

Securities Industry Act, 2011



Registrants as at 30 September 2021

| 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<br>2. Advising on Securities                                  | Carole Sassoon          | methompson@aspibahamas.com  | Ground Floor Ocean Centre,<br>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;<br>info@abaco-ltd.com;<br>mknowles@abaco-ltd.com   | 3B One Sandypoint Plaza West<br>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<br>2. Arranging Deals                 | Fareda Sands            | fareda@acetop.com;<br>marcia@acetop.com   | Building 3, Office A, Caves<br>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<br>2. Arranging Deals                 | Alessandro Giuseppe Gho | agho@activtrades.com; cmorley@activtrades.com;<br>scordice@activtrades.com                                      | 209/210 Church Street,<br>Sandypoint Plaza, Nassau,<br>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;<br>mbain@sterling-bahamas.com   | Suite 205, Saffrey Square, Bay<br>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@akeliinvest.com;<br>sandra.gilbert@akeliinvest.com   | 1100 East Bay Street, Abaco,<br>Bahamas                                  | AB-20415 | Demetrius Syllouris        | Sandra Gilbert        | N/A   | N/A           | Demetrius Syllouris              |
| Alliance Investment Management Ltd.          | 1. Dealing in Securities as Agent<br>2. Arranging Deals<br>3. Advising on Securities | Julian Brown            | info@allianceinvest.com; aelcock@allianceinvest.com;<br>jbrown@allianceinvest.com;<br>thenewlowerlong@gmail.com | Carmichael Commercial<br>Centre, 2nd Floor Suite 201,<br>Carmichael Road | SS-19051 | Julian Brown               | Ruth Bowe-Darville    | Julian Brown;<br>Avril Elcock;<br>Nolan Johnson | Julian Brown  | Nolan Johnson                    |
| Alternative Asset Advisors S.A.              | 1. Managing Securities<br>2. Advising on Securities                                  | Daniel Brunner          | daniel-marc.brunner@syzbank.com;  | Old Fort Bay Town Centre,<br>Building 2, Windsor Field Road              | N-1089   | (Vacant)                   | (Vacant)              | N/A   | Keitra Pratt  | Keitra Pratt<br>Pascal Cristiano |

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|---------------------------------------|---|--------------------------|---|---|-----------|----------------------------|----------------------------|---|---|---|
|                                       |   |                          |   |   |           | CEO                        | COMPLIANCE OFFICER         | TRADING REP                                     | ADVISING REP  | MANAGING REP                                    |
| Alternative Investment Solutions Ltd. | 1. Dealing in Securities as Agent only<br>2. Arranging deals in securities<br>3. Managing securities<br>4. Advising on Securities | Samir Lakkis             | info@aisfg.com;<br>samir.lakkis@aisfg.com; francisca.delva@aisfg.com;<br>tamekia.stubbs@aisfg.com | 5 Pineapple Grove, Lyford Cay                                 | SP-64284  | Samir Lakkis               | Francisca Anthonicia Delva | Samir Lakkis                                    | Tameka Stubbs<br>Julian Benichou<br>Sergio Estes Vidal<br>Marc Elongman;<br>Lea Dana;<br>Nassiv Hacham;<br>Hector Gomez;<br>Markus Wiessler;<br>Pierre Darquie;<br>Marie Ujueta;<br>Rogelio Velasquez<br>Baptiste Saliva;<br>Miguel Solis;<br>Pablo Costa;<br>Richard Allford;<br>Guillermo S. R. Franquesa | N/A   |
| Analytical Research Advisors, LLC     | 1. Advising on Securities   | Jean-Stephane Marie Lods | slods@analyticalresearch.com; info@sterling-bahamas.com;<br>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<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities                    | Shulamit Garburg         | shulamit.garburg@andbank.com;<br>info.bahamas@andbank.com;<br>manel.martinez@andbank.bs           | One Montague Place, East Bay Street                           | AP-59223  | Shulamit Garburg           | Natasha Symonette          | Ginarene Chuno                                  | George Maillis<br>Jamaal Wright   | N/A   |
| Ansbacher (Bahamas) Limited           | 1. Dealing in Securities as Agent<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities                    | Andrew Alexiou           | info@ansbacher.bs;<br>andrew.alexiou@ansbacher.bs;<br>tatjana.jancic-turner@ansbacher.bs          | 4th Floor Colina Imperial Building, #308 East Bay Street      | N-7768    | Andrew Alexiou             | Schell Stubbs              | N/A   | N/A   | N/A   |
| Arbitral Securities Ltd.              | 1. Dealing in Securities as Agent or Principal<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities       | Andre Souza              | nassau@arbitral.com;<br>andre@arbitral.com;<br>iferguson@caystone.com                             | Caves Village, Building 2, 2nd Floor                          | 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;<br>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;<br>James Hoar;<br>Daniel Magdolen |

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|--|--|------------------------------------|---|--|----------|----------------------------|--------------------------|---|--|-----------------------------------|
|  |  |                                    |   |  |          | CEO                        | COMPLIANCE OFFICER       | TRADING REP   | ADVISING REP                           | MANAGING REP                      |
| Audaci Capital Limited                           | 1. Arranging Deals<br>2. Managing Securities<br>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   | Jennifer Rolle-Cox                 | jennifer.rolle-cox@apms-ltd.com; contact@apms-ltd.com; iferguson@caystone.com                             | Halisbury Commercial Centre, Suite #2, Village Road North          | SS-19689 | Christian Coquoz           | Indira Ferguson          | N/A   | Christian Coquoz                       | Christian Coquoz                  |
| Axmin Capital Ltd.                               | 1. Dealing in Securities as Agent<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities             | Ernesto Fridman Pardo              | efridman@fridman.com.uy; mliste@axmincapital.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<br>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<br>Alson Ferguson | mcampbell@bahamascsd.com<br>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<br>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@bdbahamas.com; mculmer@bdbahamas.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<br>2. Arranging Deals<br>3. Managing Securities  | Nadia Lewis;<br>Simone Bertoldo    | beat.meier@sempione-overseas.com; Simone.bertoldo@sempione-overseas.com; bsoverseas@sempione-overseas.com | 3rd Floor George House, George Street                              | N-8159   | Simone Bertoldo            | Nadia Lewis              | Edrick Cleare; Stanley Coakley; Michele Piantoni; Simone Bertoldo | Stefano Donati                         | Simone Bertoldo; Stefano Donati   |
| Banco Santander International SA                 | 1. Dealing in Securities as Principle & Agent<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities | Toneika Russell<br>Tamara Johnson  | tjohnson@pb-santander.com; trussell@bpe-gruposantander.com; javelilla@pbs-santander.com                   | 3rd Floor Goodman's Bay Corporate Centre, West Bay Street          | N-1682   | Javier Velilla Lucini      | Tamara Joan Johnson      | (Vacant)  | (Vacant)                               | (Vacant)                          |

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|---|---|------------------------------------|---|---|----------|----------------------------|--------------------|---------------------------------------|---------------------------------------|---|
|   |   |                                    |   |   |          | CEO                        | COMPLIANCE OFFICER | TRADING REP                           | ADVISING REP                          | MANAGING REP  |
| BankPro Limited   | 1. Dealing in Securities as Agent or Principal, including underwriting<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities | Richard Heathcote                  | ZL@bankpro.com; LRP@gtclaw.com  | Albany Financial Center, Suite 304 South Ocean Blvd Nassau, The Bahamas | N7776-63 | Richard Heathcote          | Phidias Phidia     | Zachary Carl Lyons; Richard Heathcote | Zachary Carl Lyons; Richard Heathcote | Zachary Carl Lyons; Richard Heathcote               |
| Bank J. Safra Sarasin (Bahamas) Ltd.                          | 1. Dealing in Securities as Principal & Agent<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities                          | Adrian Zadeh                       | adrian.zadeh@jsafrasarasin.com; Bernard.Young@jsafrasarasin.com                   |   | CB-10988 | Adrian Zadeh               | Bernard Young      | Yantoni Zeitoune; Joao Franco         | Adrian Zadeh                          | Adrian Zadeh<br>Daniel Saralegui                    |
| BDI Limited (formerly Bearbull Degroof International Limited) | 1. Managing Securities<br>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<br>2. Advising on Securities  | Kevin McPhee<br>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   |
| Black Isle Management Services Ltd.                           | 1. Managing Securities<br>2. Advising on Securities   | Ian Black                          | ian@blackislemanagement.com<br>chamika@blackislemanagement.com                    | UBS Annex, 2nd Floor, East Bay Street                                   | SS-19501 | Ian Black                  | Valentino Brown    | N/A                                   | Marc-Claudio Muller<br>Ian Black      | Bradley Crawley<br>Ian Black<br>Marc-Claudio Muller |
| Blackwell Global Investments Limited                          | 1. Dealing in Securities as Agent or Principal, including underwriting<br>2. Arranging Deals<br>3. Managing Securities                              | Pauline Seymour;<br>Kensil Johnson | pauline.seymour@blackwellglobal.bs; kensil.johnson@blackwellglobal.bs             | Sea Sky Lane, Sandypport, Nassau, Bahamas                               | N/A      | Pauline Seymour            | Kensil Johnson     | Shiwei Kwong                          | N/A                                   | Shiwei Kwong  |
| 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<br>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   |

