

Securities Industry Act, 2011



Registrants as at 30 September 2020

| LICENSEE | CATEGORIES | CONTACT PERSON | EMAIL | ADDRESS | P.O. BOX | Registered Representatives | | | | |
|--|---|-------------------------|---|--|----------|----------------------------|----------------------------|---|--|----------------------------------|
| | | | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP |
| A.S.P.I Bahamas Ltd. (formerly R.I.A.F. Ltd) | 1. Managing Securities 2. Advising on Securities | Carole Sassoon | methompson@aspibahamas.com | Ground Floor Ocean Centre, East Bay Street | SP-61913 | Carole Sassoon | Magnal Thompson | N/A | N/A | N/A |
| Abaco Global Advisors Ltd. | 1. Managing Securities | Oliver Notz | onotz@abaco-ltd.com; info@abaco-ltd.com; mknowles@abaco-ltd.com | 3B One Sandypport Plaza West Bay Street | SP-64168 | Oliver Notz | Michele Knowles-Doura | N/A | N/A | Oliver Notz |
| Acetop Global Markets Limited | 1. Dealing in Securities as Agent or Principal 2. Arranging Deals | Fareda Sands | fareda@acetop.com; marcia@acetop.com | Building 3, Office A, Caves Village Nassau Bahamas | N/A | Fareda Sands | Marcia Meeres | Mark Gemma | N/A | N/A |
| ActivTrades Corp. | 1. Dealing in Securities as Agent or Principal 2. Advising on Securities | Alessandro Giuseppe Gho | agho@activtrades.com; cmorley@activtrades.com; scordice@activtrades.com | 209/210 Church Street, Sandypport Plaza, Nassau, Bahamas | SP-64388 | Alessandro Giuseppe Gho | Clesha Morley | Andrea Draghi | N/A | N/A |
| Aguila Consultancy Ltd. | 1. Advising on Securities | Aldo Mazzella | aldo.mazzella@niswal.com; mbain@sterling-bahamas.com | Suite 205, Saffrey Square, Bay Street, Nassau, Bahamas | N/A | Aldo Mazzella | Michelle Bain | N/A | Aldo Mazzella | N/A |
| Akelius Invest Ltd. | 1. Managing Securities | Demetrius Syllouris | demetris.syllouris@akeliusinvest.com; sandra.gilbert@akliusinvest.com | 1100 East Bay Street, Abaco, Bahamas | AB-20415 | Demetrius Syllouris | Sandra Gilbert | N/A | N/A | Demetrius Syllouris |
| Alliance Investment Management Ltd. | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Advising on Securities | Julian Brown | info@allianceinvest.com; aelcock@allianceinvest.com; jbrown@allianceinvest.com; thenewlowerlong@gmail.com | Carmichael Commercial Centre, 2nd Floor Suite 201, Carmichael Road | SS-19051 | Julian Brown | Ruth Bowe-Darville | Julian Brown; Avril Elcock; Nolan Johnson | Julian Brown | Nolan Johnson |
| Alternative Asset Advisors S.A. | 1. Managing Securities 2. Advising on Securities | Jillian Ferguson | jillian.ferguson@syzgroup.com; | Old Fort Bay Town Centre, Building 2, Windsor Field Road | N-1089 | Jillian Ferguson | Tiffany Bullard | N/A | Keitra Pratt | Keitra Pratt Pascal Cristiano |
| Alternative Investment Solutions Ltd. | 1. Dealing in Securities as Agent only 2. Arranging deals in securities 3. Managing securities 4. Advising on Securities | Samir Lakkis | info@aisfg.com; samir.lakkis@aisfg.com; francisca.delva@aisfg.com; tamekia.stubbs@aisfg.com | 5 Pineapple Grove, Lyford Cay | SP-64284 | Samir Lakkis | Francisca Anthonicia Delva | Samir Lakkis | Tamekia Stubbs Julian Benichou Sergio Estes Vidal Marc Elongman; Lea Dana; Nassiv Hacham; Hector Gomez; Markus Wiessler; Pierre Darquie; Marie Ujueta; Rogelio Velasquez Baptiste Saliva; Miguel Solis; Pablo Costa; Richard Allford | N/A |

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| Amber Bank & Trust Ltd. | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Vincenzo Piantedosi | vpiantedosi@sriob.com; admin@ambergrouphdgs.net; katriena.marshall@amberbank.com | Caves Village, Building #2, West Bay Street, Nassau, Bahamas | N-3917 | Vincenzo Piantedosi | Katreina Marshall | Mateo Raimondo Julian Adderley Andrea Albanese | Mateo Raimondo Julian Adderley Andrea Albanese | Mateo Raimondo Julian Adderley Andrea Albanese |
| Analytical Research Advisors, LLC | 1. Advising on Securities | Jean-Stephane Marie Lods | slods@analyticalresearch.com; info@sterling-bahamas.com; mbain@sterling-bahamas.com | 205A Saffrey Square, Bank Lane and Bay Street | N-9934 | Jean-Stephane Marie Lods | Michelle Bain | N/A | Fernando Prado | N/A |
| Andbank (Bahamas) Limited | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities | Shulamit Garburg | shulamit.garburg@andbank.com; info.bahamas@andbank.com; manel.martinez@andbank.bs | One Montague Place, East Bay Street | AP-59223 | Shulamit Garburg | Natasha Symonette | Ginarene Chuno | George Maillis Jamaal Wright | N/A |
| Ansbacher (Bahamas) Limited | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Andrew Alexiou | info@ansbacher.bs; andrew.alexiou@ansbacher.bs; tatjana.jancic-turner@ansbacher.bs | 4th Floor Colina Imperial Building, #308 East Bay Street | N-7768 | Andrew Alexiou | Tatjana Jancic-Turner | N/A | N/A | N/A |
| Arbital Securities Ltd. | 1. Dealing in Securities as Agent or Principal 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Andre Souza | nassau@arbital.com; andre@arbital.com; iferguson@caystone.com | Offices at Old Fort Bldg No. 4, Old Fort Bay, Lyford Cay | SP-64093 | Andre Souza | Indira Ferguson | Andre Souza; Alexander Iferenta; Shinique Rolle | Andre Souza | Andre Souza; Alexander Iferenta; Shinique Rolle |
| Ask Capital Management Ltd. | 1. Managing Securities | James Hoar | james.hoar@clairmonttrust.com; wanda.maycock@clairmonttrust.com | Clairmont Trust Company Limited Pineapple Drive #5 Lyford Cay | SP-642874 | James Hoar | Wanda Maycock | N/A | N/A | Fouad Akkari; James Hoar; Daniel Magdolen |
| Audaci Capital Limited | 1. Arranging Deals 2. Managing Securities 3. Advising on Securities | Damian Forbes | dforbes@audacicapital.com; info@audacicapital.com; iferguson@caystone.com | Albany Financial Center, South Ocean Boulevard | SP-60486 | Damian Forbes | Indira Ferguson | Damian Forbes | Damian Forbes | N/A |
| Axia Partners | 1. Managing Securities | Zakiya Butler | jennifer.rolle-cox@apms-ltd.com; contact@apms-ltd.com; iferguson@caystone.com | Halisbury Commercial Centre, Suite #2, Village Road North | SS-19689 | Zakiya Butler | Indira Ferguson | N/A | Zakiya Butler | Zakiya Butler |

