com | Equity Trust House, Caves Village, West Bay Street | N-10697 | Dillon Dean; Monalisa Hanna; |
| EuroBanco Bank Limited | 1. Dealing in Securities as Agent | 327-4157 | 327-4159 | ebenitez@eurobancobankltd.com | Suite 12 Caves Professional Center, West Bay Street & Blake Road | N-1114 | Natividad Esther Benitez |
| Euro-Dutch Trust Company (Bahamas) Limited | 1. Dealing in Securities as Agent | 362-6015 | 362-5257 | ceo@euro-dutch.com | Templeton Building, Lyford Cay | N-9204 | Dawn E. Goodwin-Davies; Antonius L. Inder-Rienden; Eric Strachan |
| Exmer Partners Limited | 1. Managing Securities | 356-5454 | 356-9432 | drounce@winterbotham.com; kbeneby@winterbotham.com | Marlborough & Queen Streets | N-3026 | Jose Malbran; David Rounce; Juan Manuel Sosa; Francisco Verstraeten |
| Extiber Ltd. | 1. Managing Securities 2. Advising on Securities | 698-0390 | 698-0391 | Nassau@extiber.com; wjc@extiber.com | Building #7 Caves Village, West Bay Street | SP-62238 | Nathan Adderley; Walter Christen |



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| FAM Fund & Asset Management Ltd. | 1. Managing Securities 2. Advising on Securities | 394-4182 | 394-4183 | contact@apms-ltd.com | Halisbury Commercial Centre, Suite #2, Village Road North | SS - 19689 | Zakiya Butler; Tamara Bain |
| FC Capital Investments Ltd. | 1. Managing Securities 2. Advising on Securities | 677-9661 | 356-5875 | leo@fccibahamas.com | Dominion House, 60 Montrose Avenue | SS-19027 | Leo Betschart; Beverly Rahming; Tiffany Jones |
| FG Capital Markets Limited | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 396-4050 | 396-1628 | info@fgcapitalmarkets.com | Family Guardian Corporate Centre, East Bay & Shirley Streets | SS-6232 | Levonne Edgar Moxey; Cardinal McCardy; Stuart Ambrose Kelly; Ashley Reckley; G. Andre White; Sherell Woodside- Conliffe; David Slatter; Kerah Farquharson |
| First Overseas Bank Limited | 1. Dealing in Securities as Principal & Agent | 327-4775 | 327-4776 | info@firstoverseasbank.com;jshedden@firstoverseasbank.com | Office #2, Building #8, Caves Village Professional Centre, West Bay Street | CB-11903 | Jorge Horacio Shedden; Carlos Patricio Walton |
| FirstCaribbean International Bank (Bahamas) Limited | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | 325-7384 | 323-1087 | sherrylyn.bastian@firstcaribbeanbank.com | Caves Village, Building #8, Office #2, West Bay St., Nassau | N-3221 | Sean Blyden; Ianthe Moxey; Randy Taylor; Marie Rodland- Allen; Gina MacKenzie |



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| Fitpart Fund Administration Services Ltd. | 1. Managing Securities 2. Advising on Securities | 356-2340 | 356-3470 | bethell@fitpart.bs | Bahamas Financial Centre, Shirley & Charlotte Streets | CB-13515 | Fernando Antonio Prado; Indira Ferguson |
| FK Capital Management Ltd. | 1. Managing Securities 2. Advising on Securities | 362-4145 | 362-4145 | efinkler@fkcapitalmanagement.com; contact@caystonesolutions.com | Lyford Financial Centre #2, Lyford Cay | SP-64283 | Jorge Braverman; Eduardo Braverman; Wendy Warren |
| FxPro Global Markets Ltd. | 1. Dealing in Securities as Principal & Agent | 362-5333 | 362-5333 | support@fxpro.com | Lyford Cay, West Bay Street | N-7776 | Casandra Eileen Johnson; Charalambos Psimoliphitis |
| Gabarit International Ltd. | 1. Managing Securities 2. Advising on Securities | 636-1292 | 636-1292 | xdelattre@gabaritmanagement.com | Caprice 5 West Bay Street | AP-59223 Slot # 623 | Xavier Delattre; Jean-Pierre Ribes; Endric Deleveaux |
| Galed Asset Management Ltd. | 1. Managing Securities | 325-4510 | 326-2151 | galed@leadingservices.net | 2nd Terr. West Centreville | N-7755 | Olivier Chaponnier; Indira Ferguson |
| GEM Global Equities Management S.A. | 1. Managing Securities 2. Advising on Securities | 362-6015 | 362-5257 | ceo@euro-dutch.com | Templeton Building, West Bay Street | N-9204 | Anthony L-M. Inder-Rieden; Eric Strachan |
| Gems Management Limited | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 326-1905 | 326-3839 | cedric.carroll@gemsadvisors.com | Centreville House, 2nd Terrace West Centreville | CB-12809 | Cedric Carroll; Wendy Warren |