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|---|---|--|--|---|----------|----------------------------|-------------------------------|---|--|--|
|   |   |  |  |   |          | CEO                        | COMPLIANCE OFFICER            | TRADING REP   | ADVISING REP   | MANAGING REP   |
| Bluebay Global Advisors Ltd.                                      | 1. Managing Securities<br>2. Advising on Securities   | Roger Landucci   | roger@bluebay-ltd.com; IFerguson@caystone.com;<br>jennifer.rolle-cox@apms-ltd.com;   | Halisbury Commercial Centre,<br>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<br>Julian Brown                          | broberts@bdbahamas.com;<br>jbrown@allianceinvest.com   | Charlotte Street South,<br>Gresham House                                      | N-10144  | Julian Brown               | Bent Roberts                  | N/A   | N/A  | N/A  |
| Britannia Bank & Trust Ltd. (formerly<br>Amber Bank & Trust Ltd.) | 1. Dealing in Securities as<br>Agent<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities | Vincenzo Piantedosi                                    | vpiantedosi@siriob.com; admin@ambergrouphdgs.net;<br>katriena.marshall@amberbank.com   | Caves Village, Building #2,<br>West Bay Street, Nassau,<br>Bahamas            | N-3917   | Vincenzo Piantedosi        | Katreina Marshall             | Mateo Raimondo<br>Julian Adderley<br>Andrea Albanese  | Mateo Raimondo<br>Julian Adderley<br>Andrea Albanese   | Mateo Raimondo<br>Julian Adderley<br>Andrea Albanese |
| Canaccord Genuity Emerging<br>Markets Ltd.                        | 1. Arranging Deals<br>2. Advising on Securities   | LaTonia Symonette-Tinker                               | ltinker@thebayshoregroup.org   | Capital Union Bank Building,<br>Lyford Cay, Western Road<br>Nassau, Bahamas   | N -1879  | Eugene McBurney            | LaTonia Symonette-<br>Tinker  | N/A   | Eugene McBurney  | N/A  |
| Capital Index (Global) Limited                                    | 1. Dealing in Securities as<br>Principal & Agent<br>2. Arranging Deals  | Anthony Ferguson<br>Prescott Adderley                  | compliance@capitalindex.com;<br>aferguson@cfal.com;<br>padderley@cfal.com  | 208 Church Street, 2nd Floor,<br>Sandport West Bay Street.<br>Nassau, Bahamas | SS-19086 | Anthony Ferguson           | Prescott Adderley             | Anthony Ferguson  | N/A  | N/A  |
| Capital Union Bank  | 1. Dealing in Securities as<br>Principal or Agent<br>2. Managing Securities<br>3. Advising on Securities          | Ludavic Chechin-Laurans;<br>Nicolette Alexis Duncanson | lcl@capitalunionbank.com;<br>Nicolette.Duncanson@capitalunionbank.com;<br>luciana.silvera@capitalunionbank.com;<br>stanya.stuart@capitalunionbank.com;<br>mikeiko.brown@capitalunionbank.com | CUB Financial Centre; Lyford<br>Cay   | AP-59223 | Ludavic Chechin-Laurans    | Nicolette Alexis<br>Duncanson | Clement Ducasse;<br>Antoine Lacourt;<br>Maxine Barberis;<br>Pierre Soron;<br>Marvin Riera;<br>Clement Gless   | Clement Ducasse;<br>Antoine Lacourt  | Clement Ducasse;<br>Antoine Lacourt;                 |
| Capital Vision Limited  | 1. Managing Securities<br>2. Advising on Securities   | Anthony Ferguson                                       | aferguson@cfal.com;<br>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<br>2. Advising on Securities   | Gerhardus van Niekerk;<br>Michelle Bain                | <a href="mailto:mbain@sterling-bahamas.com">mbain@sterling-bahamas.com</a>   | Albany Financial Center, South<br>Ocean Boulevard, Suite 508                  | N/A      | Gerhardus van Niekerk      | Michelle Bain                 | N/A   | Gerhardus van Niekerk  | Gerhardus van Niekerk                                |
| CBH Bahamas Ltd.  | 1. Dealing in Securities as<br>Agent<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities | Daniel Baron   | pwilliams@cbhbank.com;<br>rrolle@cbhbank.com   | CBH House, East Bay Street  | N-1724   | Daniel Baron               | Rochelle Rolle                | Shamini Gibson;<br>Jamal Wright;<br>Daniel Baron;<br>Jamaal Farquharson; William<br>Gibson;<br>Ginarenae Chuno;<br>Lynette Martinborough; ;<br>Julio Vargas | Shamini Gibson;<br>Jamal Wright;<br>Ursula Rolle;<br>Jamaal Farquharson;<br>William Gibson;<br>Ginarenae Chuno;<br>Guilhermo Alvarez Santini;<br>Lynette Martinborough;<br>Julio Vargas;<br>Daniel Baron | Ursula Rolle   |

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|--|---|-----------------------------------|--|--|----------|----------------------------|-------------------------|--|---|--|
|  |   |                                   |  |  |          | CEO                        | COMPLIANCE OFFICER      | TRADING REP  | ADVISING REP  | MANAGING REP   |
| CF Group Company Limited                     | 1. Dealing in Securities as Agent only, including underwriting  | Keva Ferguson;<br>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  |
| CFAL Securities Ltd.                         | 1. Dealing in Securities as Principal & Agent<br>2. Arranging Deals.<br>3. Managing Securities<br>4. Advising on Securities | Anthony Ferguson                  | aferguson@cfal.com;<br>info@cfal.com;<br>mtknowles@cfal.com  | 308 East Bay Street  | CB-12407 | Anthony Ferguson           | Monique Knowles         | Pamela Musgrove;<br>Tiffany Angelique Smith;<br>Jeanelle Christal Francis;<br>Giovannah Evans;<br>Anna Zervos; | Dwayne Swann;<br>Shafegah Duncanson;                    | N/A  |
| CIBC Trust Company (Bahamas) Limited         | 1. Dealing in Securities as Agent<br>2. Arranging Deals<br>3. Managing Securities<br>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<br>2. Arranging Deals   | Rupert Walle                      | rwalle@citco.com;<br>ledgcombe@citco.com   | One Montaque Place, East Bay Street  | N-4906   | Rupert Walle               | Lowrell L. A. Edgecombe | Tamar M. Armbrister-Delancey   | N/A   | N/A  |
| Clairmont Advisors Ltd.                      | 1. Managing Securities<br>2. Advising on Securities   | Miles Evans                       | Miles.Evans@clairmonttrust.com;<br>Compliance@clairmontwealth.com;<br>Ebony.Wright@clairmonttrust.com  | #5 Pineapple Grove, Lyford Cay   | SP-64284 | Miles Evans                | Ebony Wright            | N/A  | Miles Evans;<br>John Jephson;<br>Carlos Salzedo Navarro | Miles Evans<br>John Jephson;<br>Carlos Salzedo Navarro |
| Clairmont Trust Company Limited              | 1. Advising on Securities   | Miles Evans                       | fsd@clairmonttrust.com; miles.evans@clairmonttrust.com;<br>reporting@clairmonttrust.com;<br>wanda.maycock@clairmonttrust.com   | #5 Pineapple Grove, Lyford Cay   | SP-64284 | Miles Evans                | Wanda Maycock           | N/A  | James Hoar;<br>John Jephson;<br>Jaime Stewart           | N/A  |
| Colina Financial Advisors Limited (CFAL)     | 1. Managing Securities<br>2. Advising on Securities   | Anthony Ferguson                  | aferguson@cfal.com;<br>info@cfal.com;<br>sthurston@cfal.com;<br>mtknowles@cfal.com   | 308 East Bay Street  | CB-12407 | Anthony Ferguson           | Monique Knowles         | N/A  | Anthony Ferguson<br>Pamela Musgrove                     | Anthony Ferguson<br>Pamela Musgrove                    |
| Coralisle Pension Services (Bahamas) Limited | 1. Dealing in Securities as Agent<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities              | Larry Gibson                      | Larry.Gibson@cgoralisle.com;<br>Desiree.Parker@cgoralisle.com;<br>LaShell.Adderley@cgoralisle.com;<br>Jonelle.Gardiner@cgoralisle.com;<br>Derek.Smith@cgoralisle.com | 2nd Floor Atlantic House, Collins Avenue                                   | SS-6246  | Larry Gibson               | Derek Smith             | Kriston Moore;   | Larry Gibson  | (Vacant)   |