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| Axmin Capital Ltd. | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Ernesto Fridman Pardo | efridman@fridman.com.uy; mlste@axmcapital.com; KBeneby@winterbotham.com | Winterbotham Place, Marlborough & Queen Sts. | N-3026 | Ernesto Fridman Pardo | Marcelo A. Uste | Guillermo Baeza | Guillermo Baeza; Ernesto Fridman Pardo | N/A |
| Axxets Management Inc. | 1. Managing Securities 2. Advising on Securities | Anthony Ferguson | info@cfal.com; aferguson@cfal.com; padderley@cfal.com | 308 East Bay Street | CB-12407 | Anthony Ferguson | Prescott Adderley | N/A | Anthony Ferguson; Yair Esrubilsky | Anthony Ferguson; Yair Esrubilsky |
| Bahamas Central Securities Depository (BCSD) | Clearing Facility | Melissa Campbell Alson Ferguson | mcampbell@bahamascsd.com; aferguson@bahamascsd.com; info@bahamascsd.com; ltinker@thebayshoregroup.org | British Colonial Hotel Hilton #202 | N-9307 | Nerika Burrows | Latonia Symonette-Tinker | N/A | N/A | N/A |
| Bahamas International Securities Exchange (BISX) | Exchange | Holland Grant Keith Davies | hgrant@bisxbahamas.com; kdavies@bisxbahamas.com; info@bisxbahamas.com | Suite 201, Fort Nassau Centre, British Colonial Hilton, Bay Street | EE-15672 | Keith Davies | Holland Grant | N/A | N/A | N/A |
| Bahamas Securities (1987) Limited | 1. Advising on Securities | George C. Culmer | cculmer@bdobahamas.com; mculmer@bdobahamas.com | Gresham House' Charlotte Street South | N-10144 | George C. Culmer | Myles Culmer | N/A | George C. Culmer; Myles J. Culmer | N/A |
| Banca del Sempione (Overseas) Ltd. | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities | Neil Baker | beat.meier@sempione-overseas.com; neil.baker@sempione-overseas.com; bsoverseas@sempione-overseas.com | 3rd Floor George House, George Street | N-8159 | (Vacant) | Neil Baker | Edrick Cleare; Stanley Coakley; Michele Piantoni | Stefano Donati | Simone Bertoldo; Stefano Donati |
| Banco Santander International SA | 1. Dealing in Securities as Principle & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Alfonso Coloma Bello | acoloma@bpe-gruposantander.com; tjohnson@pb-santander.com; trussell@bpe-gruposantander.com | 3rd Floor Goodman's Bay Corporate Centre, West Bay Street | N-1682 | Alfonso Coloma Bello | (Vacant) | Alfonso Coloma Bello | Alfonso Coloma Bello | Alfonso Coloma Bello |
| Bank J. Safra Sarasin (Bahamas) Ltd. | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | Adrian Zadeh | adrian.zadeh@jsafrasarasin.com; Bernard.Young@jsafrasarasin.com | 204 Church Street, Olde Towne, Sandypport, West Bay Street | CB-10988 | Adrian Zadeh | Bernard Young | Yantoni Zeitoune; Joao Franco | Adrian Zadeh | Adrian Zadeh Daniel Saralegui |
| Bank of the Bahamas Limited | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | Kenrick Brathwaite | kenrick.brathwaite@bankbahamas.com; wendell.gardiner@bankbahamas.com; laura.williams@bankbahamas.com | Cloughton House, Shirley & Charlotte Streets | N-7118 | Kenrick Brathwaite | Wendell A. Gardiner | N/A | N/A | N/A |

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| BDI Limited (formerly Bearbull Degroof International Limited) | 1. Managing Securities 2. Advising on Securities | Nicole M. Dupuy | ndupuy@bdilimited.com; cmotier@bdilimited.com | Bougainvillea Lyford Drive, Lyford Cay, Nassau, Bahamas | N-4287 | Nicole M. Dupuy | Monique Knowles | N/A | Nicole M. Dupuy | Nicole M. Dupuy |
| Benchmark Advisors (Bahamas) Ltd. | 1. Deal in Securities as Agent or Principal 2. Advising on Securities | Kevin McPhee Avril Elcock-Major | KMcphee@allianceinvest.com; aelcock@allianceinvest.com; thenewlowerlong@gmail.com | Gresham House, Charlotte Street North | N-10144 | Avril Elcock-Major | Ruth Bowe-Darville | Nolan Johnson | Nolan Johnson | N/A |
| Blackwell Global Investments Limited | 1. Dealing in Securities as Agent or Principal, including underwriting 2. Arranging Deals 3. Managing Securities | Pauline Seymour; Kensil Johnson | p_e_seymour@yahoo.com; kensil.johnson@gmail.com | Sea Sky Lane, Sandypport, Nassau, Bahamas | N/A | Pauline Seymour | Kensil Johnson | Shiwei Kwong | N/A | Shiwei Kwong |
| Black Isle Management Services Ltd. | 1. Managing Securities 2. Advising on Securities | Ian Black | ian@blackislemanagement.com chamika@blackislemanagement.com | UBS Annex, 2nd Floor, East Bay Street | SS-19501 | Ian Black | Valentino Brown | N/A | Marc-Claudio Muller Ian Black | Bradley Crawley Ian Black Marc-Claudio Muller |
| Blue Line Advisors Ltd. | 1. Managing Securities | Pierre M. E. Monnard | pimo@apms-ltd.com; iferguson@caystone.com, jennifer.rolle-cox@apms-ltd.com; | Halisbury Commercial Centre, Suite #2, Village Road North | SS-19689 | Pierre M. E. Monnard | Indira Ferguson | N/A | N/A | Pierre M. E. Monnard |
| Blue Sea Asset Management Ltd. | 1. Managing Securities 2. Arranging Securities | Anthony Ferguson | Aferguson@cfal.com; mtknowles@cfal.com | 308 East Bay Street | CB-12407 | Anthony Ferguson | Monique Knowles | N/A | Anthony Ferguson | N/A |
| Bluebay Global Advisors Ltd. | 1. Managing Securities 2. Advising on Securities | Roger Landucci | roger@bluebay-ltd.com; IFerguson@caystone.com; jennifer.rolle-cox@apms-ltd.com; | Halisbury Commercial Centre, Suite #2, Village Road North | SS-19689 | Pierre Monnard | Indira Ferguson | N/A | Pierre Monnard | Pierre Monnard |
| Braun & CIE Ltd. | 1. Advising on Securities | Brent Roberts Julian Brown | broberts@bdbahamas.com; jbrown@allianceinvest.com | Charlotte Street South, Gresham House | N-10144 | Julian Brown | Bent Roberts | N/A | N/A | N/A |
| Capital Index (Global) Limited | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals | Anthony Ferguson Prescott Adderley | compliance@capitalindex.com; aferguson@cfal.com; padderley@cfal.com | 208 Church Street, 2nd Floor, Sandypport West Bay Street. Nassau, Bahamas | SS-19086 | Anthony Ferguson | Prescott Adderley | Anthony Ferguson | N/A | N/A |
| Capital Union Bank | 1. Dealing in Securities as Principal or Agent 2. Managing Securities 3. Advising on Securities | Ludavic Chechin-Laurans | lcl@capitalunionbank.com; luciana.silvera@capitalunionbank.com; stanya.stuart@capitalunionbank.com; mikeiko.brown@capitalunionbank.com | CUB Financial Centre; Lyford Cay | AP-59223 | Ludavic Chechin-Laurans | Nicolette Alexis Duncanson | Clement Ducasse; Antoine Lacourt Maxine Barberis | Clement Ducasse; Antoine Lacourt | Clement Ducasse; Antoine Lacourt |
| Capital Vision Limited | 1. Managing Securities 2. Advising on Securities | Anthony Ferguson | aferguson@cfal.com; mtknowles@cfal.com | 308 East Bay Street | CB-12407 | Aurelien Vicart | Monique Knowles | N/A | Aurelien Vicart | Aurelien Vicart |
| Capitor Advisors (Bahamas) Ltd. | 1. Managing Securities 2. Advising on Securities | Gerhardus van Niekerk; Kristy Kemp | kkemp@paradigm-advisor.com | Albany Financial Center, South Ocean Boulevard, Suite 508 | N/A | Gerhardus van Niekerk | Kristy Kemp | N/A | Gerhardus van Niekerk | Gerhardus van Niekerk |

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| | | | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP |
| CBH Bahamas Ltd. | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Dorothy Hilton | dhilton@cbhbank.com; smiller@cbhbank.com; pwilliams@cbhbank.com | CBH House, East Bay Street | N-1724 | Dorothy Hilton | Steven Miller | Shamini Gibson; Jamal Wright; Daniel Baron; Jamaal Farquharson; William Gibson; Ginarenae Chuno | Shamini Gibson; Jamal Wright; Ursula Rolle; Jamaal Farquharson; William Gibson; Ginarenae Chuno; Guillermo Alvarez Santini | Ursula Rolle |
| Colina Financial Advisors Limited (CFAL) | 1. Managing Securities 2. Advising on Securities | Anthony Ferguson | aferguson@cfal.com; info@cfal.com; sthurston@cfal.com; mtknowles@cfal.com | 308 East Bay Street | CB-12407 | Anthony Ferguson | Monique Knowles | N/A | Anthony Ferguson Pamela Musgrove | Anthony Ferguson Pamela Musgrove |
| CFAL Securities Ltd. | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | Anthony Ferguson | aferguson@cfal.com; info@cfal.com; mtknowles@cfal.com | 308 East Bay Street | CB-12407 | Anthony Ferguson | Monique Knowles | Pamela Musgrove; Tiffany Angelique Smith; Jeanelle Christal Francis; Giovannah Evans; Anna Zervos; | Dwayne Swann; Shafegah Duncanson; | N/A |
| CF Group Company Limited | 1. Dealing in Securities as Agent only, including underwriting | Keva Ferguson; Indira Fergsuon | iferguson@caystone.com | Unit 400, Fourth Floor, #1 Bay Street, British Colonial Centre of Commerce | SP-63191 | Keva Ferguson | Indira Ferguson | Sze Ning | N/A | N/A |
| Chariton Capital Ltd. | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | (Vacant) | | 308 East Bay Street, 1st Floor Bayview House. Nassau, Bahamas | CB 12407 | (Vacant) | (Vacant) | (Vacant) | (Vacant) | (Vacant) |
| CIBC Trust Company (Bahamas) Limited | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Perry A Rolle | perry.rolle@cibcfib.com; | 1st Floor Goodman's Bay Corporate Centre, West Bay Street & Seaview Drive | N-3933 | Perry A Rolle | Joan Rahming | Norma Major | N/A | N/A |
| Citco Bank & Trust Company (Bahamas) Limited | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals | Rupert Walle | rwalle@citco.com; ledgcombe@citco.com | One Montaque Place, East Bay Street | N-4906 | Rupert Walle | Lowrell L. A. Edgcombe | Tamar M. Armbrister-Delancey | N/A | N/A |
| Clairmont Advisors Ltd. | 1. Managing Securities 2. Advising on Securities | Benjamin Hein | Benjamin.hein@clairmontwealth.com; Compliance@clairmontwealth.com; clement.penn@clairmontwealth.com | #5 Pineapple Grove, Lyford Cay | SP-64284 | Benjamin Hein | Clement Anthony Penn Jr. | N/A | Benjamin Hein; John Jephson; | John Jephson; Blanca O. Smith |