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| GL Capital Ltd. | 1. Managing Securities 2. Advising on Securities | 397-6500 | 398-6501 | pgalvao@gholdings.com.br | 2nd Floor Goodman's Bay Corporate Centre, West Bay Street | SP-61567 | Paulo Sergio Filho; Indira Ferguson |
| Global Advisors Partners Ltd. | 1. Managing Securities 2. Advising on Securities | 323-1622 | 677-6936 | ivano@globalnassau.com | 3rd Floor Coin of the Realm Building Charlotte Street | N-9471 | Ivano Alliata; Alexander Vancoff; Edgar Seligman; |
| Global Private Portfolio Management Ltd. | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | 327-1097 | 327-1070 | HenioGPPM@coralwave.com | Suite 232, 2nd Floor, Island Lane Building, Olde Towne, Sandyport | N-4487 | Henry A. Podlewski; Micheal I. Slack; Elsworth Moss; Nathan Adderley |
| GMP Securities Emerging Markets Corp. | 1. Arranging Deals. 2. Advising on Securities | (416) 367-8600 | (416) 943- 6160 | genem@gmpsecurities.com | c/o Lennox Paton Corporate Services Ltd. Bayside Executive Park, Building 3, West Bay Street and Blake Road | N-4875 | Gene McBurney; Endric Deleveaux |
| Goldensheikh Overseas Limited | 1. Managing Securities 2. Advising on Securities | 327-0689 | 327-0696 | gsoslimited@gmail.com | 202 Church Street, Nassau | N-3205 | Riccardo Sigon; Latonia Symonette-Tinker |



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| Name | Categories | Phone | Fax | Email | Address | P. O. Box | Registered Personnel |
|---|---|----------|----------|---|---|------------|---|
| Gonet Bank & Trust Limited | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | 362-5406 | 362-5405 | phammerer@bankgonet.com | Offices at Old Fort Bay, West Bay St. | SP-61302 | Pascal Hammerer; Reniskha Missick; Raquel Jacqueline Duncombe; James French; Kevin Price; Ingrid Taylor |
| Green Cay Private Client Ltd. | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 362-6400 | 362-6402 | jb@greencay.com.bs | Lyford Cay Drive | N-7776 | Jane Marie Siebels; Joseph Byrne; Wendy Warren |
| Holdun Family Office (Bahamas) Limited (formerly Holdun Investment Partners Inc.) | 1. Managing Securities | 356-5454 | 356-9432 | drounce@winterbotham.com;bdunn@holdun.com | Winterbotham Place Marlborough & Queen Streets | N-3026 | Brendan Holt Dunn; David Rounce |
| Holowesko Advisors Ltd. | 1. Managing Securities 2. Advising on Securities | 362-7800 | 362-6733 | compliance@holoweskopartners.com | Shipston House, West Bay Street, Lyford Cay | N-7776(78) | Richard Farrington; Mark Holowesko; Gregory Cleare; Karen Zyp |
| Holowesko Partners Ltd. | 1. Managing Securities 2. Advising on Securities | 362-7800 | 362-6733 | compliance@holoweskopartners.com | Shipston House, West Bay Street, Lyford Cay | N-7776(78) | Mark Holowesko; Gregory Cleare; Karen Zyp; Richard S. Farrington |
| Huber Management Ltd. | 1. Managing Securities 2. Advising on Securities | 323-7585 | 323-7284 | bh@huberint.com | 1st Floor ,Charlotte House, Shirley & Charlotte Streets | N-529 | Bernard Huber; Richard Coulson |