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|  |   |                                     |  |   |          | CEO                        | COMPLIANCE OFFICER        | TRADING REP  | ADVISING REP  | MANAGING REP   |
| Core Capital Partners Ltd.             | 1. Dealing in Securities as Agent<br>2. Managing Securities<br>3. Advising on Securities                                      | Heather Bellot-Hazarian             | hbh@ccpl.capital;<br>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<br>2. Managing Securities<br>3. Advising on Securities | Christine Russell                   | christine.russell@corner.bs; ruch@corner.bs;<br>info@corner.bs;<br>michele.clivio@corner.bs;<br>jennifer.rahming@corner.bs                                   | 1st Floor 308 East Bay Street                                   | N-7134   | Christine Russell          | Jennifer Rahming          | Davide Sergio Bonetti;<br>Shakema Sweeting;<br>Eronjha McIntosh;<br>Shevonne Rahming           | Davide Sergio Bonetti;<br>Birgit Ludig-Dridi;<br>Luigi Zizza;<br>Annamarie Garraway;<br>Orazio Defilippis;<br>Andrea Fronzoni   | Eirene Gatis-Thronebury;<br>Luigi Zizza<br>Davide Sergio Bonetti |
| CPL Advisors Limited                   | 1. Managing Securities  | Jonecka Wright                      | JWright@winterbotham.com   | Winterbotham Place<br>Marlborough & Queen Streets               | N- 3026  | Agustin del Rio            | Anja Charles              | N/A  | N/A   | Agustin del Rio  |
| Credit Suisse AG, Nassau Branch        | 1. Dealing in Securities as Principal & Agent<br>2. Arranging Deals.<br>3. Managing Securities<br>4. Advising on Securities   | Ghislane Wilkinson;<br>Peter Waller | ghislane.wilkinson@credit-suisse.com;<br>peter.waller@credit-suisse.com;<br>list.csnbnotice@credit-suisse.com;<br>jeunesse.osadebaybullard@credit-suisse.com | 4th Floor The Financial Centre,<br>Shirley & Charlotte Streets  | N-4928   | Peter Waller               | Jeunesse Osadebay-Bullard | Thomas Markus Karrer;<br>Oliver Turner;<br>Thiago Pereira; Guilherme Bianchi;<br>Rogerio Ribas | Thomas Markus Karrer;<br>Michael Ranson;<br>Flavio Lopes;<br>Rogerio Miguez Ribas Junior;<br>Guilherme Bianchi;<br>Leonam Oliveira;<br>Thiago Riberio Barroso Pereira;<br>Oliver Turner | (Vacant)   |
| Credit Suisse Brazil (Bahamas) Limited | 1. Dealing in Securities as Principal & Agent   | Vaughn Marvin Gibson                | vaughn.gibson@credit-suisse.com;<br>jeunesse.osadebaybullard@credit-suisse.com   | 4th Floor Bahamas Financial Centre, Shirley & Charlotte Streets | N-3241   | Vaughn Marvin Gibson       | Jeunesse Osadebay-Bullard | N/A  | N/A   | N/A  |
| Crescendo (Bahamas) Ltd.               | 1. Managing Securities<br>2. Advising on Securities   | Claude Philip Meier                 | cm@crescendo-bahamas.com;<br>sb@crescendo-bahamas.com;<br>pklonaris@delaneypartners.com  | Western Business Center,<br>Western Road, Nassau,<br>Bahamas    | CB-13007 | Claude Philip Meier        | Duhiza Taylease S. Smith  | N/A  | Claude Philip Meier   | Claude Philip Meier  |

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Registrants as at 30 September 2021

| LICENSEE                           | CATEGORIES  | CONTACT PERSON   | EMAIL   | ADDRESS   | P.O. BOX | Registered Representatives |                    |  |  |   |
|------------------------------------|---|------------------|---|---|----------|----------------------------|--------------------|--|--|---|
|                                    |   |                  |   |   |          | CEO                        | COMPLIANCE OFFICER | TRADING REP  | ADVISING REP   | MANAGING REP  |
| 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<br>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<br>2. Arranging Deals<br>3. Managing Securities<br>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       | Vasilina Mavros; Audra Dean; William Godet; Christopher Leonard; Vivienne Watts; Robert Turnquest; Janeen Bethel | Vasilina Mavros; Christopher Leonard; Vivienne Watts; Marcia Adderley; Giovanni Pirana; Paul Stappard; Hugo Rogers | Stefano Pral; Christopher Leonard; Vivienne Watts; Marcia Adderley; Robert Turnquest; Giovanni Pirana; Paul Stappard; Hugo Rogers |
| Deltec Investment Advisers Limited | 1. Managing Securities<br>2. Advising on Securities   | Shareece Scott   | sas@deltecbank.com; odg@deltecbank.com; jrolle@deltecbank.com   | Deltec House, Lyford Cay  | N-3229   | Jean Chalopin              | Shelly Cooke       | N/A  | Marcia Adderley; Christopher Leonard; Robert Turnquest; Hugo Rogers  | Marcia Adderley; Christopher Leonard; Robert Turnquest; Hugo Rogers   |
| Deltec Securites Ltd.              | 1. Dealing in Securities as Principal & Agent<br>2. Arranging Deals<br>3. Managing Securities                               | Shareece Scott   | sas@deltecbank.com; odg@deltecbank.com; jrolle@deltecbank.com   | Deltec House, Lyford Cay  | N-3229   | (Vacant)                   | Shelly Cooke       | Audra Dean   | N/A  | Robert Turnquest  |
| Destek Global Limited              | 1. Dealing in Securities as Agent or Principal<br>2. Arranging Deals<br>3. Managing Securities<br>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  |
| Doo Prime Bahamas Limited          | 1. Dealing in Securities as Agent or Principal<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities | Michael Slack    | mike@fortressadvisors.co;   | Suite 232, Island Lane Building<br>2nd Floor, The Olde Towne Sandy Port<br>Nassau Bahamas | SP 61708 | Michael Slack              | Nathan Adderley    | Michael Slack; Elsworth A. Moss  | Michael Slack; Elsworth A. Moss  | Michael Slack; Elsworth A. Moss   |



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Registrants as at 30 September 2021

| LICENSEE  | CATEGORIES  | CONTACT PERSON                | EMAIL  | ADDRESS   | P.O. BOX   | Registered Representatives |                          |  |  |                  |
|---|---|-------------------------------|--|---|------------|----------------------------|--------------------------|--|--|------------------|
|   |   |                               |  |   |            | CEO                        | COMPLIANCE OFFICER       | TRADING REP  | ADVISING REP   | MANAGING REP     |
| EFG Bank & Trust (Bahamas) Ltd.                                   | 1. Dealing in Securities as Principal & Agent<br>2. Arranging Deals.<br>3. Managing Securities<br>4. Advising on Securities | Gia Wright;<br>Maria Dorsett  | efgbahamas@efgbank.com;<br>gia.wright@efgbank.com;<br>maria.dorsett@efgbank.com;<br>Alexandre.SAMPEDRO@efgbank.com | Goodman's Bay Corporate Centre, 3rd Floor, West Bay Street and Sea View Drive | CB 10956   | Alexandre Sampetro         | Maria Dorsett            | Robert S. Morrison;<br>Jorge Borlandelli;<br>Nicole Leonard;<br>Dorothy Mulders;<br>Gina Williams;<br>Taurel Sands;<br>Katty Ferguson;<br>Nomiki Tsakkos;<br>Armando Neto;<br>Douglas Blank De Sousa Pereira; Carlos D'Alessandro;<br>Bruno Ferro;<br>Cristiano Melo | Jorge Borlandelli;<br>Nicole Leonard;<br>Robert S. Morrison;<br>Taurel Sands;<br>Katty Ferguson;<br>Armando Neto;<br>Douglas Blank De Sousa Pereira;<br>Carlos D'Alessandro;<br>Bruno Ferro;<br>Cristiano Melo | (Vacant)         |
| Eightcap Global Limited   | 1. Dealing in Securities as Principal & Agent<br>2. Arranging Deals.  | Andrew Rolle;<br>Tina Glinton | tina.glinton@eightcap.com;<br>Joel.muphy@eightcap.com  | Sea Sky Lane, Sandypport, Nassau, Bahamas                                     | N/A        | Andrew Rolle               | Tina Glinton             | Joel Murphy  | N/A  | N/A              |
| Elco Securities Limited   | 1. Dealing in Securities as Agent<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities              | E. Isaac Collie               | isaac@elco-bank.com;<br>derek@elco-bank.com<br>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 Bahamas Limited (Equity Bank & Trust Bahamas Limited) | 1. Dealing in Securities as Principal & Agent<br>2. Arranging Deals.<br>3. Managing Securities<br>4. Advising on Securities | Dillon Dean                   | ddean@equitybahamas.com; info@equitybahamas.com;   | Equity Trust House, Caves Village, West Bay Street                            | N-10697    | Dillon Dean                | Robyn Newton             | 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     | Vacant                     | Natividad Esther Benitez | Vacant   | N/A  | N/A              |
| Exmer Partners Limited  | 1. Managing Securities  | Ivan Hooper                   | drounce@winterbotham.com;<br>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<br>2. Advising on Securities   | Flavio De Paulis              | Nassau@extiber.com;<br>wjc@extiber.com;<br>naa@extiber.com   | 212 Church St., Sandypport, West Bay Street                                   | SP-62238   | Flavio De Paulis           | Nathan Adderley          | N/A  | Alessandro Russo   | Alessandro Russo |
| FAM Fund & Asset Management Ltd.                                  | 1. Managing Securities<br>2. Advising on Securities   | Indira Ferguson               | contact@apms-ltd.com;<br>iferguson@caystone.com; jennifer.rolle-cox@apms-ltd.com;                                  | Halisbury Commercial Centre, Suite #2, Village Road North                     | SS - 19689 | Christian Coquoz           | Indira Ferguson          | N/A  | Christian Coquoz   | Christian Coquoz |