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| Clairmont Trust Company Limited | 1. Advising on Securities | Miles Evans | fsd@clairmonttrust.com; miles.evans@clairmonttrust.com; reporting@clairmonttrust.com; wanda.maycock@clairmonttrust.com | #5 Pineapple Grove, Lyford Cay | SP-64284 | Miles Evans | Wanda Maycock | N/A | James Hoar; John Jephson; Jaime Stewart | N/A |
| Colonial Pension Services (Bahamas) Limited | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Larry Gibson | Larry.Gibson@atlantichouse.com.bs; desiree.parker@atlantichouse.bs | 2nd Floor Atlantic House, Collins Avenue | SS-6246 | Larry Gibson | Julie Adderley | Kriston Moore | Larry Gibson | Desiree Parker |
| Core Capital Partners Ltd. | 1. Dealing in Securities as Agent 2. Managing Securities 3. Advising on Securities | Heather Bellot-Hazarian | hbh@ccpl.capital; klk@ccpl.capital | Suite 232, Island Traders Building, Sandypport | SS-6836 | Heather Bellot-Hazarian | Kristy Kemp | N/A | Heather Bellot-Hazarian | Heather Bellot-Hazarian |
| Corner Bank (Overseas) Limited | 1. Dealing in Securities as Agent or Principal, Including Underwriting 2. Managing Securities 3. Advising on Securities | Christine Russell | christine.russell@corner.bs; ruch@corner.bs; info@corner.bs; michele.clivio@corner.bs; jennifer.rahming@corner.bs | 1st Floor 308 East Bay Street | N-7134 | Christine Russell | Jennifer Rahming | Davide Sergio Bonetti; Shakema Sweeting | Davide Bonetti; Birgit Ludig-Dridi; Luigi Zizza; Annamarie Garraway | Eirene Gatis-Thronebury; Luigi Zizza |
| Credit Suisse AG, Nassau Branch | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | Ghislane Wilkinson; Peter Waller | ghislane.wilkinson@credit-suisse.com; peter.waller@credit-suisse.com; list.csnbnotice@credit-suisse.com; danish.iqbal@credit-suisse.com | 4th Floor The Financial Centre, Shirley & Charlotte Streets | N-4928 | (Vacant) | Danish Asghar Iqbal | Thomas Markus Karrer; Oliver Turner; Thiago Pereira; Guilherme Bianchi; Rogerio Ribas | Thomas Markus Karrer; Michael Ranson; Flavio Lopes; Cristiano Carvalho De Souza Melo; Douglas Pereira; Carlos D'Alessandro; Martin Kempf; Rogerio Miguez Ribas Junior; Guilherme Bianchi; Leonam Oliveira; Thiago Riberio Barroso Pereira; Oliver Turner | Martin Kempf; Carlos D'Alessandro |
| Credit Suisse Brazil (Bahamas) Limited | 1. Dealing in Securities as Principal & Agent | Vaughn Marvin Gibson | vaughn.gibson@credit-suisse.com | 4th Floor Bahamas Financial Centre, Shirley & Charlotte Streets | N-3241 | Vaughn Marvin Gibson | Application Pending | N/A | N/A | N/A |

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| Crescendo (Bahamas) Ltd. | 1. Managing Securities 2. Advising on Securities | Claude Philip Meier | cm@crescendo-bahamas.com; sb@crescendo-bahamas.com; pklonaris@delaneypartners.com | Western Business Center, Western Road, Nassau, Bahamas | CB-13007 | Claude Philip Meier | Duhiza Taylease S. Smith | N/A | Claude Philip Meier | Claude Philip Meier |
| Dartley Securities Limited | 1. Dealing in Securities as Agent | Dillon Dean | ddean@equitybahamas.com; operations@dartley.com.bs; administrator@dartleybank.com.bs; s.patton@dartley.com.bs | Equity House, Caves Village Plaza, West Bay Street & Blake Road | CB-11838 | Dillon Dean | Sally Patton | (Vacant) | N/A | N/A |
| Delessert Asset Management Ltd. | 1. Managing Securities 2. Advising on Securities | Anthony Ferguson | del-compliance@delessert-am.bs; AFerguson@cfal.com; padderley@cfal.com | 308 East Bay Street | CB-12407 | Anthony Ferguson | Prescott Adderley | N/A | Anthony Ferguson | Anthony Ferguson |
| Deltec Bank & Trust Ltd. | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Odetta Morton | sas@deltecbank.com; odg@deltecbank.com; jrolle@deltecbank.com | Deltec House, Lyford Cay | N-3229 | Odetta Morton | Shelly Cooke | Vasilias Mavros; James Moss; Audra Dean; Richard Heathcote; William Godet; Atul Lele; Christopher Leonard; Vivienne Watts; Robert Turnquest; Janeen Bethel | Marianne Tremblay; Vasilias Mavros; Atul Lele; Christopher Leonard; Vivienne Watts; Marcia Adderley; Giovanni Pirana; Zachary Lyons; Paul Stappard; Patrick Gibson; Theresse Hudson; Hugo Rogers | Stefano Pral; Atul Lele; Christopher Leonard; Vivienne Watts; Marcia Adderley; Robert Turnquest; Giovanni Pirana; Zachary Lyons; Paul Stappard; Patrick Gibson; Theresse Hudson; Hugo Rogers |
| Deltec Investment Advisers Limited | 1. Managing Securities 2. Advising on Securities | Odetta Morton (Pending approval) | sas@deltecbank.com; odg@deltecbank.com; jrolle@deltecbank.com | Deltec House, Lyford Cay | N-3229 | Odetta Morton (Pending approval) | Shelly Cooke | N/A | Marcia Adderley; Christopher Leonard; Vivienne Watts; Robert Turnquest; Hugo Rogers | Vivienne Watts; Marcia Adderley; Christopher Leonard; Robert Turnquest; Theresse Hudson; Hugo Rogers |
| Deltec Securites Ltd. | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. | James Moss | sas@deltecbank.com; odg@deltecbank.com; jrolle@deltecbank.com | Deltec House, Lyford Cay | N-3229 | James Moss | Shelly Cooke | Richard Heathcote; Audra Dean | N/A | N/A |
| Destek Global Limited | 1. Dealing in Securities as Agent or Principal 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Anthony Ferguson | aferguson@cfal.com; padderley@cfal.com | 1st Floor, Bay View House, East Bay Street | CB-12407 | Anthony Ferguson | Prescott Adderley | Anthony Ferguson | Anthony Ferguson | Anthony Ferguson |

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| EFG Bank & Trust (Bahamas) Ltd. | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | Juan Massens | juan.massens@efgbank.com; efgbahamas@efgbank.com; gia.wright@efgbank.com; marie.dorsett@efgbank.com | Goodman's Bay Corporate Centre, 3rd Floor, West Bay Street and Sea View Drive | CB 10956 | Juan Massens | Maria Dorsett | Robert S. Morrison; Jorge Borlandelli; Alain Torchon-Newry; Nicole Leonard; Dorothy Mulders; Gina Williams; Fabrizio Ferrario; Taurel Sands; Katty Ferguson; Nomiki Tsakkos | Jorge Borlandelli; Alain Torchon-Newry; Nicole Leonard; Robert S. Morrison; Taurel Sands; Fabrizio Ferrario; Katty Ferguson | N/A |
| Eightcap Global Limited | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. | Andrew Rolle; Tina Glinton | tina.glinton@eightcap.com; Joel.muphy@eightcap.com | Sea Sky Lane, Sandypoint, Nassau, Bahamas | N/A | Andrew Rolle | Tina Glinton | Joel Murphy | N/A | N/A |
| Elco Securities Limited | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | E. Isaac Collie | isaac@elco-bank.com; derek@elco-bank.com info@elco-bank.com; elcobank@batelnet.bs; | Loyalist Plaza, Don Mackey Boulevard, Marsh Harbour, Abaco | AB-20377 | E. Isaac Collie | J. Derek Benjamin | David Hoang | Lawrence Collie | E. Isaac Collie |
| Equity Bank and Trust Bahamas Limited | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | Dillon Dean | ddean@equitybahamas.com; info@equitybahamas.com; clunn@equitybahamas.com | Equity Trust House, Caves Village, West Bay Street | N-10697 | Dillon Dean | Christopher Lunn | N/A | Dillon Dean | Dillon Dean |
| EuroBanco Bank Limited | 1. Dealing in Securities as Agent | Natividad Esther Benitez | ebenitez@eurobancobankltd.com | Suite 5 Caves Professional Center, West Bay Street & Blake Road | N-1114 | Natividad Esther Benitez | Ramiro Argonz | Natividad Esther Benitez | N/A | N/A |
| Exmer Partners Limited | 1. Managing Securities | Ivan Hooper | drounce@winterbotham.com; ihooper@winterbotham.com | Winterbotham Place, Marlborough & Queen Streets | SP-62557 | Ivan Hooper | David Rounce | N/A | N/A | Ivan Hooper |
| Extiber Ltd. | 1. Managing Securities 2. Advising on Securities | Walter Christen | Nassau@extiber.com; wjc@extiber.com; naa@extiber.com | 212 Church St., Sandypoint, West Bay Street | SP-62238 | Walter Christen | Nathan Adderley | N/A | Alessandro Russo | Alessandro Russo |
| FAM Fund & Asset Management Ltd. | 1. Managing Securities 2. Advising on Securities | Zakita Butler | contact@apms-ltd.com; z.butler@apms-ltd.com; iferguson@caystone.com; jennifer.rolle-cox@apms-ltd.com; | Halisbury Commercial Centre, Suite #2, Vilage Road North | SS - 19689 | Zakita Butler | Indira Ferguson | N/A | Zakita Butler | Zakita Butler |
| FC Capital Investments Ltd. | 1. Managing Securities 2. Advising on Securities | Alexander Martin Murbach | alexander@fccibahamas.com; leo@fccibahamas.com; tyrone@accordbahamas.com | Montague Sterling Centre, East Bay Street | SS-19027 | Alexander Martin Murbach | Edison Neely | N/A | Leo Betschart; Tiffany Jones | Leo Betschart; Tiffany Jones |