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Registrants as at 31 August 2017

| Name | Categories | Phone | Fax | Email | Address | P. O. Box | Registered Personnel |
|--|--|----------|----------|--------------------------------|--|-----------|---|
| Independent Advisory Services Ltd. | 1. Managing Securities 2. Advising on Securities | 327-6057 | 327-6058 | ndias@inadservices.com | Lagoon Court Suite 215, Olde Town Mall, Sandyport | SP-63924 | Adolfo F. Miranda; Natalee Dias; Beat Wernli |
| Investar Securities Ltd. | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 326-1390 | 326-1389 | kburrows@ivstar.com | 601 East Bay Street | SS-19086 | Kevin Burows; Hillary Deveaux; Paul Major; Omar Sands |
| J. Safra Sarasin Asset Management (Bahamas) Ltd. | 1. Managing Securities 2. Advising on Securities | 601-6400 | 601-6401 | israel.borba@jsafrasarasin.com | Suite 103-B, Saffrey Square Building, Bay Street & Bank Lane | CB-10988 | Daniel Kamkhaji; Lianne Johnson |
| Jefferson Capital Limited (formerly WMG Management Ltd.) | 1. Managing Securities 2. Advising on Securities | 502-7020 | 393-5002 | info@genesishfundservices.com | 5th Floor 308 East Bay Street | N-9058 | Firdavskhon Shakhidi; Jennifer Wells; Khofiz Shakhidi |



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Registrants as at 31 August 2017

| Name | Categories | Phone | Fax | Email | Address | P. O. Box | Registered Personnel |
|--|--|----------|----------|---|---|-----------|---|
| Julius Baer Bank & Trust (Bahamas) Limited | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 394-9100 | 394-0212 | rochelle.rolle@juliusbaer.com | Ocean Centre, Montague Foreshore | N-4890 | Rochelle Rolle; Patrick Feuz; Patrick Guye-Bergeret; Sharon Lafleur-Stuart; Aneka Rolle; Anna Zywolek-Greene; Latoya Mcphee-Paul; Orazio Defilippis; Valentin Sevilla; Frederico Riege; Gregory Schueller; Khalila Tsavousos-Duncombe; Shelly Ward; Pablo Nahmias |
| KP Investment Advisors Ltd. | 1. Managing Securities 2. Advising on Securities | 394-4182 | 394-4183 | contact@apms-ltd.com;tamara.bain@apms-ltd.com | Halsbury Commercial Centre, Village Road | SS-19689 | Marcel Ott; Pierre M. Monnard; Tamara Bain |
| Leighton Global Advisors Ltd. | 1. Managing Securities 2. Advising on Securities | 356-5454 | 356-9432 | ihoooper@winterbotham.com | Winterbotham Place, Marlborough & Queen Streets | N-3026 | David Rounce; Miguel Sulichan |
| Leno Corporate Services Limited | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 396-3225 | 396-3249 | slongley@lenocorporate.com | 2nd Floor Pineapple Place | N-8339 | Sean Longley; Khalil Braithwaite; Tricetta Small; Julian Bostwick |
| Lighthouse Asset Management Ltd. | 1. Managing Securities 2. Advising on Securities | 601-5242 | 601-5243 | rgd@lighthouse-am.com | Offices at Old Fort Bay, Building 4, Lyford Cay | N-7776 | Riccardo Romani; Rosella Carmela Grilli-Dack; Walter Christen |