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| LICENSEE  | CATEGORIES  | CONTACT PERSON                      | EMAIL  | ADDRESS   | P.O. BOX | Registered Representatives |                          |   |  |                                  |
|---|---|-------------------------------------|--|---|----------|----------------------------|--------------------------|---|--|----------------------------------|
|   |   |                                     |  |   |          | CEO                        | COMPLIANCE OFFICER       | TRADING REP   | ADVISING REP                                       | MANAGING REP                     |
| FC Capital Investments Ltd.                         | 1. Managing Securities<br>2. Advising on Securities   | Alexander Martin Murbach            | alexander@fccibahamas.com;<br>leo@fccibahamas.com;<br>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     |
| First Overseas Bank Limited                         | 1. Dealing in Securities as Principal & Agent   | Carlos Walton                       | cwalton@firstoverseasbank.com;<br>info@firstoverseasbank.com;<br>jshedden@firstoverseasbank.com;<br>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<br>2. Arranging Deals.<br>3. Managing Securities<br>4. Advising on Securities | Lakasha Miller                      | Lakasha.Miller@cibcfcb.com<br>Sherrylyn.Bastian@cibcfcb.com  | FirstCaribbean International Bank Financial Centre, 2nd Floor, Shirley Street | N-3221   | Jacqueline Bend            | Lakasha Miller           | Gina Mackenzie; Sean Blyden; Brent Haines; Carlyle Bethel | Brent Haines; Carlyle Bethel                       | Gina Mackenzie                   |
| Fitpart Fund Administration Services Ltd.           | 1. Managing Securities<br>2. Advising on Securities   | Fernando Prado                      | fernando@fitpart.com.br; bethell@fitpart.bs;<br>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<br>2. Advising on Securities   | Jorge Finkler Braverman             | efinkler@fkcapitalmanagement.com;<br>contact@caystonesolutions.com;<br>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;<br>p.phidia@fxpro.com  | Lyford Financial Center; Western Road   | N-7776   | Charalambos Psimolophitis  | Phidias Phidia           | Charalambos Psimolophitis                                 | N/A  | N/A                              |
| GEM Global Equities Management S.A.                 | 1. Managing Securities<br>2. Advising on Securities   | Anthony Inder Rieden                | ceo@euro-dutch.com;<br>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<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities  | Cedric Carroll                      | cedric.carroll@gemsmanagement.com;<br>iferguson@caystone.com   | Goodman's Bay Corporate Centre, West Bay Street and Sea View Drive            | SP-61567 | Cedric Carroll             | Indira Ferguson          | Cedric Carroll  | Cedric Carroll                                     | Cedric Carroll                   |
| Global Advisors Partners Ltd.                       | 1. Managing Securities<br>2. Advising on Securities   | Alexandre Vancoff;<br>Ivano Alliata | alex@globalnassau.com;<br>edgarseligman74@gmail.com;<br>ivano@globalnassau.com   | 3rd Floor<br>Coin of the Realm Building<br>Charlotte Street                   | N-9471   | Alexandre Vancoff          | Edgar Seligman           | N/A   | Ivano Alliata                                      | Alexandre Vancoff, Ivano Alliata |
| Goldensheikh Overseas Limited                       | 1. Advising on Securities   | Riccardo Sigon                      | gsoslimited@gmail.com;<br>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 2021

| 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<br>2. Arranging Deals.<br>3. Managing Securities<br>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 ; Lamon Mangal | Ingrid Taylor; Guillermo Santini; Patrick Feuz; Valentin Sevilla; Patrick Guye-Bergeret; Ahmed el Shahawy; Valerie Garcia; Lamon Mangal | James French; Ingrid Taylor; Patrick Feuz; Valentin Sevilla; Valerie Garcia |
| GQ Capital Markets Limited  | 1. Dealing in Securities as Principal & Agent<br>2. Arranging Deals.  | Hubert Edwards                           | hubert.edwards@gqfx.com;<br>compliance@gqfx.com;<br>duhiza.smith@gqfx.com  | 104 Island Lane, Olde Towne, Sandypport, Nassau, The Bahamas       | SP-64195   | Hubert Edwards             | Duhiza Taylease S. Smith | Keith Christopher Kirksey  | N/A   | N/A   |
| Green Cay Advisory Ltd.   | 1. Arranging Deals<br>2. Managing Securities<br>3. Advising on Securities   | Vincenzo Piantedosi                      | jb@greencay.com.bs;<br>vpiantedosi@siriob.com;<br>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<br>2. Arranging deals in Securities                  | Michael Halkitis;<br>Georgianne Robinson | compliance@invest-ht.com   | Sea Sky Lane, Sandypport, Nassau, Bahamas                          | N/A        | Michael Halkitis           | Gerogianne Robinson      | Michael Halkitis   | N/A   | N/A   |
| Hoku Capital Markets Limited  | 1. Dealing in Securities as Principal or Agent, including underwriting<br>2. Arranging deals in Securities                  | Jason Lenox Oliver                       | jasonoliver242@gmail.com;<br>jim@offshore.services;<br>millerbd2019@gmail.com  | Sea Sky Lane, Sandypport, Nassau, Bahamas                          |            | Jason Lenox Oliver         | Benjamin Miller          | Jason Lenox Oliver   | N/A   | N/A   |
| Holdun Family Office (Bahamas) Limited (formerly Holdun Investment Partners Inc.) | 1. Managing Securities  | Brendan Dunn                             | bdunn@holdun.com;<br>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<br>2. Advising on Securities   | Mark Holowesko                           | mholowesko@holoweskopartners.com;<br>ereynolds@holoweskopartners.com;<br>compliance@holoweskopartners.com;<br>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<br>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  |

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Registrants as at 30 September 2021