Securities Industry Act, 2011



Registrants as at 30 September 2020

| LICENSEE | CATEGORIES | CONTACT PERSON | EMAIL | ADDRESS | P.O. BOX | Registered Representatives | | | | |
|---|---|-------------------------------------|--|---|---------------------|----------------------------|--------------------------|---|--|----------------------------------|
| | | | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP |
| First Overseas Bank Limited | 1. Dealing in Securities as Principal & Agent | Carlos Walton | cwalton@firstoverseasbank.com; info@firstoverseasbank.com; jshedden@firstoverseasbank.com; hbarros@firsoverseasbank.com | Office #2, Building #8, Caves Village Professional Centre, West Bay Street | CB-11903 | Carlos Walton | Horacio Barrows | Carlos Walton | N/A | N/A |
| FirstCaribbean International Bank (Bahamas) Limited | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | Marie Rodland-Allen | marie.rodland-allen@cibcfib.com; Lakasha.Miller@cibcfib.com Sherrylyn.Bastian@cibcfib.com | FirstCaribbean International Bank Financial Centre, 2nd Floor, Shirley Street | N-3221 | Marie Rodland-Allen | Lakasha Miller | Gina Mackenzie; Sean Blyden; Brent Haines; Carlyle Bethel | Brent Haines; Carlyle Bethel | Gina Mackenzie |
| Fitpart Fund Administration Services Ltd. | 1. Managing Securities 2. Advising on Securities | Fernando Prado | fernando@fitpart.com.br; bethell@fitpart.bs; iferguson@caystone.com | Bahamas Financial Centre, 4th floor, Shirley & Charlotte Streets | CB-13515 | Fernando Prado | Indira Ferguson | N/A | Fernando Prado | Fernando Prado |
| FK Capital Management Ltd. | 1. Managing Securities 2. Advising on Securities | Jorge Finkler Braverman | efinkler@fkcapitalmanagement.com; contact@caystonesolutions.com; iferguson@caystone.com | Lyford Financial Centre #2, Lyford Cay | SP-64283 | Jorge Finkler Braverman | Indira Ferguson | N/A | Jorge Finkler Braverman; Eduardo Finkler Braverman | N/A |
| FxPro Global Markets Ltd. | 1. Dealing in Securities as Principal & Agent | Charalambos Psimolophitis | cp@fxpro.com; m.halkitis@bankpro.com | Lyford Financial Center; Western Road | N-7776 | Charalambos Psimolophitis | (Vacant) | Charalambos Psimolophitis | N/A | N/A |
| Gabarit International Ltd. | 1. Managing Securities 2. Advising on Securities | Jean-Pierre Ribes | jeanpierre@ribes.ch | Caprice 5 West Bay Street | AP-59223 Slot # 623 | Jean-Pierre Ribes | Endric Deleveaux | N/A | Jean-Pierre Ribes | Jean-Pierre Ribes |
| GEM Global Equities Management S.A. | 1. Managing Securities 2. Advising on Securities | Anthony Inder Rieden | ceo@euro-dutch.com; eric@euro-dutch.com | Templeton Building, West Bay Street | N-9204 | Anthony Inder Rieden | Eric Strachan | N/A | Anthony Inder Rieden | Anthony Inder Rieden |
| Gems Management Limited | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Cedric Carroll | cedric.carroll@gemsmanagement.com; iferguson@caystone.com | Harbour Bay Shopping Plaza, East Bay Street | CB-12809 | Cedric Carroll | Indira Ferguson | Cedric Carroll | Cedric Carroll | Cedric Carroll |
| Global Advisors Partners Ltd. | 1. Managing Securities 2. Advising on Securities | Alexandre Vancoff; Ivano Alliata | alex@globalnassau.com; edgarseligman74@gmail.com; ivano@globalnassau.com | 3rd Floor Coin of the Realm Building Charlotte Street | N-9471 | Alexandre Vancoff | Edgar Seligman | N/A | Ivano Alliata | Alexandre Vancoff, Ivano Alliata |
| GMP Securities Emerging Markets Corp. | 1. Arranging Deals. 2. Advising on Securities | Gene Caldwell McBurney | genem@gmpsecurities.com; dobrien@dss360solutions.com | 119 Harbourway, Ocean Club Estates, Paradise Island, Bahamas | CR-56766 | Gene Caldwell McBurney | Denise O'Brien | N/A | Gene Caldwell McBurney | N/A |
| Goldensheikh Overseas Limited | 1. Advising on Securities | Riccardo Sigon | gsoslimited@gmail.com; ltinkerr@thebayshoregroup.org | 202 Church Street, Nassau | N-3205 | Riccardo Sigon | Latonia Symonette-Tinker | N/A | Riccardo Sigon | N/A |

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Registrants as at 30 September 2020

| LICENSEE | CATEGORIES | CONTACT PERSON | EMAIL | ADDRESS | P.O. BOX | Registered Representatives | | | | |
|---|---|--|--|--|------------|----------------------------|--------------------------|---|---|---|
| | | | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP |
| Gonet Bank & Trust Limited | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | Patric Feuz | abutler@bankgonet.com | Offices at Old Fort Bay, West Bay St. | SP-61302 | Patrick Feuz | Ashley Butler | Ingrid Taylor; James French; Patrick Feuz; Valentin Sevilla; Valerie Garcia | Ingrid Taylor; Guillermo Santini; Patrick Feuz; Valentin Sevilla; Patrick Guye-Bergeret; Ahmed el Shahawy; Valerie Garcia | James French; Ingrid Taylor; Patrick Feuz; Valentin Sevilla; Valerie Garcia |
| GQ Capital Markets Limited | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. | Hubert Edwards | hubert.edwards@gqfx.com; compliance@gqfx.com; duhiza.smith@gqfx.com | 208 Church Street, Sandyport. Nassau, Bahamas | SP-64195 | Hubert Edwards | Duhiza Taylease S. Smith | Keith Christopher Kirksey | N/A | N/A |
| Green Cay Advisory Ltd. | 1. Managing Securities 2. Advising on Securities | Vincenzo Piantedosi | jb@greencay.com.bs; vpiantedosi@siriob.com; iferguson@caystone.com | Lyford Cay Drive, Lyford Cay, Nassau | N-7776 | Vincenzo Piantedosi | Indira Ferguson | N/A | Vincenzo Piantedosi | Vincenzo Piantedosi |
| High Tech Invest Limited | 1. Dealing in Securities as Principal or Agent, including underwriting 2. Arranging deals in Securities | Michael Halkitis; Georgianne Robinson | compliance@invest-ht.com | Sea Sky Lane, Sandyport, Nassau, Bahamas | N/A | Michael Halkitis | Gerogianne Robinson | Michael Halkitis | N/A | N/A |
| Holdun Family Office (Bahamas) Limited (formerly Holdun Investment Partners Inc.) | 1. Managing Securities | Brendan Dunn | bdunn@holdun.com; compliance@holdun.com; | Albany Financial Center Suite 303 | SP-63158 | Brendan Dunn | Kristy Kemp | N/A | N/A | Brendan Dunn |
| Holowesko Partners Ltd. | 1. Managing Securities 2. Advising on Securities | Mark Holowesko | mholowesko@holoweskopartners.com; ereynolds@holoweskopartners.com; compliance@holoweskopartners.com; kzyp@holoweskopartners.com | Shipston House, West Bay Street, Lyford Cay | N-7776(78) | Mark Holowesko | Karen Zyp | N/A | Mark Holowesko, Richard Farrington, Gregory Cleare | Mark Holowesko, Richard Farrington, Gregory Cleare |
| Huber Management Ltd. | 1. Managing Securities 2. Advising on Securities | Bernard Huber | bh@hubermanagement.com; jlw@hubermanagement.com | Top Floor No. 1, CUB Financial Center, Lyford Cay, Nassau, Bahamas | N-529 | Bernard Huber | Jennifer Wells | N/A | Bernard Huber, Juan Zatarain | Bernard Huber, Juan Zatarain |
| IC Markets Ltd. | 1. Dealing in Securities as Principal or Agent, including underwriting | Linda Mackey; Crystal McClain | l.mackey@icmarkets.com c.mcclain@icmarkets.com compliance@icmarkets.com; | 110 - 112 Beach Lane, Sandyport, West Bay Street | N-272 | Linda Mackey | Crystal McClain | Andrew Budzinski | N/A | N/A |