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Registrants as at 31 August 2017

| Name | Categories | Phone | Fax | Email | Address | P. O. Box | Registered Personnel |
|--|--|----------|----------|--|---|-----------|---|
| LOM Financial (Bahamas) Limited (formerly LOM Stockbrokers International Ltd.) | 1. Dealing in Securities as Agent 2. Advising on Securities | 327-5100 | 327-5101 | craig.lines@lom.com | Building 4 Caves Village , West Bay Street | AB-12762 | Craig Lines; Semoy Scully; Cheryl Watts |
| Lombard Odier & Cie (Bahamas) Limited | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 302-2100 | 302-2101 | n.horton@lombardodier.com | Goodman's Bay Corporate Centre, West Bay Street & Seaview Drive | N-4938 | Niekia Horton; Rosemary Barrett ; Maurice Chiacchiari; Claudio Godenzi; Renaud Vielfaure; Herve Felli; |
| LT Green Capital Investment Limited | 1. Managing Securities 2. Advising on Securities | 5027010 | 502-7010 | trobenson@cfal.com | 3rd Floor Bayview House, #308 East Bay Street | CB-12407 | Edson Massaharu Ito; Indira Ferguson; Joaquin Cascallar |
| Lydda Capital Ltd. | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 502-7010 | 502-7010 | info@cfal.com | 3rd Floor Bayview House, #308 East Bay Street | CB-12407 | Anthony Ferguson; Antoine Bastian; Wendy Warren |
| 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 | 362-7000 | 362-7007 | compliance@hottingerbank.bs;portia.smith@lyfordbank.bs | Lyford Manor, West Bay Street | CB-13012 | Devaughn Edgcombe; Noelle Scott; Jason Oliver; |



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Registrants as at 31 August 2017

| Name | Categories | Phone | Fax | Email | Address | P. O. Box | Registered Personnel |
|--|---|----------|----------|---|--|-----------|--|
| Macro Bank Limited | 1. Dealing in Securities as Agent 2. Arranging Deals | 327-6418 | 327-6427 | rsimeto@macrobankltd.com | Building 8 Caves Village Professional Centre, West Bay Street | N-4444 | Rosina Simeto; Stella Giani |
| Magellan Securities Limited | 1. Managing Securities 2. Advising on Securities | 326-2700 | 326-2710 | bdavidowski@magellansecurities.net | Goodman's Bay Corporate Centre, Suite 261 West Bay Street | CB-13366 | Robert Davidowski; Meredith Miller |
| Magnum Global Advisors Ltd. | 1. Managing Securities | 394-4182 | 394-4183 | contact@apms-ltd.com;pimo@apms-ltd.com | Halsbury Commercial Centre, Village Road | SS-19689 | Marcel Ott; Pierre M. Monnard; Tamara Bain |
| Metropolitan Bank (Bahamas) Limited | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals in Securities | 677-1925 | 394-2142 | john.lawrence@metrobankbahamas.com | Suite 700 2nd Floor, New Providence Financial Centre, East Bay St. | CR-56766 | John Lawrence; Indrawati Gibson; Ferdinand Fabroa; Mikita Butterfield-Morley; Geneen Riviere |
| Millennium Investment Advisors Ltd. | 1. Managing Securities | 394-4182 | 394-4183 | contact@apms-ltd.com;tamara.bain@apms-ltd.com | Halsbury Commercial Centre, Village Road | SS-19689 | Pierre M. Monnard; Fabrice Carpentier de Caro; Tamara Bain |
| MIP Bahamas Ltd. (formerly known as MIP Global Bahamas Ltd.) | 1. Advising on Securities | 677-6770 | 677-6770 | steve@mipbahamas.com;smackey@mipglobal.com | Unit 8 Professional Centre, Caves Village | CB-10955 | Stephen Mackey; Endric Deleveaux |



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Registrants as at 31 August 2017