| LICENSEE  | CATEGORIES   | CONTACT PERSON                   | EMAIL  | ADDRESS  | P.O. BOX | Registered Representatives |                                  |  |                         |                         |
|---|--|----------------------------------|--|--|----------|----------------------------|----------------------------------|--|-------------------------|-------------------------|
|   |  |                                  |  |  |          | CEO                        | COMPLIANCE OFFICER               | TRADING REP  | ADVISING REP            | MANAGING REP            |
| IC Markets Ltd.   | 1. Dealing in Securities as Principal or Agent, including underwriting   | Linda Mackey;<br>Crystal McClain | l.mackey@icmarkets.com<br>c.mcclain@icmarkets.com<br>compliancebh@icmarkets.com; | Western Business Center,<br>Unit 3B, Upper Floor<br>Western Road,<br>Nassau, Bahamas         | N-272    | Linda Mackey               | Crystal McClain                  | Andrew Budzinski   | N/A                     | N/A                     |
| Inteligo Bank Ltd.  | 1. Dealing in Securities as Agent<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities | Bruno Ferreccio Del Rio          | bferreccio@inteligogroup.com;<br>srodriguez@inteligogroup.com                    | 1st Floor, Seventeen Shop<br>Building, Fourth Terrace,<br>Collins Avenue, Nassau,<br>Bahamas | N-3732   | Bruno Ferreccio Del Rio    | Silka Yaneth<br>Rodriguez Mendez | Bruno Ferreccio Del Rio  | Bruno Ferreccio Del Rio | Bruno Ferreccio Del Rio |
| Investar Securities Ltd.  | 1. Dealing in Securities as Agent<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities | Ansel Watson                     | awatson@ivstar.com;<br>sabds@brickellbahamas.com;<br>vwiliams@ivstar.com         | 443 East Bay Street  | SS-19086 | Ansel Watson               | Omar Sands                       | Ansel Watson;<br>Vincent Williams  | Ansel Watson            | Ansel Watson            |
| Itau International Securities Inc.                                    | 1. Dealing in Securities as Agent<br>2. Arranging Deals  | Gustavo Abrunhosa                | gustavo.abrunhosa@itauinternational.com;<br>sara.gaitan@itauinternational.com    | 31B, Annex Building, 2nd Floor,<br>East Bay Street   | N-3930   | Gustavo Abrunhosa          | Sara Catalina Gaitan             | Gustavo Abrunhosa, Marcelo<br>Aagesan, Gilmar De Oliveira,<br>Carlos Fernandes, Alberto Tahí;<br>Carlos Eduardo De Souza<br>Fernandes; Marcelo Aagesan | N/A                     | N/A                     |
| IX Capital Group Limited (formerly Infinox Capital (Bahamas) Limited) | 1. Dealing in Securities as Agent or Principal<br>2. Arranging Deals<br>3. Managing Securities                 | Anthony Stubbs                   | anthony.stubbs@ixcg.bs;<br>sherella.gibson-sturru@ixcg.bs                        | 109 Church Street, Sandyport,<br>Marina Village  | SP-62756 | Anthony Stubbs             | Sherella Gibson-<br>Sturru       | Mun Low  | N/A                     | Fei Wang                |
| J&M Global Company Ltd.   | 1. Dealing in Securities as Agent or Principal<br>2. Arranging Deals<br>3. Managing Securities                 | LaTonia Symonette-Tinker         | ltinker@thebayshoregroup.org;  | 4 Buckner Square,<br>Sandyport   | N 1879   | Paul Bartlett              | Latonia Symonette-<br>Tinker     | Daniel Hao   | N/A                     | Daniel Hao              |
| J. Safra Sarasin Asset Management (Bahamas) Ltd.                      | 1. Managing Securities<br>2. Advising on Securities  | Daniel Kamkahji                  | daniel.kamkahji@jsafrasarasin.com;<br>Bernard.Young@jsafrasarasin.com            | 204 Church Street, Old Towne,<br>Sandyport   | CB-10988 | Daniel Kamkahji            | Bernard Young                    | N/A  | Daniel Kamkahji         | Daniel Kamkahji         |

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Registrants as at 30 September 2021

| LICENSEE   | CATEGORIES  | CONTACT PERSON     | EMAIL   | ADDRESS   | P.O. BOX | Registered Representatives |                    |   |   |                  |
|--|---|--------------------|---|---|----------|----------------------------|--------------------|---|---|------------------|
|  |   |                    |   |   |          | CEO                        | COMPLIANCE OFFICER | TRADING REP   | ADVISING REP  | MANAGING REP     |
| Jefferson Capital Limited  | 1. Managing Securities<br>2. Advising on Securities   | Ali Bilgrami       | a.bilgrami@jeffersongroup.com;<br>corporate@genesissfundservices.com;<br>smunroe@genesissfundservices.com | 5th Floor 308 East Bay Street                                       | N-9058   | Ali Bilgrami               | Shonalee Munroe    | N/A   | Khofiz Shakhidi   | Ali Bilgrami     |
| Julius Baer Bank (Bahamas) Limited<br>formerly (Julius Baer Bank & Trust<br>(Bahamas) Limited) | 1. Dealing in Securities as<br>Agent<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities | Peter Wirth        | peter.wirth@juliusbaer.com; rochelle.rolle@juliusbaer.com   | Ocean Centre, Montague<br>Foreshore                                 | N-4890   | Peter Wirth                | Rochelle Rolle     | Melan Georges;<br>Orazio De Filippis;<br>Latoya McPhee-Paul;<br>Sharon LaFleur;<br>Anna Zwiyolek;<br>Leda Curry;<br>Maria Darville;<br>Eronjha McIntosh;<br>Ranel Hanna;<br>Karina Glinton;<br>Gia Burrows; | Orazio De Filippis;<br>Latoya McPhee-Paul;<br>Sharon LaFleur;<br>Anna Zwiyolek; | Melan Georges;   |
| Kahu Capital Partners Limited  | 1. Managing Securities<br>2. Advising on Securities   | Alexander Zivic    | azivic@kahucp.com;<br>iferguson@caystone.com  | Albany Financial Centre   |          | Alexander Zivic            | Indira Ferguson    | N/A   | Alexander Zivic   | Alexander Zivic  |
| KP Investment Advisors Ltd.  | 1. Managing Securities<br>2. Advising on Securities   | Jennifer Rolle-Cox | zb@famfund-ltd.com;<br>contact@apms-ltd.com;<br>iferguson@caystone.com; jennifer.rolle-cox@apms-ltd.com;  | Halisbury Commercial Centre,<br>Suite #2, Village Road North        | SS-19689 | Christian Coquoz           | Indira Ferguson    | N/A   | Christian Coquoz  | Christian Coquoz |
| LCG Capital Markets Limited<br>(formerly London Capital Group<br>(Bahamas) Limited)            | 1. Dealing in Securities as<br>Principal & Agent<br>2. Arranging Deals  | Sean Munnings      | sean.munnings@lcg.com;<br>Philip.Dorsett@lcg.com  | 5 North Buckner Square<br>Olde Towne, Sandypport<br>West Bay Street | N-272    | Sean Munnings              | Philip Dorsett     | Georgios Stylianou  | N/A   | N/A              |

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Registrants as at 30 September 2021

| LICENSEE   | CATEGORIES  | CONTACT PERSON   | EMAIL  | ADDRESS   | P.O. BOX | Registered Representatives |                    |  |  |  |
|--|---|------------------|--|---|----------|----------------------------|--------------------|--|--|--|
|  |   |                  |  |   |          | CEO                        | COMPLIANCE OFFICER | TRADING REP  | ADVISING REP   | MANAGING REP   |
| Leno Corporate Services Limited  | 1. Dealing in Securities as Principal & Agent<br>2. Arranging Deals<br>3. Managing Securities<br>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; George A. White | Tricetta Small; Khalil Braithwaite; Sherell Woodside-Concliffe; Kerah Farquharson; George A. White         | N/A  |
| Lighthouse Asset Management Ltd.   | 1. Managing Securities<br>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  |
| LOM Financial (Bahamas) Limited formerly (LOM Stockbrokers International Ltd.) | 1. Dealing in Securities as Principal & Agent<br>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   | Vacant   | N/A  | N/A  |
| Lombard Odier & Cie (Bahamas) Limited  | 1. Dealing in Securities as Principal & Agent<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities  | Renaud Vielfaure | r.vieffaure@lombardodier.com; v.maura@lombardodier.com; compliance-nassau@lombardodier.com | Goodman's Bay Corporate Centre, West Bay Street & Seaview Drive         | N-4938   | Renaud Vielfaure           | Venetia Maura      | Alejandro Catala   | Renaud Vielfaure; Claudio Godenzi; Joanne Pyfrom; Maurice Chiacchiarri; Roberto Berbey; Alberto Inguaggito | Renaud Vielfaure; Claudio Godenzi; Joanne Pyfrom; Maurice Chiacchiarri; Roberto Berbey; Alberto Inguaggito |
| LT Green Capital Investment Limited  | 1. Managing Securities<br>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  |
| Lucayas Bank Ltd. (formerly Private Investment Bank Limited)                   | 1. Dealing in Securities as Agent<br>2. Managing Securities<br>3. Advising on Securities                                    | Benjamin Pinder  | pibbank@pib.bs; pibl.general-management@pib.bs; peter.butler@pib.bs                        | Devonshire House, Queen Street  | N-3918   | (Application Pending)      | Peter Butler       | Benjamin Pinder<br>Von Wilson  | (Vacant)   | (Vacant)   |
| Lydda Capital Ltd.   | 1. Dealing in Securities as Principal or Agent<br>2. Arranging Deals<br>3. Managing Securities<br>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   |