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Registrants as at 30 September 2020

| LICENSEE | CATEGORIES | CONTACT PERSON | EMAIL | ADDRESS | P.O. BOX | Registered Representatives | | | | |
|--|--|--------------------------|---|---|----------|----------------------------|-------------------------------|---|-------------------------|-------------------------|
| | | | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP |
| Inteligo Bank Ltd. | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Bruno Ferreccio Del Rio | bferreccio@inteligogroup.com; srodriguez@inteligogroup.com | 1st Floor, Seventeen Shop Building, Fourth Terrace, Collins Avenue, Nassau, Bahamas | N-3732 | Bruno Ferreccio Del Rio | Silka Yaneth Rodriguez Mendez | Bruno Ferreccio Del Rio | Bruno Ferreccio Del Rio | Bruno Ferreccio Del Rio |
| Investar Securities Ltd. | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Ansel Watson | awatson@ivstar.com; sabds@brickellbahamas.com | 443 East Bay Street | SS-19086 | Ansel Watson | Omar Sands | Ansel Watson | Ansel Watson | Ansel Watson |
| Itau International Securities Inc. | 1. Dealing in Securities as Agent 2. Arranging Deals | Gustavo Abrunhosa | gustavo.abrunhosa@itauinternational.com; sara.gaitan@itauinternational.com | 31B, Annex Building, 2nd Floor, East Bay Street | N-3930 | Gustavo Abrunhosa | Sara Catalina Gaitan | Gustavo Abrunhosa, Marcelo Aagesan, Gilmar De Oliveira, Carlos Fernandes, Alberto Tah; Carlos Eduardo De Souza Fernandes; Marcelo Aagesen | N/A | N/A |
| IX Capital Group Limited (formerly Inifox Capital (Bahamas) Limited) | 1. Dealing in Securities as Agent or Principal 2. Arranging Deals 3. Managing Securities | Anthony Stubbs | anthony.stubbs@ixcg.bs; italia.cartwright@ixcg.bs | 109 Church Street, Sandypport, Marina Village | SP-62756 | Anthony Stubbs | Italia Cartwright | Mun Low | N/A | Fei Wang |
| J&M Global Company Ltd. | 1. Dealing in Securities as Agent or Principal 2. Arranging Deals 3. Managing Securities | LaTonia Symonette-Tinker | ltinker@thebayshoregroup.org; | 4 Buckner Square, Sandypport | N 1879 | Paul Bartlett | Latonia Symonette-Tinker | Daniel Hao | N/A | Daniel Hao |
| J. Safra Sarasin Asset Management (Bahamas) Ltd. | 1. Managing Securities 2. Advising on Securities | Daniel Kamkahji | daniel.kamkahji@jsafrasarasin.com; Bernard.Young@safra.com | 204 Church Street, Old Towne, Sandypport | CB-10988 | Daniel Kamkahji | Bernard Young | N/A | Daniel Kamkahji | Daniel Kamkahji |
| Jefferson Capital Limited | 1. Managing Securities 2. Advising on Securities | Ali Bilgrami | a.bilgrami@jeffersongroup.com; corporate@genesissfundservices.com; smunroe@genesissfundservices.com | 5th Floor 308 East Bay Street | N-9058 | Ali Bilgrami | Shonalee Munroe | N/A | Khofiz Shakhidi | Ali Bilgrami |

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Registrants as at 30 September 2020

| LICENSEE | CATEGORIES | CONTACT PERSON | EMAIL | ADDRESS | P.O. BOX | Registered Representatives | | | | |
|--|--|-----------------|--|---|----------|----------------------------|--------------------|---|---|----------------------------------|
| | | | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP |
| Julius Baer Bank (Bahamas) Limited formerly (Julius Baer Bank & Trust (Bahamas) Limited) | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Peter Wirth | peter.wirth@juliusbaer.com; rochelle.rolle@juliusbaer.com | Ocean Centre, Montague Foreshore | N-4890 | Peter Wirth | Rochelle Rolle | Melan Georges; Orazio De Filippis; Latoya McPhee-Paul; Sharon LaFleur; Anna Zwiolek; Leda Curry; Maria Darville; Eronjha McIntosh; Ranel Hanna; Karina Ginton; Gia Burrows; | Orazio De Filippis; Latoya McPhee-Paul; Sharon LaFleur; Anna Zwiolek; | Melan Georges; |
| Kahu Capital Partners Limited | 1. Managing Securities 2. Advising on Securities | Alexander Zivic | azivic@kahucp.com; iferguson@caystone.com | Albany Financial Centre | | Alexander Zivic | Indira Ferguson | N/A | Alexander Zivic | Alexander Zivic |
| KP Investment Advisors Ltd. | 1. Managing Securities 2. Advising on Securities | Zakiya Butler | zb@famfund-ltd.com; contact@apms-ltd.com; iferguson@caystone.com; jennifer.rolle-cox@apms-ltd.com; | Hallsbury Commercial Centre, Suite #2, Village Road North | SS-19689 | Zakiya Butler | Indira Ferguson | N/A | Zakiya Butler | Zakiya Butler/Pierre Monnard |
| LCG Capital Markets Limited (formerly London Capital Group (Bahamas) Limited) | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals | Sean Munnings | sean.munnings@lcg.com; Philip.Dorsett@lcg.com | 5 North Buckner Square Olde Towne, Sandyport West Bay Street | N-272 | Sean Munnings | Philip Dorsett | Georgios Stylianou | N/A | N/A |
| Leno Corporate Services Limited | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Sean Longley | info@lenobahamas.com; slongley@lenocorporate.com; jab@bostwicklawpartners.com | 2nd Floor Pineapple Place, Bernard Road | N-8339 | Sean Longley | Julian Bostwick | Tricetta Small; Sherell Woodside-Concliffe; Kerah Farquharson | Tricetta Small; Khalil Braithwaite; Sherell Woodside-Concliffe; Kerah Farquharson | N/A |
| Lighthouse Asset Management Ltd. | 1. Managing Securities 2. Advising on Securities | Riccardo Romani | rr@lighthouse-am.com; cer@lighthouse-am.com | Offices at Old Fort Bay, Building 4 Suite 303, Western Road, Lyford Cay | N-7776 | Riccardo Romani | Calvin Rolle | N/A | Riccardo Romani; Rosella Dack | Riccardo Romani; Rosella Dack |

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Registrants as at 30 September 2020