| Name | Categories | Phone | Fax | Email | Address | P. O. Box | Registered Personnel |
|---------------------------------------|--|----------|----------|--|---|-----------|--|
| MMG Bank & Trust Ltd. | 1. Dealing in Securities as Agent 2. Managing Securities 3. Advising on Securities | 326-2400 | 322-5567 | laverne.thompson@mmgbank.com | Suite 102 Saffrey Square, Bay Street & Bank Lane | CB-13937 | Laverne Thompson; Lowrell Edgecombe |
| Mont Blanc Asset Management Ltd. | 1. Managing Securities 2. Advising on Securities | 502-7089 | 393-4639 | info@cfal.com | 3rd Floor Bayview House, #308 East Bay Street | CB-12407 | Claudio Schreier; Anthony Ferguston; Indira Ferguson |
| Morgan and Drake Ltd. | 1. Managing Securities 2. Advising on Securities | 502-7010 | 393-4639 | trobenson@cfal.com | 3rd Floor Bayview House, #308 East Bay Street | CB-12407 | Nicholas Wright; Andrea Ferraroni |
| Nordica Investment Management Limited | 1. Advising on Securities | 322-5448 | 325-8445 | info@nordicamanagement.com | Suite 205A Saffrey Square, Bay Street & Bank Lane | N-9934 | Daniel Hedkrok; Anna Hedkrok |
| Octogone Fund Management Limited | 1. Managing Securities 2. Advising on Securities | 676-8120 | 362-4996 | rcm@octogone.com.bs | No. 3 Offices Old Fort Bay | SP-63157 | R. Clive Moore; Cindy Thompson |
| Old Fort Financial | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 362-6900 | 362-6901 | shameka.fernander@oldfortfinancial.com | Offices at Old Fort Bay Building #4, Western Road | SP-63771 | Robert P. Jensen; Shameka Fernander; Laterio Culmer |
| Omni Corporate Services Ltd. | 1. Managing Securities 2. Advising on Securities | 326-0071 | 326-0072 | fmott@ocsbahamas.com | #22 Lot 39 South Westridge | SP-63143 | Felicia Mott-Smith; Lynden Maycock |



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Registrants as at 31 August 2017

| Name | Categories | Phone | Fax | Email | Address | P. O. Box | Registered Personnel |
|-------------------------------|--|----------|----------|---|--|-----------|---|
| Oracle Capital Advisors Ltd. | 1. Dealing in Securities as Agent 2. Managing Securities 3. Advising on Securities | 322-1658 | 322-1658 | mbain@sterling-bahamas.com; oleg.n@orcap-group.com | Saffrey Square, Bank Lane and Bay Street | N-9934 | Oleg Nikityuk; Michelle Bain |
| Pacifico Global Advisors Ltd. | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 698-0362 | 698-0367 | info@pacifico-ltd.com;tamara.bain@apms-ltd.com | 2nd Floor Royal Star House, JFK Drive | SS-19371 | Eliano Tamburini; Arturo Klein; Luca Lanciano; Candice McPhee |
| Pebble Global Advisors Ltd. | 1. Managing Securities | 394-0128 | 394-4183 | contact@apms-ltd.com; tamara.bain@apms-ltd.com | Halsbury Commercial Centre | SS-19689 | Pierre Moncheur de Rieudotte; Tamara Bain |
| Pictet Bank & Trust Limited | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 302-2222 | 327-6610 | jmezulanik@pictet.com | Bayside Executive Park, West Bay Street & Blake Road | N-4837 | Gregoire Pictet; Janique Duvalier; Jan Mezulanik; Erich Messmer; David Ramirez Diaz; Anthony Barrow; Theresa Bastian; Jeremy Stuby; Tamica Rolle; Isabelle Fiaux; Pierre Colle; Donna Storr; Miriam Scott; Jose Suarez; Karol Czartoryski; Carlos Alberto De La Torre |



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Registrants as at 31 August 2017