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Registrants as at 30 September 2021

| LICENSEE  | CATEGORIES   | CONTACT PERSON    | EMAIL   | ADDRESS   | P.O. BOX | Registered Representatives |                    |                                     |                                     |                                     |
|---|--|-------------------|---|---|----------|----------------------------|--------------------|-------------------------------------|-------------------------------------|-------------------------------------|
|   |  |                   |   |   |          | CEO                        | COMPLIANCE OFFICER | TRADING REP                         | ADVISING REP                        | MANAGING REP                        |
| Lyford International Bank Ltd<br>(formerly Lyford International Bank & Trust Ltd) | 1. Dealing in Securities as Agent<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities | Andrew Alexiou    | info@ansbacher.bs;<br>andrew.alexiou@ansbacher.bs   | Lyford Manor, West Bay Street   | CB-13012 | N/A                        | N/A                | N/A                                 | N/A                                 | N/A                                 |
| Macro Bank Limited  | 1. Dealing in Securities as Agent<br>2. Arranging Deals  | Rosina Simeto     | rsimeto@macrobankltd.com;<br>sgjani@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<br>2. Advising on Securities  | Robert Davidowski | bdavidowski@mfl.bs;<br>nadderley@mfl.bs;<br>itowell@mfl.bs  | 309 West Bay Street, Goodman's Bay Corporate Centre                         | CB-13366 | Robert Davidowski          | Nathan Adderley    | Meredith Miller;<br>Destiny Rollins | Robert Davidowski;<br>Ian Towell;   | Robert Davidowski                   |
| Magnum Global Advisors Ltd.   | 1. Managing Securities   | Christian Coquoz  | cc@magnum-ltd.com;<br>contact@apms-ltd.com;<br>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                    |
| Marlin Capital Partners Limited   | 1. Managing Securities<br>2. Advising on Securities  | Zachary Lyons     | iferguson@caystone.com;<br>zlyons@marlinadvisory.com  | CUB Financial Centre, Western Road, Nassau, Bahamas                         | N-4469   | Zachary Lyons              | Indira Ferguson    | N/A                                 | Zachary Lyons;<br>Richard Heathcote | Zachary Lyons;<br>Richard Heathcote |
| Mint Capital Advisors Ltd.  | 1. Managing Securities   | Eric Strachan     | Eric@mint-advisors.com;<br>backoffice@mint-advisors.com   | Templeton Building, West Bay Street   | N-9204   | Eric Strachan              | Neil Major         | N/A                                 | N/A                                 | Eric Strachan                       |
| MMG Bank & Trust Ltd.   | 1. Dealing in Securities as Agent<br>2. Managing Securities<br>3. Advising on Securities                       | Laverne Thompson  | jorge.morgan@mmgbank.com;<br>bahamas.team@mmgbank.com;<br>laverne.thompson@mmgbank.com;<br>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<br>2. Advising on Securities  | Claudio Schreier  | cschreier@montblanc.com.bs;<br>info@cfal.com;<br>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<br>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                                 |

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Registrants as at 30 September 2021

| LICENSEE   | CATEGORIES  | CONTACT PERSON       | EMAIL  | ADDRESS  | P.O. BOX | Registered Representatives |                              |   |   |   |
|--|---|----------------------|--|--|----------|----------------------------|------------------------------|---|---|---|
|  |   |                      |  |  |          | CEO                        | COMPLIANCE OFFICER           | TRADING REP                                 | ADVISING REP                                | MANAGING REP  |
| Mosaic Financial Ltd. (formerly Old Fort Financial)    | 1. Dealing in Securities as Agent<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities              | Shameka Fernander    | shameka.fernander@oldfortfinancial.com;<br>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   |
| Nexor (Bahamas) Ltd. (formerly Syz Bank (Bahamas) Ltd) | 1. Managing Securities<br>2. Advising on Securities   | Daniel-Marc Brunner  | dmbrunner@nexor.am;<br>wgruner@nexor.am  | Old Fort Bay Town Centre, Building 2, Windsor Field Road           | N-1089   | Daniel-Marc Brunner        | (Vacant)                     | N/A   | Werner Gruner;<br>Daniel-Marc Brunner       | (Vacant)  |
| Nordica Investment Management Limited                  | 1. Advising on Securities   | Danie Pertti Hedkrok | pertti@nordicamanagement.com;<br>info@nordicamanagement.com;<br>mbain@sterling-bahamas.com;<br>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<br>2. Advising on Securities   | Alain Kunz           | afk@octogone.com.bs;<br>ssc@octogone.com.bs;<br>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;<br>Joakim Lehmkuhl   |
| Oracle Capital Advisors Ltd.                           | 1. Dealing in Securities as Agent<br>2. Managing Securities<br>3. Advising on Securities                                    | Oleg Nikityuk        | mbain@sterling-bahamas.com;<br>oleg.n@orcap-group.com  | Suite 205A Saffrey Square, Bank Lane and Bay Street                | N-9934   | Oleg Nikityuk              | Michelle Bain                | Oleg Nikityuk                               | Oleg Nikityuk                               | Oleg Nikityuk   |
| Pacifico Global Advisors Ltd.                          | 1. Dealing in Securities as Principal or Agent<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities | Arturo Klein         | ak@pacifico-ltd.com;<br>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 |
| Pepperstone Markets Limited                            | 1. Dealing in Securities as Agent or Principal, including Underwriting<br>2. Arranging Deals<br>3. Managing Securities      | Michael Halkitis;    | michael.halkitis@pepperstone.com;<br>compliance.bs@pepperstone.com   | Sea Sky Lane B201 – 204 Sandypoint West Bay Street Nassau, Bahamas |          | Michael Halkitis           | Vacant                       | Scott Redford                               | N/A   | Scott Redford   |



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Registrants as at 30 September 2021

| LICENSEE   | CATEGORIES  | CONTACT PERSON                                   | EMAIL   | ADDRESS   | P.O. BOX     | Registered Representatives   |                          |  |   |   |
|--|---|--|---|---|--------------|------------------------------|--------------------------|--|---|---|
|  |   |  |   |   |              | CEO                          | COMPLIANCE OFFICER       | TRADING REP  | ADVISING REP  | MANAGING REP  |
| Phoenix Capital Ltd.                                   | 1. Managing Securities<br>2. Advising on Securities   | Luca Carlo Pasquale Lanciano                     | luca@phoenix.bs;<br>compliance@phoenix.com  | 212 Church Street, Old Towne Sandypport   | SP-64377     | Luca Carlo Pasquale Lanciano | Aruna Rodgers            | N/A  | Luca Carlo Pasquale Lanciano;<br>Carla Taylor   | Luca Carlo Pasquale Lanciano;<br>Carla Taylor           |
| Pictet Bank & Trust Limited                            | 1. Dealing in Securities as Agent<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities              | Alberto Valenzuela                               | avalenzuela@pictet.com;<br>jmezulanik@pictet.com;<br>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;<br>Nikola Ruzicic-Kessler;<br>Tyres Sturupp |
| Prevatt Capital Ltd. (formerly, San Blas Capital Ltd.) | 1. Managing Securities<br>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                                 |
| Plotio Global Financial Ltd.                           | 1. Dealing in Securities as Agent or Principal, including underwriting<br>2. Arranging Deals in Securities                  | Vincent Laurent King<br>Latonia Symonette-Tinker | vking@vlkdirectors.com;<br>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   |
| Primo Investment Advisors Limited                      | 1. Managing Securities<br>2. Advising on Securities   | Ecio Silva                                       | dayana@primo.bs<br>compliance@caystonesolutions.com   | 2 Lyford Cay Financial Centre, Western Road, Centre of Commerce Nassau, Bahamas | SP-639       | Ecio Silva                   | Indira Ferguson          | N/A  | Ecio Silva  | Ecio Silva  |
| Primus Worldwide Limited                               | 1. Dealing in Securities as Agent or Principal, including underwriting<br>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   |
| Providence Advisors Limited                            | 1. Dealing in Securities as Principal & Agent<br>2. Arranging Deals.<br>3. Managing Securities<br>4. Advising on Securities | Kenwood Kerr;<br>Monique Cooper                  | kenwood.kerr@providenceadvisors.net;<br>iferguson@caystonesolutions.com;<br>monique.cooper@providenceadvisors.net | 1st Floor, Goodman's Bay Corporate Centre                                       | AP-59223-409 | Kenwood Kerr                 | Indira Ferguson          | N/A  | N/A   | Kenwood Kerr;<br>Carrol Burrows                         |