| LICENSEE | CATEGORIES | CONTACT PERSON | EMAIL | ADDRESS | P.O. BOX | Registered Representatives | | | | |
|--|---|-------------------|---|---|----------|----------------------------|---------------------|-------------------------------------|---|---|
| | | | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP |
| LOM Financial (Bahamas) Limited formerly (LOM Stockbrokers International Ltd.) | 1. Dealing in Securities as Principal & Agent 2. Advising on Securities | Craig Lines | craig.lines@lom.com; compliance@lom.com; jalinka.strachan@lom.com; scott.hill@lom.com | Building 4 Caves Village , West Bay Street | AB-12762 | Craig Lines | Jalinka Strachan | N/A | N/A | N/A |
| Lombard Odier & Cie (Bahamas) Limited | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Renaud Vielfaure | r.vielfaure@lombardodier.com; v.maura@lombardodier.com | Goodman's Bay Corporate Centre, West Bay Street & Seaview Drive | N-4938 | Renaud Vielfaure | Venetia Maura | Alejandro Catala | Renaud Vielfaure; Alejandro Catala; Barbara Buchert; Claudio Godenzi; Joanne Pyfrom; Maurice Chiacchiari; Roberto Berbey; Alberto Inguaggito | Renaud Vielfaure; Alejandro Catala; Barbara Buchert; Claudio Godenzi; Joanne Pyfrom; Maurice Chiacchiari; Roberto Berbey; Alberto Inguaggito |
| LT Green Capital Investment Limited | 1. Managing Securities 2. Advising on Securities | Edson Ito | edsonito@hotmail.com; iferguson@caystone.com | 3rd Floor Bayview House, 308 East Bay Street | CB-12407 | Edson Ito | Indira Ferguson | N/A | Edson Ito | Edson Ito |
| Lydda Capital Ltd. | 1. Dealing in Securities as Principal or Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Anthony Ferguson | aferguson@lyddacap.com; info@lyddacap.com; padderley@cfal.com | 3rd Floor Bayview House, #308 East Bay Street | CB-12407 | Anthony Ferguson | Precott Adderley | Anthony Ferguson | Anthony Ferguson | Anthony Ferguson |
| Lyford International Bank Ltd (formerly Lyford International Bank & Trust Ltd) | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Andrew Alexiou | info@ansbacher.bs; andrew.alexiou@ansbacher.bs | Lyford Manor, West Bay Street | CB-13012 | Chandra Camille Ferguson | Application Pending | Devaughn Edgecombe | N/A | N/A |
| Macro Bank Limited | 1. Dealing in Securities as Agent 2. Arranging Deals | Rosina Simeto | rsimeto@macrobankltd.com; sgiani@macrobankltd.com | Building 8 Office 1, Caves Village, West Bay Street | N-4444 | Rosina Simeto | Stella Giani | Rosina Simeto | N/A | N/A |
| Magellan Securities Limited | 1. Managing Securities 2. Advising on Securities | Robert Davidowski | bdavidowski@mfl.bs; nadderley@mfl.bs; itowell@mfl.bs | 309 West Bay Street, Goodman's Bay Corporate Centre | CB-13366 | Robert Davidowski | Nathan Adderley | Meredith Miller; Destiny Rollins | Robert Davidowski; Ian Towell; | Robert Davidowski |
| Magnum Global Advisors Ltd. | 1. Managing Securities | Christian Coquoz | cc@magnum-ltd.com; contact@apms-ltd.com; iferguson@caystone.com; jennifer.rolle-cox@apms-ltd.com; | APMS House, #8 Pineapple Grove, Old Fort Bay, Western Road, Nassau, Bahamas | SS-19689 | Christian Coquoz | Indira Ferguson | N/A | N/A | Christian Coquoz |
| Mint Capital Advisors Ltd. | 1. Managing Securities | Eric Strachan | Eric@mint-advisors.com; backoffice@mint-advisors.com | Templeton Building, West Bay Street | N-9204 | Eric Strachan | Neil Major | N/A | N/A | Eric Strachan |

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Registrants as at 30 September 2020

| LICENSEE | CATEGORIES | CONTACT PERSON | EMAIL | ADDRESS | P.O. BOX | Registered Representatives | | | | |
|---------------------------------------|---|------------------------------|--|---|----------|----------------------------|------------------------------|---|---|---|
| | | | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP |
| MMG Bank & Trust Ltd. | 1. Dealing in Securities as Agent 2. Managing Securities 3. Advising on Securities | Laverne Thompson | jorge.morgan@mmgbank.com; bahamas.team@mmgbank.com; laverne.thompson@mmgbank.com; kaylisa.adderley@mmgbank.com | Suite 102, 1st Floor, Saffrey Square, Bay Street & Bank Lane | N-4889 | Laverne Thompson | Kaylisa Adderley | Laverne Thompson | Laverne Thompson | Laverne Thompson |
| Mont Blanc Asset Management Ltd. | 1. Managing Securities 2. Advising on Securities | Claudio Schreier | cschreier@montblanc.com.bs; info@cfal.com; iferguson@caystone.com | 3rd Floor Bayview House, #308 East Bay Street | CB-12407 | Claudio Schreier | Indira Ferguson | N/A | Anthony Ferguson | Anthony Ferguson |
| Morgan and Drake Ltd. | 1. Managing Securities 2. Advising on Securities | Nicholas Wright | nw@morganandrake.com | 3rd Floor Bayview House, #308 East Bay Street | CB-12407 | Nicholas Wright | Vacant | N/A | N/A | N/A |
| Nordica Investment Management Limited | 1. Advising on Securities | Danie Pertti Hedkrok | pertti@nordicamanagement.com; info@nordicamanagement.com; mbain@sterling-bahamas.com; ulrika@nordicamanagment.com | Suite 205A Saffrey Square, Bay Street & Bank Lane | N-9934 | Danie Pertti Hedkrok | Anna Hedkrok | N/A | N/A | N/A |
| Octogone Fund Management Limited | 1. Managing Securities 2. Advising on Securities | Alain Kunz | afk@octogone.com.bs; cct@octogone.com.bs | No. 3 Offices Old Fort Bay, Western Rd. | SP-63157 | Alain Kunz | Cindy Thompson | N/A | Alain Kunz; George Pericles Maillis | Alain Kunz; George Pericles Maillis |
| Old Fort Financial | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Shameka Fernander | shameka.fernander@oldfortfinancial.com; laterio.culmer@oldfortfinancial.com | Offices at Old Fort Bay Building #4, Western Road | SP-63771 | Shameka Fernander | Laterio Culmer | Shameka Fernander | Robert Jensen | Robert Jensen |
| Oracle Capital Advisors Ltd. | 1. Dealing in Securities as Agent 2. Managing Securities 3. Advising on Securities | Oleg Nikityuk | mbain@sterling-bahamas.com; oleg.n@orcacp-group.com | Suite 205A Saffrey Square, Bank Lane and Bay Street | N-9934 | Oleg Nikityuk | Michelle Bain | Oleg Nikityuk | Oleg Nikityuk | Oleg Nikityuk |
| Pacifico Global Advisors Ltd. | 1. Dealing in Securities as Principal or Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Arturo Klein | ak@pacifico-ltd.com; nb@pacifico-ltd.com | 1 Pineapple House, Old Fort Bay, Western Road, Nassau, Bahamas | SS-19371 | Arturo Klein | Vanasha Nadia Shearer-Butler | Lockley Virgil Knowles II; Daren C. Seymour | Lockley Virgil Knowles II; Daren C. Seymour | Arturo Klein; Lockley Virgil Knowles II; Daren C. Seymour |
| Pebble Global Advisors Ltd. | 1. Managing Securities | Pierre Moncheur de Rieudotte | cc@magnum-ltd.com; contact@apms-ltd.com; iferguson@caystone.com; jennifer.rolle-cox@apms-ltd.com; | APMS House, #8 Pineapple Grove, Old Fort Bay, Western Road, Nassau, Bahamas | SS-19689 | (Vacant) | (Vacant) | N/A | N/A | (Vacant) |

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Registrants as at 30 September 2020

| LICENSEE | CATEGORIES | CONTACT PERSON | EMAIL | ADDRESS | P.O. BOX | Registered Representatives | | | | |
|-----------------------------|--|---|---|--|----------|------------------------------|----------------------------------|---|--|---|
| | | | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP |
| Pepperstone Markets Limited | 1. Dealing in Securities as Agent or Principal, including Underwriting 2. Arranging Deals 3. Managing Securities | Glen Nottage; Mitch Ogden; Jemma Miller | mitch.ogden@pepperstone.com; georgina.gane@pepperstone.com | Sea Sky Lane B201 – 204 Sandypoint West Bay Street Nassau, Bahamas | | Glen Nottage | Jemma Miller | Peter Spanos | N/A | Peter Spanos |
| Phoenix Capital Ltd. | 1. Managing Securities 2. Advising on Securities | Luca Carlo Pasquale Lanciano | luca@phoenix.bs; compliance@phoenix.com | 212 Church Street, Old Towne Sandypoint | SP-64377 | Luca Carlo Pasquale Lanciano | Aruna Rodgers; Candice McPhee | N/A | Luca Carlo Pasquale Lanciano | Luca Carlo Pasquale Lanciano |
| Pictet Bank & Trust Limited | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Alberto Valenzuela | avalenzuela@pictet.com; jmezulanik@pictet.com; jduvalier@pictet.com | Bayside Executive Park, Building 1, West Bay Street & Blake Road | N-4837 | Alberto Valenzuela | Janique Duvalier | Tamica Rolle; Donna Storr; Miriam Scott; Nikola Ruzicic-Kessler; Kristen N. Sweeting | Monica Millers; Jan Mezulanik; David Diaz; Jeremy Stuby; Isabelle Fiaux; Jose Suarez; Karol Czartoryzki; Carlos De La Torre; Manuel Garcia; Jose Antonio Gago; Fernando Luperi Guerra; Nikola Ruzicic-Kessler; Kristen N. Sweeting; Dionne Curry; Jeremy Proffitt | David Diaz; Nikola Ruzicic-Kessler; Typres Sturrrup |
| Primus Worldwide Limited | 1. Dealing in Securities as Agent or Principal, including underwriting 2. Arranging Deals in Securities | LaTonia Symonette-Tinker | ltinker@bayshoregroup.org | Capital Union Bank Financial Centre, Western Road, Lyford Cay, Nassau, Bahamas | N-1879 | Claudine Farqharson | Latonia Symonette-Tinker | Stelios Christodolu | N/A | N/A |