| Name | Categories | Phone | Fax | Email | Address | P. O. Box | Registered Personnel |
|--|---|----------|----------|---|---|--------------|---|
| PNC Asset Management Ltd. | 1. Advising on Securities | 322-4579 | 325-8445 | acole@sterling-bahamas.com; mbain@sterling-bahamas.com; info@sterling-bahamas.com | 2nd Floor Suite 205A, Saffery Square Building, Bank Lane and Bay Street, Nassau | N-9934 | Alan Edward Cole; Elena Emanuela Prandoni; Michelle Bain |
| Private Investment Bank Limited | 1. Dealing in Securities as Agent | 302-5950 | 302-5974 | pibbank@pib.bs; pibl.general-management@pib.bs | Devonshire House, Queen Street | N-3918 | Duhiza Swaby- Smith |
| Providence Advisors Limited | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | 328-7115 | 328-7129 | kenwood.kerr@providenceadvisors.net | 3rd Floor, Goodman's Bay Corporate Centre | AP-59223-409 | Kenwood N. Kerr; Carrol E. Burrows; Monique N. Cooper; Wendy Warren |
| RBC Dominion Securities (Global) Limited | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | 702-5950 | 702-5959 | mario.smith@rbc.com;sophia.mckenzie@rbc.com;andrew.mccartney@rbc.com | Lyford Manor, Lyford Cay | N-3234 | John R. Bond; Andrew R. McCartney; Sophia E. McKenzie; Carol D. Newbold; Michael Unwin; Mario Smith |
| RIA Company Ltd. | 1. Managing Securities | 356-5454 | 356-9432 | baroetavena@riacoltd.com;kbeneby@winterbotham.com;wfs@winterbotham.com | Winterbotham Place, Malborough & Queen Streets | N-3026 | Alejandro Luis Barroetavena |



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Registrants as at 31 August 2017

| Name | Categories | Phone | Fax | Email | Address | P. O. Box | Registered Personnel |
|--|---|----------|----------|--|---|-----------|---|
| Royal Fidelity Merchant Bank & Trust Limited | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 356-9801 | 326-3000 | michael.anderson@royalfidelity.com | Fidelity Financial Centre, 51 Frederick Street | N-4853 | Michael Anderson; Cleora Farquharson; Joseph James Euteneuner; Paulette Lozaïque; Tishrea Grey; Karen Major; Spencer Von Dean; Belinda Payne; Candice Forbes; Quentin Gibson; Janeen Bethel |
| RQSI Limited | 1. Managing Securities 2. Advising on Securities | 502-7020 | 393-5002 | info@genesishfundservices.com;swatson@genesifundservices.com | 5th Floor, 308 East Bay Street | N-9058 | Christopher Wesley Satterfield; Neil Patrick Ramsey; Samantha Watson-Crooks |
| Scotiabank (Bahamas) Limited | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | 502-1995 | 356-1668 | maureen.wallace@bns.scotiabank.com | Rawson Square, Bay Street, Nassau, Bahamas | N-7518 | Deno Moss; Marcia Laramore; Lisa Taylor; Penny Ferguson; Sean Albert; Tamara Van Breugel; Maureen Wallace |
| Scotiabank Caribbean Treasury Limited | 1. Managing Securities 2. Advising on Securities | 302-2953 | 328-7432 | donna.gardiner@scotiabank.com; christine.archer@scotiabank.com | Suite 300, British Colonial Hilton Centre of Commerce, 1 Bay Street | N-7518 | Wayne Howard; Christine Archer |



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Registrants as at 31 August 2017

| Name | Categories | Phone | Fax | Email | Address | P. O. Box | Registered Personnel |
|---|--|----------|----------|---|--|-----------|---|
| Seacapital Ltd. | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 327-6953 | 356-0615 | cesar@seacapitalinvestments.com | Compass Point Suite #2 | CB-13027 | Cesar Dominguez; Reece Chipman; Francina Horton |
| Seton Securities International Ltd | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 362-6390 | 362-6391 | jay@setonsecuritiesinternational.com | Lyford Cay House 1st Floor, Lyford Cay | CB-13041 | Jay Gotlieb; Endric Deleveaux |
| Sinclair Asset Management Ltd. | 1. Managing Securities 2. Advising on Securities | 327-2668 | 327-2668 | mtaylor@caystonesolutions.com; iferguson@caystonesolutions.com | 2nd Floor, Goodman's Bay Corporate Centre | SP-61567 | Joel Johnson; Indira Ferguson; Jean-Marc Wagner |
| SIS Solutions Ltd. (formerly Swiss Investment Solutions (SIS) Ltd.) | 1. Managing Securities | 601-5345 | 601-5340 | keva.mcphee@sis-solutions-ltd.com | Devonshire House, Queen Street | SP-64111 | Keva Mcphee; Shacara Wells |
| St. Matthew Capital Ltd. | 1. Managing Securities 2. Advising on Securities | 502-7020 | 393-4639 | aferguson@cfal.com | 3rd Floor Bayview House, #308 East Bay Street | CB-12407 | Antoine Bastian; Anthony Ferguson; Samantha Watson-Crooks |