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Registrants as at 30 September 2021

| LICENSEE   | CATEGORIES   | CONTACT PERSON              | EMAIL   | ADDRESS  | P.O. BOX | Registered Representatives  |                             |   |  |  |
|--|--|-----------------------------|---|--|----------|-----------------------------|-----------------------------|---|--|--|
|  |  |                             |   |  |          | CEO                         | COMPLIANCE OFFICER          | TRADING REP   | ADVISING REP   | MANAGING REP   |
| Q I Advisors   | 1. Managing Securities<br>2. Advising on Securities  | Heather Bellot-Hazarian     | hbh@ccpl.capital;<br>klk@ccpl.capital   | 105 Church Street, Sandypport,<br>Nassau, Bahamas                              | SP-63035 | Heather Bellot-Hazarian     | Kristy Kemp                 |   | Heather Bellot-Hazarian  | Heather Bellot-Hazarian  |
| Quantfury Trading Limited<br>(formerly, Chariton Capital Ltd.)                                 | 1. Dealing in Securities as<br>Principal & Agent<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities  | Anthony Ferguson            | Apourdad@charitoncapital.bs<br>padderley@cfal.com;  | 308 East Bay Street, 1st Floor<br>Bayview House. Nassau,<br>Bahamas            | CB 12407 | Ali Pourdad                 | Prescott Adderley           | (Vacant)  | (Vacant)   | (Vacant)   |
| RBC Dominion Securities (Global)<br>Limited  | 1. Dealing in Securities as<br>Principal & Agent<br>2. Arranging Deals.<br>3. Managing Securities<br>4. Advising on Securities | Andrew McCartney            | mario.smith@rbc.com;<br>sophia.mckenzie@rbc.com;<br>andrew.mccartney@rbc.com                                  | Suite 201, Albany Financial<br>Center, South Ocean Boulevard                   | N-3234   | Andrew McCartney            | Mario Smith                 | John Rodney Bond;<br>Francisco Goncalves;<br>Devaughn Taylor;<br>Gregory Metrailler | John Rodney Bond;<br>Carol Denis Newbold;<br>Sophia Eloise McKenzie;<br>Francisco Goncalves;<br>Gregory Metrailler                   | Francisco Goncalves;<br>Gregory Metrailler                           |
| Renhe Financial Services Limited   | 1. Dealing in Securities as<br>Agent<br>2. Arranging Deals   | Reece Chipman               | reecechipman@hotmail.com;<br>cassandra.johnson@renhefs.com  | Sea Sky Lane, Sandypport,<br>Nassau, Bahamas                                   | N 3406   | Reece Chipman               | Cassandra Johnson           | Yi Zhou   | N/A  | N/A  |
| RIA Company Ltd.   | 1. Managing Securities   | Alejandro Luis Barroetavena | baroetavena@riacolt.com;<br>acharles@winterbotham.com   | Winterbotham Place,<br>Malborough & Queen Streets                              | N-3026   | Alejandro Luis Barroetavena | Anja Marie Charles          | N/A   | N/A  | Alejandro Luis Barroetavena  |
| RF Bank & Trust (Bahamas) Limited<br>formerly, Royal Fidelity Merchant<br>Bank & Trust Limited | 1. Dealing in Securities as<br>Agent<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities              | Michael Anderson            | michael.anderson@royalfidelity.com;<br>RFMBTRegulator@royalfidelity.com;<br>theresa.glinton@royalfidelity.com | Fidelity Financial Centre, 51<br>Frederick Street                              | N-4853   | Michael Anderson            | Theresa Felicia<br>Glinton  | Belinda Payne;<br>Quentin Euriel Gibson;<br>Taylor Gerard Higgs                     | Paulette Lozaïque;<br>Tishrea Grey;<br>Quentin Euriel Gibson;<br>Dominic Ajvon Stubbs ;<br>Nevin Nico Knowles;<br>Karen Raquel Major | Cleora Fraquharson;<br>David Craig;<br>Van Onselen;<br>David Slatter |
| Scotiabank (Bahamas) Limited   | 1. Dealing in Securities as<br>Principal & Agent<br>2. Arranging Deals.<br>3. Managing Securities<br>4. Advising on Securities | Roger Archer                | roger.archer@scotiabank.com;  | Rawson Square, Bay Street,<br>Nassau, Bahamas                                  | N-7518   | Roger Archer                | (Vacant)                    | Deno Moss;<br>Janae Francis-Ingraham  | Deno Moss;<br>Lisa Cherisse Taylor   | Deno Moss  |
| Seacapital Ltd.  | 1. Dealing in Securities as<br>Agent<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities              | Jason Lenox Oliver          | jasonoliver@gmail.com;<br>jasmincartwright@coralwave.com  | 3rd Floor Garden View Office<br>Suites, Dunmore Avenue, Off<br>West Bay Street | CB-13027 | Jason Lenox Oliver          | Jasmine Tanya<br>Cartwright | Steven Michael Videla   | N/A  | Steven Michael Videla  |
| Sinclair Asset Management Ltd.   | 1. Managing Securities<br>2. Advising on Securities  | Jean-Marc Wagner            | jmw@sinclair.com; iferguson@caystonesolutions.com;<br>jj@sinclair.com   | 207 Church Street, Sandypport.<br>Nassau, Bahamas                              | N/A      | Jean-Marc Wagner            | Indira Ferguson             | N/A   | Jean-Marc Wagner;<br>Joel Johnson  | Jean-Marc Wagner;<br>Joel Johnson                                    |
| SIS Solutions Ltd. (formerly Swiss<br>Investment Solutions (SIS) Ltd.)                         | 1. Managing Securities   | Keva McPhee                 | keva.mcphee@sis-solutions-ltd.com;<br>krystina.campbell@sis-solutions-ltd.com                                 | Devonshire House, Queen<br>Street  | SP-64111 | Keva McPhee                 | Nicolette Campbell          | N/A   | N/A  | Keva McPhee  |

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Registrants as at 30 September 2021

| LICENSEE                          | CATEGORIES   | CONTACT PERSON             | EMAIL  | ADDRESS  | P.O. BOX | Registered Representatives |                              |  |   |   |
|-----------------------------------|--|----------------------------|--|--|----------|----------------------------|------------------------------|--|---|---|
|                                   |  |                            |  |  |          | CEO                        | COMPLIANCE OFFICER           | TRADING REP                                  | ADVISING REP                              | MANAGING REP  |
| Sixteen Securities Inc.           | 1. Dealing as Agent<br>2. Arranging Deals  | Katie Roberts              | compliance@sixteensecurities.com;<br>Katie.Roberts@ssibs.com                           | 208 Church Street, Sandyport,<br>Nassau, Bahamas                       | EE-17544 | (Application Pending)      | Katie Roberts                | Yuanyuan Gho                                 | N/A                                       | N/A   |
| St. Matthew Capital Ltd.          | 1. Managing Securities<br>2. Advising on Securities  | Antoine Bastian            | abastian@scml.com;<br>aferguson@smcl.com;<br>padderley@cfal.com                        | 3rd Floor Bayview House, #308<br>East Bay Street                       | CB-12407 | Antoine Bastian            | Prescott Adderley            | N/A  | Anthony Ferguson                          | Anthony Ferguson  |
| Sterling Financial Group Inc.     | 1. Managing Securities<br>2. Advising on Securities  | David Kosoy                | dk@sterlingglobaltd.com; info@sterlingglobaltd.com;<br>sbonamy@sterlingglobaltd.com    | 81 East Bay Street, Nassau,<br>Bahamas                                 | N-1812   | David Kosoy                | Sunita Bonamy                | David Kosoy;<br>Stephen Tiller               | David Kosoy;<br>Stephen Tiller;           | David Kosoy;<br>Stephen Tiller  |
| Stone Tower Management Ltd.       | 1. Managing Securities   | Olivier Chaponnier         | sasa@leadingservices.net;<br>stonetower@leadingservices.net;<br>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;<br>jm@swancap.net  | Old Fort Bay Town Centre Unit<br>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<br>Principal & Agent<br>2. Arranging Deals.<br>3. Managing Securities<br>4. Advising on Securities | Guy Gentile                | guy@suretrader.com;<br>edward@suretrader.com   | Suite # 17, Elizabeth on Bay<br>Plaza, Elizabeth Ave. & Bay<br>Street  | N-8340   | Guy Gentile                | Edward Cooper                | Drameko Moore                                | N/A                                       | N/A   |
| Swiss Atlantic S.A.               | 1. Managing Securities<br>2. Advising on Securities  | Olivier Chaponnier         | sasa@leadingservices.net;<br>iferguson@caystone.com                                    | 2nd Terrace West, Centreville  | N-10567  | Olivier Chaponnier         | Indira Ferguson              | N/A  | Olivier Chaponnier                        | Olivier Chaponnier;<br>Leo Huber  |
| Techfin Markets Limited           | 1. Dealing in Securities as<br>Principal or Agent,<br>including underwriting<br>2. Arranging Deals                             | LaTonia Symonette-Tinker   | ltinker@thebayshoregroup.org   | Capital Union Bank Financial<br>Centre, Lyford Cay, Nassau,<br>Bahamas | N-1879   | Theresa Haven-Adderley     | Latonia Symonette-<br>Tinker | Giannakis Papatheodoulou;<br>Christos Barris | N/A                                       | N/A   |
| Templeton Global Advisors Limited | 1. Managing Securities<br>2. Advising on Securities  | Alan Bartlett              | alan.bartlett@franklintempleton.com;<br>peter.palleija@franklin.templeton.com          | Templeton House, Lyford Cay,<br>Nassau, Bahamas                        | N-7759   | Alan Bartlett              | Peter Palleija               | N/A  | Peter Manfred Moeschter;<br>Warren Pustam | Herbert Arnett Jr.;<br>Christopher Peel;<br>Alan Bartlett;<br>Peter Manfred Moeschter |