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| LICENSEE | CATEGORIES | CONTACT PERSON | EMAIL | ADDRESS | P.O. BOX | Registered Representatives | | | | |
|--|---|--|---|--|--------------|-----------------------------|--------------------------|---|---|--|
| | | | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP |
| Privatam Corp. | 1. Advising on Securities | Warren Roberts | m.passamonti@privatam.com; bahamas@privatam.com; compliance.bahamas@privatam.com | Suite 106 Island Lane Building, Old Towne Sandypport, Nassau, Bahamas | N-7776 | Warren Roberts | Cassandra Johnson | N/A | Arthur Bauch Massimo Passamonti | N/A |
| Plotio Global Financial Ltd. | 1. Dealing in Securities as Agent or Principal, including underwriting 2. Arranging Deals in Securities | Vincent Laurent King Latonia Symonette-Tinker | vkking@vlkdirectors.com; ltinker@thebayshoregroup.org; | Capital Union Bank Financial Centre, Western Road, Lyford Cay, Nassau, Bahamas | N-1879 | Vincent Laurent King | Latonia Symonette-Tinker | Tsz Hong Fung | N/A | N/A |
| Private Investment Bank Limited | 1. Dealing in Securities as Agent 2. Managing Securities 3. Advising on Securities | | pibbank@pib.bs; pibl.general-management@pib.bs; | Devonshire House, Queen Street | N-3918 | Vacant | Vacant | Benjamin Pinder | (Vacant) | (Vacant) |
| Providence Advisors Limited | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | Kenwood Kerr; Monique Cooper | kenwood.kerr@providenceadvisors.net; dobrian@dss360solutions.com; monique.cooper@providenceadvisors.net | 1st Floor, Goodman's Bay Corporate Centre | AP-59223-409 | Kenwood Kerr | Denise O'Brien | N/A | N/A | Kenwood Kerr; Carrol Burrows |
| Q I Advisors | 1. Managing Securities 2. Advising on Securities | Heather Bellot-Hazarian | hbh@ccpl.capital; klk@ccpl.capital | 105 Church Street, Sandypport, Nassau, Bahamas | SP-63035 | Heather Bellot-Hazarian | Kristy Kemp | Heather Bellot-Hazarian | Heather Bellot-Hazarian | Heather Bellot-Hazarian |
| RBC Dominion Securities (Global) Limited | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | Andrew McCartney | mario.smith@rbc.com; sophia.mckenzie@rbc.com; andrew.mccartney@rbc.com | Suite 201, Albany Financial Center, South Ocean Boulevard | N-3234 | Andrew McCartney | Mario Smith | John Rodney Bond; Francisco Goncalves; Chelsey Walcott | John Rodney Bond; Carol Denis Newbold; Sophia Eloise McKenzie; Francisco Goncalves | Francisco Goncalves |
| Renhe Financial Services Limited | 1. Dealing in Securities as Agent 2. Arranging Deals | Reece Chipman | reecechipman@hotmail.com; khaliahsbrown@gmail.com | Sea Sky Lane, Sandypport, Nassau, Bahamas | N 3406 | Reece Chipman | Khaliah Brown | Yi Zhou | N/A | N/A |
| RQSI Limited | 1. Managing Securities 2. Advising on Securities | Neil Patrick Ramsey | nramsey@rqsi.com; corporate@genesisfundservices.com; smunroe@genesisfundservices.com | 5th Floor, 308 East Bay Street | N-9058 | Neil Patrick Ramsey | Shonalee Munroe | N/A | N/A | N/A |
| RIA Company Ltd. | 1. Managing Securities | Alejandro Luis Barroetavena | baroetavena@riacoltd.com; acharles@winterbotham.com | Winterbotham Place, Malborough & Queen Streets | N-3026 | Alejandro Luis Barroetavena | Anja Marie Charles | N/A | N/A | Alejandro Luis Barroetavena |
| Royal Fidelity Merchant Bank & Trust Limited | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Michael Anderson | michael.anderson@royalfidelity.com; RFMBTRegulator@royalfidelity.com; theresa.glinton@royalfidelity.com | Fidelity Financial Centre, 51 Frederick Street | N-4853 | Michael Anderson | Theresa Felicia Glinton | Belinda Payne; Quentin Euriel Gibson | Paulette Lozaique; Tishrea Grey; Quentin Euriel Gibson | Cleora Fraquharson; David Craig Van Onselen |

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Registrants as at 30 September 2020

| LICENSEE | CATEGORIES | CONTACT PERSON | EMAIL | ADDRESS | P.O. BOX | Registered Representatives | | | | |
|---|---|----------------------------|---|--|----------|----------------------------|-----------------------------|--------------------------------------|--|-----------------------------------|
| | | | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP |
| San Blas Capital Ltd. | 1. Managing Securities 2. Advising on Securities | Johnathan Israel Tepper | johnathan.tepper@gmail.com; iferguson@caystone.com | 23 Montrose Avenue Palmdale Nassau, Bahamas | N 3247 | Johnathan Israel Tepper | Indira Ferguson | N/A | Johnathan Israel Tepper | Johnathan Israel Tepper |
| Scotiabank (Bahamas) Limited | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | Roger Archer | roger.archer@scotiabank.com; | Rawson Square, Bay Street, Nassau, Bahamas | N-7518 | Roger Archer | Ambrosine Huyler | Deno Moss; Janae Francis-Ingraham | Deno Moss; Lisa Cherisse Taylor | Deno Moss |
| Seacapital Ltd. | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Jason Lenox Oliver | jasonoliver@gmail.com; jasminecartwright@coralwave.com | 3rd Floor Garden View Office Suites, Dunmore Avenue, Off West Bay Street | CB-13027 | Jason Lenox Oliver | Jasmine Tanya Cartwright | Steven Michael Videla | N/A | Steven Michael Videla |
| Sinclair Asset Management Ltd. | 1. Managing Securities 2. Advising on Securities | Jean-Marc Wagner | jmw@sinclair.com; iferguson@caystonesolutions.com; jj@sinclair.com | 207 Church Street, Sandyport. Nassau, Bahamas | N/A | Jean-Marc Wagner | Indira Ferguson | N/A | Jean-Marc Wagner; Joel Johnson | Jean-Marc Wagner; Joel Johnson |
| SIS Solutions Ltd. (formerly Swiss Investment Solutions (SIS) Ltd.) | 1. Managing Securities | Keva McPhee | keva.mcphee@sis-solutions-ltd.com; krystina.campbell@sis-solutions-ltd.com | Devonshire House, Queen Street | SP-64111 | Keva McPhee | Nicolette Campbell | N/A | N/A | Keva McPhee |
| Sixteen Securities Inc. | 1. Dealing as Agent 2. Arranging Deals | | compliance@sixteensecurities.com; katie@ssi.bs | 208 Church Street, Sandyport, Nassau, Bahamas | EE-17544 | (Application Pending) | Katie Roberts | Yuan Yuan Gho | N/A | N/A |
| St. Matthew Capital Ltd. | 1. Managing Securities 2. Advising on Securities | Antoine Bastian | abastian@smcl.com; aferguson@smcl.com; padderley@cfal.com | 3rd Floor Bayview House, #308 East Bay Street | CB-12407 | Antoine Bastian | Prescott Adderley | N/A | Anthony Ferguson | Anthony Ferguson |
| Sterling Financial Group Inc. | 1. Managing Securities 2. Advising on Securities | David Kosoy | dk@sterlinglobaltd.com; info@sterlinglobaltd.com; sbonamy@sterlinglobaltd.com | 81 East Bay Street, Nassau, Bahamas | N-1812 | David Kosoy | Sunita Bonamy | David Kosoy; Stephen Tiller | David Kosoy; Stephen Tiller; Tangela Russell | David Kosoy; Stephen Tiller |
| Stone Tower Management Ltd. | 1. Managing Securities | Olivier Chaponnier | sasa@leadingservices.net; stonetower@leadingservices.net; iferguson@caystone.com | 2nd Terrace West, Centreville | N-7755 | Olivier Chaponnier | Indira Ferguson | N/A | N/A | Olivier Chaponnier |
| Swan Capital Ltd. | 1. Managing Securities | Jorge Isaac Moreira Barrow | rb@swancap.net; jm@swancap.net | Old Fort Bay Town Centre Unit 7, Building 2 | SS-6333 | Jorge Isaac Moreira Barrow | Rosemary Barrett | N/A | N/A | Jorge Isaac Moreira Barrow |
| Swiss America Securities, Ltd. | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | Guy Gentile | guy@suretrader.com; edward@suretrader.com | Suite # 17, Elizabeth on Bay Plaza, Elizabeth Ave. & Bay Street | N-8340 | Guy Gentile | Edward Cooper | Drameko Moore | N/A | N/A |
| Swiss Atlantic S.A. | 1. Managing Securities 2. Advising on Securities | Olivier Chaponnier | sasa@leadingservices.net; iferguson@caystone.com | 2nd Terrace West, Centreville | N-10567 | Olivier Chaponnier | Indira Ferguson | N/A | Olivier Chaponnier | Olivier Chaponnier; Leo Huber |