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Registrants as at 31 August 2017

| Name | Categories | Phone | Fax | Email | Address | P. O. Box | Registered Personnel |
|--------------------------------|---|----------|----------|--------------------------------|---|-----------|--|
| Sterling Financial Group Inc. | 1. Managing Securities 2. Advising on Securities | 677-1900 | 677-1910 | info@sterlingbahamas.com | New Providence Financial Centre, East Bay Street | N-1812 | David Kosoy; Tangela Russell; Stephen Tiller; Sunita Maharaj-Bonamy |
| Stone Tower Management Ltd. | 1. Managing Securities | 326-2150 | 326-2151 | stonetower@leadingservices.net | 2nd Terrace West, Centreville | N-7755 | Olivier Chaponnier; Wendy Warren |
| Swan Capital Ltd. | 1. Managing Securities | 603-2000 | 603-2001 | jm@swancap.net | Old Fort Bay Town Centre Unit 7, Building 2 | SS-6333 | Maxime Rambaud; Gine Major |
| Swiss America Securities, Ltd. | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | 328-7800 | 324-6963 | info@suretrader.com | Suite # 17, Elizabeth on Bay Plaza, Elizabeth Ave. & Bay Street | N-8340 | Guy Gentile; Tiffany Donaldson; Drameko Moore |
| Swiss Atlantic S.A. | 1. Managing Securities 2. Advising on Securities | 356-6430 | 322-6694 | sasa@leadingservices.net | 2nd Terrace West, Centreville | N-10567 | Alisa Richardson; Olivier Chaponnier; Wendy Warren; Peter Wirth |
| Syz Bank (Bahamas) Ltd | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 702-1400 | 327-6629 | jillian.ferguson@syzbank.com | Building No. 2 Old Fort Bay, Windsor Field Road | N-1089 | Daniel Brunner; Venetia Ruth Dekle-Maura; Jacqueline Townend; Frank Negri; Keitra Pratt; Jillian Ferguson; Werner Gruner |



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Registrants as at 31 August 2017

| Name | Categories | Phone | Fax | Email | Address | P. O. Box | Registered Personnel |
|--|---|----------|----------|--|---|-----------|---|
| Templeton Global Advisors Limited | 1. Managing Securities 2. Advising on Securities | 302-3691 | 362-5281 | tsands@templeton.com; mdagrosa@franklintempleton.ca | Templeton House, Lyford Cay | N-7759 | James Harper; Cynthia Sweeting; Edgerton Scott III; Norman Boersma; Peter Palleija; Heather Arnold; Herbert Arnett Jr; Christopher Peel |
| The Bank of Nova Scotia Trust Company (Bah) Ltd. | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | 502-5700 | 326-0991 | derek.pattison@scotiabank.com;glennette.reckley@scotiawealth.com | Scotia House, 404 East Bay Street | N-3016 | Shamini Symonette-Gibson; Gregory Walker; Glenette Reckley; Derek Pattison; Jillian Dames |
| The Private Trust Corporation Limited | 1. Dealing in Securities as Agent 2. Arranging Deals | 397-8000 | 326-8388 | acj@privatetrustco.com | Charlotte House, Shirley & Charlotte Streets | N-65 | Adrian Crosbie-Jones; Bruno Roberts; Charlene Y. Storr; Monique Bowe |
| The Street Trader Limited | 1. Dealing in Securities as Agent | 324-6963 | | hubleymark@hotmail.com | Lagoon Court, Sandypoint | EE-17971 | Edward Cooper; Christopher Lunn; Cherrisse Forbes |
| The Winterbotham Trust Company Ltd. | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 356-5454 | 356-9432 | nassau@winterbotham.com | Winterbotham Place, Marlborough & Queen Streets | N-3026 | Ivan G. Hooper; David Rounce; Jessica Thornley-Mitchell |