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Registrants as at 30 September 2021

| LICENSEE   | CATEGORIES  | CONTACT PERSON                                   | EMAIL  | ADDRESS   | P.O. BOX | Registered Representatives |                    |  |   |  |
|--|---|--|--|---|----------|----------------------------|--------------------|--|---|--|
|  |   |  |  |   |          | CEO                        | COMPLIANCE OFFICER | TRADING REP  | ADVISING REP  | MANAGING REP                                       |
| The Bank of Nova Scotia Trust Company (Bahamas) Ltd.             | 1. Dealing in Securities as Principal & Agent<br>2. Arranging Deals.<br>3. Managing Securities<br>4. Advising on Securities                         | Mario Causarano<br>Delric Beneby<br>Wence Martin | mario.causarano@scotiawealth.com;<br>delric.beneby@scotiawealth.com;<br>wence.martin@scotiawealth.com  | Scotia House, 404 East Bay Street   | N-3016   | Mario Causarano            | Delric Beneby      | Jillian Dames;<br>Gregory Walker; Rupina Knowles;<br>Jerome Franks                                 | Jillian Dames;<br>Gregory Walker;<br>Jerome Franks;<br>Juan Giraldo | Jillian Dames;<br>Gregory Walker;<br>Jerome Franks |
| The Private Trust Corporation Limited                            | 1. Dealing in Securities as Agent<br>2. Arranging Deals   | Adrian Crosbie-Jones                             | info@privatetrustco.com;<br>acj@privatetrustco.com;<br>ndean@privatetrustco.com  | 2nd Floor, Charlotte House, Shirley & Charlotte Streets                           | N-65     | Adrian Crosbie-Jones       | Natasha Dean       | Charlene Storr;<br>Bruno Roberts   | N/A   | N/A  |
| The Street Trader Limited  | 1. Dealing in Securities as Agent   | Esther Newton                                    | <a href="mailto:esther.newton@tstbah.com">esther.newton@tstbah.com</a><br><a href="mailto:debra.neymour@tstbah.com">debra.neymour@tstbah.com</a> | 205 Church Street<br>Sandyport  | SP-64427 | Esther Newton              | Debra Neymour      | Vacant   | N/A   | N/A  |
| The Winterbotham Trust Company Ltd.                              | 1. Dealing in Securities as Agent<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities                                      | Ivan Hooper                                      | ihooper@winterbotham.com;<br>drounce@winterbotham.com  | Winterbotham Place,<br>Marlborough & Queen Streets                                | N-3026   | Ivan Hooper                | David Rounce       | Christopher Hooper;<br>Ivan Hooper;<br>Jessica Thornley-Mitchell;<br>Tevin Bannister; Andrea Quant | Jessica Thornley-Mitchell   | David Thain  |
| TigerWit Limited (formerly TigerWit Financial Services Limited). | 1. Dealing in Securities as Principal or Agent<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities                         | Monalisa Hanna                                   | compliance@tigerwit.com;<br>monalisa.hanna@tigerwit.com  | Sea Sky Lane, Sandyport,<br>Nassau, Bahamas                                       | SP-64368 | (Vacant)                   | Monalisa Hanna     | Andrew Rolle;<br>James Manczak;<br>Simon Denham  | Andrew Rolle; James Manczak   | James Manczak                                      |
| 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  |
| Trade Nation Ltd.  | 1. Dealing in Securities as Principal or Agent, including underwriting<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities | Anthony Ferguson;<br>Prescott Adderley           | aferguson@cfal.com;<br>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   | Kay Briggs                                       | kbriggs@tradezero.co;<br>tz@tradezero.co;<br>sfountain@tradezero.co  | 402-Building #2<br>Ocean Place<br>West Bay Street, Cable Beach<br>Nassau, Bahamas | SP-62904 | Kay Briggs                 | Scymont Fountain   | Tonielle Brancaccio;<br>Kay Briggs;<br>Torsha Ingraham   | N/A   | N/A  |

Securities Industry Act, 2011



Registrants as at 30 September 2021

| LICENSEE                                | CATEGORIES  | CONTACT PERSON                                    | EMAIL  | ADDRESS   | P.O. BOX             | Registered Representatives |                            |   |                           |                           |
|---|---|---|--|---|----------------------|----------------------------|----------------------------|---|---------------------------|---------------------------|
|   |   |   |  |   |                      | CEO                        | COMPLIANCE OFFICER         | TRADING REP   | ADVISING REP              | MANAGING REP              |
| UCAP Bahamas Limited                    | 1. Dealing in Securities as Principal or Agent, including underwriting<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities | Clement Ducasse                                   | clement.ducasse@capitalunionbank.com;<br>accounts@ucapbh.com;<br>iferguson@caystone.com  | CUB Financial Center,<br>Lyford Cay,<br>Nassau, Bahamas                       | N/A                  | Clement Ducasse            | Indira Ferguson            | Clement Ducasse   | Clement Ducasse           | Clement Ducasse           |
| Union Bancaire Privee, UBP SA           | 1. Dealing in Securities as Principal & Agent<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities                          | Daniel Wuthrich                                   | rochelle.cleare@ubp.com;   | 5th Floor Lyford Cay House,<br>Western Road, Lyford Cay                       | N-7529               | Daniel Wuthrich            | (Vacant)                   | Brenda Powell;<br>Davawn Turner;<br>Van-Dyke Richard Saunders;<br>Kyosen McPhee-Young | Brenda Powell             | Van-Dyke Richard Saunders |
| Vukota Capital Management Limited       | 1. Managing Securities<br>2. Advising on Securities   | Tom Vokota  | cwalker@vukotacapital.com; tvukota@vukotacapital.com;<br>nadderley@vukotacapital.com   | Pineapple Grove Building 3, Old<br>Fort Bay, Western Road,<br>Nassau, Bahamas | AP-59223/285         | Tom Vokota                 | Nathan Adderley            | N/A   | Tom Vokota;<br>Geno Cozza | Tom Vokota;<br>Geno Cozza |
| Weiser Global Capital Markets Ltd.      | 1. Dealing in Securities as Principal & Agent<br>2. Arranging Deals<br>3. Managing Securities<br>4. Advising on Securities                          | Jamaal Stubbs                                     | info@weiser.com.bs;<br>jamaal.stubbs@weiser.com.bs<br>sbrice@weiser.com.bs   | Offices at Old Fort Bay Building<br>#9, Pineapple Place Lyford Cay            | AP-59223<br>Slot 501 | Jamaal Stubbs              | Shelby Brice               | Jamaal Stubbs; Courtney<br>Filipenko; Rahul Kirpalani                                 | N/A                       | N/A                       |
| Wells Capital Management Incorporated   | 1. Managing Securities<br>2. Advising on Securities   | Daniel Mavico<br>Marcela Meneses<br>Karin Brotman | kirk.hartman@wellsfargo.com;<br>daniel.mavico@wellsfargo.com;<br>marcela.meneses@wellsfargo.com;<br>karin.brotman@wellsfargo.com | Lyford Manor, Western Road  | N-7776               | Dale Winner                | Karin Brotman              | N/A   | Dale Winner               | Dale Winner               |
| Wincrest Capital Ltd.                   | 1. Arranging Deals.<br>2. Managing Securities<br>3. Advising on Securities  | Barbara Ann Bernard                               | bb@wincrest.capital;<br>ca@wincrest.capital;<br>iferguson@caystone.com   | 3rd Floor, CUB Financial<br>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;<br>milicent@windermerecm.com  | New Providence Financial<br>Centre, East Bay Street                           | N-7797, Suite A-084  | John Lawrence              | Millicent Clarke           | N/A   | N/A                       | John Lawrence             |
| XL Partners Ltd.                        | 1. Managing Securities<br>2. Advising on Securities   | Mitsuo Alves                                      | mitsuoalves@xlpartnersltd.net;<br>alma@xlpartnersltd.com;<br>iferguson@caystone.com  | #8 Pineapple Grove Western<br>Road, New Providence                            | N/A                  | Mitsuo Alves               | Indira Ferguson            | N/A   | Mitsuo Alves              | Mitsuo Alves              |
| XM International (BS) Limited           | 1. Dealing in Securities as Principal & Agent<br>2. Arranging Deals.  | LaTonia Symonette-Tinker                          | ltinker@thebayshoregroup.org;<br>theresachaven@gmail.com   | Capital Union Bank Financial<br>Centre, Lyford Cay, Nassau,<br>Bahamas        | N-1879               | LaTonia Symonette-Tinker   | Theresa Haven-<br>Adderley | Charalampos Kokkinis  | N/A                       | N/A                       |