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| LICENSEE | CATEGORIES | CONTACT PERSON | EMAIL | ADDRESS | P.O. BOX | Registered Representatives | | | | |
|--|---|--|---|--|----------|----------------------------|--------------------|--|---|---|
| | | | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP |
| Syz Bank (Bahamas) Ltd | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Daniel-Marc Brunner | daniel-marc.brunner@syzbank.com; | Old Fort Bay Town Centre, Building 2, Windsor Field Road | N-1089 | Daniel-Marc Brunner | Tiffany Bullard | Daniel-Marc Brunner; Keitra Pratt; Werner Gruner | Frank Negri; Werner Gruner; Keitra Pratt; Daniel-Marc Brunner | Keitra Pratt |
| Templeton Global Advisors Limited | 1. Managing Securities 2. Advising on Securities | Alan Bartlett | alan.bartlett@franklintempleton.com; peter.palleija@franklin.templeton.com | Templeton House, Lyford Cay, Nassau, Bahamas | N-7759 | Alan Bartlett | Peter Palleija | N/A | Peter Manfred Moeschter; Warren Pustam | Herbert Arnett Jr.; Christopher Peel; Alan Bartlett; Peter Manfred Moeschter |
| The Bank of Nova Scotia Trust Company (Bahamas) Ltd. | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. 3. Managing Securities 4. Advising on Securities | Mario Causarano Delric Beneby Wence Martin | mario.causarano@scotiawealth.com; delric.beneby@scotiawealth.com; wence.martin@scotiawealth.com | Scotia House, 404 East Bay Street | N-3016 | Mario Causarano | Delric Beneby | Jillian Dames; Gregory Walker; Rupina Knowles; Jerome Franks | Jillian Dames; Gregory Walker; Jerome Franks; Juan Giraldo | Jillian Dames; Gregory Walker; Jerome Franks |
| The Private Trust Corporation Limited | 1. Dealing in Securities as Agent 2. Arranging Deals | Adrian Crosbie-Jones | info@privatetrustco.com; acj@privatetrustco.com; ndean@privatetrustco.com | 2nd Floor, Charlotte House, Shirley & Charlotte Streets | N-65 | Adrian Crosbie-Jones | Natasha Dean | Charlene Storr; Bruno Roberts | N/A | N/A |
| The Street Trader Limited | 1. Dealing in Securities as Agent | Michael Miller Bettina Albury | millerlaw@95@gmail.com; edward@suretrader.com; mcmiller@kensingtonlaw.net | The Plaza On The Way, West Bay Street | EE-17971 | James Saraceno | Edward Cooper | N/A | N/A | N/A |
| The Winterbotham Trust Company Ltd. | 1. Dealing in Securities as Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Ivan Hooper | ihooper@winterbotham.com; drounce@winterbotham.com | Winterbotham Place, Marlborough & Queen Streets | N-3026 | Ivan Hooper | David Rounce | Christopher Hooper; Ivan Hooper; Jessica Thornley-Mitchell; Tevin Bannister; Andrea Quant | Jessica Thornley-Mitchell | David Thain |
| TigerWit Limited (formerly TigerWit Financial Services Limited). | 1. Dealing in Securities as Principal or Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Darell Taylor | darell.taylor@tigerwit.com; compliance@tigerwit.com; monalisa.hanna@tigerwit.com | Sea Sky Lane, Sandypport, Nassau, Bahamas | SP-64368 | Darell Taylor | Monalisa Hanna | Andrew Rolle; James Manczak; Simon Denham | Andrew Rolle; James Manczak | James Mnczak |
| Touchstone Advisory Ltd. (formerly deVere Bahamas Inc.) | 1. Advising on Securities | Adrian Flambard | adrian@touchstone-global.com | Unit 1-5 Church Street, Sandy Port Marina Village | N-492 | Adrian Flambard | Marcia Meeres | N/A | Adrian Flambard | N/A |

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| LICENSEE | CATEGORIES | CONTACT PERSON | EMAIL | ADDRESS | P.O. BOX | Registered Representatives | | | | |
|---|---|---|--|---|----------------------|----------------------------|--------------------|---|---------------------------|---------------------------|
| | | | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP |
| Trade Nation Ltd. | 1. Dealing in Securities as Principal or Agent, including underwriting 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Anthony Ferguson; Prescott Adderley | aferguson@cfal.com; padderley@cfal.com | 3rd Floor, Bayview House, East Bay Street | CB-12407 | Anthony Ferguson | Prescott Adderley | Anthony Ferguson | Anthony Ferguson | Anthony Ferguson |
| TradeZero Inc. | 1. Dealing in Securities as Agent | | kbriggs@tradezero.co; tz@tradezero.co; lssaunders@tradezero.co; | 402-Building #2 Ocean Place West Bay Street, Cable Beach Nassau, Bahamas | SP-62904 | Kay Briggs | (Vacant) | Tonielle rancaccio; Kay Briggs | N/A | N/A |
| UCAP Bahamas Limited | 1. Managing Securities 2. Advising on Securities | Clement Ducasse | clement.ducasse@capitalunionbank.com; accounts@ucapbh.com; iferguson@caystone.com | CUB Financial Center. Lyford Cay | N/A | Clement Ducasse | Indira Ferguson | N/A | Clement Ducasse | Clement Ducasse |
| Union Bancaire Privee, UBP SA | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Andrea del Bubba | andrea.delbubba@ubp.com; rochelle.cleare@ubp.com; astrid.wilson@ubp.com | 5th Floor Lyford Cay House, Western Road, Lyford Cay | N-7529 | Andrea del Bubba | Astrid Wilson | Brenda Powell; Davawn Turner; Van-Dyke Richard Saunders; Kyosen McPhee-Young | Brenda Powell | Van-Dyke Richard Saunders |
| Vukota Capital Management Limited | 1. Managing Securities 2. Advising on Securities | Tom Vokota | cwalker@vukotacapital.com; tvukota@vukotacapital.com; nadderley@vukotacapital.com | Pineapple Grove Building 3, Old Fort Bay, Western Road, Nassau, Bahamas | AP-59223/285 | Tom Vokota | Nathan Adderley | N/A | Tom Vokota; Geno Cozza | Tom Vokota; Geno Cozza |
| Weiser Global Capital Markets Ltd. | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals 3. Managing Securities 4. Advising on Securities | Jamaal Stubbs | info@weiser.com.bs; jamaal.stubbs@weiser.com.bs sbrice@weiser.com.bs | Offices at Old Fort Bay Building #9, Pineapple Place Lyford Cay | AP-59223 Slot 501 | Jamaal Stubbs | Shelby Brice | Jamaal Stubbs; Courtney Filipenko; Rahul Kirpalani | N/A | N/A |
| Wells Capital Management Incorporated | 1. Managing Securities 2. Advising on Securities | Daniel Mavico Marcela Meneses Karin Brotman | kirk.hartman@wellsfargo.com; daniel.mavico@wellsfargo.com; marcela.meneses@wellsfargo.com; karin.brotman@wellsfargo.com | Lyford Manor, Western Road | N-7776 | Dale Winner | Daniel J. Mavico | N/A | Dale Winner | Dale Winner |
| Wincrest Capital Ltd. | 1. Arranging Deals. 2. Managing Securities 3. Advising on Securities | Barbara Ann Bernard | bb@wincrest.capital; ca@wincrest.capital; iferguson@caystone.com | 3rd Floor, CUB Financial Center, Lyford Cay | N-7776 | Barbara Ann Bernard | Indira Ferguson | N/A | Barbara Ann Bernard | Barbara Ann Bernard |
| Windermere Corporate Management Limited | 1. Managing Securities | John Lawrence | john@windermerecm.com; milcent@windermerecm.com | New Providence Financial Centre, East Bay Street | N-7797, Suite A-084 | John Lawrence | Millicent Clarke | N/A | N/A | John Lawrence |

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| LICENSEE | CATEGORIES | CONTACT PERSON | EMAIL | ADDRESS | P.O. BOX | Registered Representatives | | | | |
|-------------------------------|---|--------------------------|---|--|----------|----------------------------|----------------------------|----------------------|--------------|--------------|
| | | | | | | CEO | COMPLIANCE OFFICER | TRADING REP | ADVISING REP | MANAGING REP |
| XL Partners Ltd. | 1. Managing Securities 2. Advising on Securities | Mitsuo Alves | mitsuoalves@xlpartnersltd.net; alma@xlpartnersltd.com; iferguson@caystone.com | 207 Church Street, Sandyport. Nassau, Bahamas | N/A | Mitsuo Alves | Indira Ferguson | N/A | Mitsuo Alves | Mitsuo Alves |
| XM International (BS) Limited | 1. Dealing in Securities as Principal & Agent 2. Arranging Deals. | LaTonia Symonette-Tinker | ltinker@thebayshoregroup.org; theresachaven@gmail.com | Capital Union Bank Financial Centre, Lyford Cay, Nassau, Bahamas | N-1879 | LaTonia Symonette-Tinker | Theresa Haven- Adderley | Charalampos Kokkinis | N/A | N/A |