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Registrants as at 31 August 2017

| Name | Categories | Phone | Fax | Email | Address | P. O. Box | Registered Personnel |
|---|--|--------------------------------|---------------|-------------------------|---|-----------|--|
| TigerWit Financial Services Limited | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 376-3226 | 376-3226 | compliance@tigerwit.com | 201 Church Street | SS-19086 | Andrew Rolle |
| Touchstone Advisory Ltd. (formerly deVere Bahamas Inc.) | 1. Advising on Securities | 465-6936 | 328-8008 | dpickstock@gso.com | Unit 1-5 Church Street, Sandy Port Marina Village | N-492 | Benjamin Alderson; Adrian Flambard; Endric Deleveaux |
| TradeZero Inc. | 1. Dealing in Securities as Agent | (954)944-3885 (242)677-0380 | (954)944-3885 | tz@tradezero.com | 402-Building #2 Ocean Place West Bay Street, Cable Beach Nassau, Bahamas | EE-17971 | Antonio Libreros; L.Sydney Saunders; Kay Briggs |
| UCAP Bahamas Limited | 1. Managing Securities 2. Advising on Securities | 362-4589 | 362-6887 | krystal@ucapbh.com | 6 Pineapple Grove, Old Fort Bay | AP-59223 | Clemente Ducasse; Wendy Warren |
| Union Bancaire Privee, UBP SA | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 362-4207 | 362-4338 | kip@ubp.ch; edy@ubp.ch | 5th Floor Lyford Cay House, West Bay Street | N-7529 | Brenda Powell; Davawn Turner; Van-dyke Saunders; Paul Russell; Peter Butler; Kyosen Mcphee-Young; Ricardo Aizenman |



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Registrants as at 31 August 2017

| Name | Categories | Phone | Fax | Email | Address | P. O. Box | Registered Personnel |
|---|--|----------|----------|---|---|----------------------|--|
| Vauban Asset Management Limited | 1. Managing Securities 2. Advising on Securities | 327-1097 | 327-1084 | hfp@vam.business; Vauban@coralwave.com; JamesVAM@coralwave.com; KishnaVAM@coralwave.com | Suite 232 2nd Floor, The Island Lane Building, West Bay Street | SP-61708 | James Burrows; Nathan Adderley; Hubert Francois-Poncet |
| Weiser Asset Management Ltd. | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | 698-6600 | 698-6601 | info@weiser.com.bs; terah.rahming@weiser.com.bs | Offices at Old Fort Bay Building #9, Pineapple Place Lyford Cay | AP-59223 Slot 501 | William Lowry; Terah Rahming |
| Wells Capital Management Incorporated | 1. Managing Securities 2. Advising on Securities | 362-3082 | 362-6950 | kerri.singer@wellsfargo.com; christine.donahue@wellsfargo.com | Lyford Manor, Western Road | N-7776 | Dale Winner; Christine Donahue |
| Wincrest Capital Ltd. | 1. Arranging Deals. 2. Managing Securities 3. Advising on Securities | 603-2015 | 603-2019 | bb@wincrest.capital; ca@wincrest.capital | #7 Old Fort Bay, Lyford Cay | N-7776 | Wendy Warren; Barbara Ann Bernard; Connie Albury |
| Windermere Corporate Management Limited | 1. Managing Securities | 677-1920 | 394-8326 | john@windermerecm.com | Suite 1000, New Providence Financial Centre, East Bay Street | CR-56766 | John Lawrence; Millicent Clarke |
| WMCG Ltd. | 1. Managing Securities | 394-4182 | 394-4183 | tamara.bain@apms-ltd.com | Village Road North | SS-19689 | Charles de la Baume; Tamara Bain |



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Registrants as at 31 August 2017

| Name | Categories | Phone | Fax | Email | Address | P. O. Box | Registered Personnel |
|------------------|---|----------|----------|--|-------------------|-----------|---|
| XL Partners Ltd. | 1. Managing Securities 2. Advising on Securities | 322-2060 | 322-2114 | mitsuo@xlpartnersltd.com; lmaycock@aosebhamas.com | 21 Rosetta Street | SS-5212 | Garcia Whyms; Dave Smith; Mitsuo Alves; Lynden Maycock |