

Schedule 2

ISSUER REGISTRATION STATEMENT
Sections 97(2), 97(3) and 97(4) of the Securities Act, 2001

FORM RS – 2

Select One: ☒ Annual Registration ☐ Issue of Securities

FIRST CITIZENS INVESTMENT SERVICES LIMITED

(Exact name of Company as set forth in Certificate of Incorporation)

Place and date of incorporation: 15TH JUNE 1999

Street and postal address of registered office:

17 Wainwright Street, St. Clair, Port Of Spain, Trinidad And Tobago

Principal Address: John Compton Highway, Sans Souci, Castries, Saint Lucia

Company telephone number: (758) 458-6391

Fax number: (758) 451-7984

Email address: omar.burch-smith@firstcitizensslu.com

Financial year-end: September 30 2021
(month) (day) (year)

Contact person(s): Omar Burch-Smith (FCIS Saint Lucia)

Norlann Gabriel (FCIS Trinidad)

Telephone number (if different from above): (868) 622-3247 EXT 5948

Fax number: (868) 627-5496

Email address: norlann.gabriel@firstcitizenstt.com

Did the company file all reports required to be filed by Section 98 of the Securities Act, 2001 during the preceding 12 months?

☒ Yes ☐ No

Did the company file all reports required to be filed by the Companies Act during the preceding 12 months?

☒ Yes ☐ No

1. Description of the Industry in which the Company Operates

FCIS operates in the securities industry that sells Fixed Income, Equity and other Securities to clients, offer investment advice and arrange deals for issuers in capital markets.

2. Exchanges on which the Company's Securities are Listed

Exchange(s)	Securities Type	No. of Shares	Valuation
N/A			

3. Description of Securities Being Offered (including who is the Issuer and who is the Offeror of the Securities)

FCIS issue Repurchase Agreement(repo) in minimum amounts of XCD5, 000 and/or USD10, 000 for each repo for tenors ranging from overnight to seven hundred and thirty four days in conformity with investor requests and agreements up to a total maximum offer amount of all repos issued of XCD500M and USD100M respectively over a period of one (1) year.

4. Territories in which Securities are Being Offered

Territory	Effective Date
OECS	
Wider Caribbean	

5. Description of Share Capital

a) Authorised

TYPE/CLASS	No. OF SHARES
Common	Unlimited

b) Issued

TYPE/CLASS	No. OF SHARES
Common	637,697

c) Outstanding

TYPE/CLASS	No. OF SHARES
Common	637,697

6. EXECUTIVE OFFICERS AND KEY PERSONNEL OF THE COMPANY

Position: General Manager

Name: Richard Look Kin

Age: 43

Mailing Address: Lot 1 Kaia Lane, Moka Garden, Moka, Maraval

Telephone No.: 868-689-6629

List jobs held during past five years (including names of employers and dates of employment). Give brief description of current responsibilities.

First Citizens Investment Services Limited
General Manager October 2020 to present
Responsible for general oversight and leadership of FCIS group

First Citizens Bank Limited
Group Chief Risk Officer September 2015 to September 2020
Responsible for identification, classification, measurement, monitoring, management and reporting of the risks faced by the FC Group.

Education (degrees or other academic qualifications, schools attended, and dates):

Professional Risk Management (PRM) – Professional Risk Managers’ International Association (PRMIA)
March 2016

Masters in Business Administration – Edinburgh Business School 2004-2006

Chartered Financial Analyst (CFA) 2003

Also a Director of the company ☐ Yes ☒ No

If retained on a part time basis, indicate amount of time to be spent dealing with company matters:

Use additional sheets if necessary.

6. EXECUTIVE OFFICERS AND KEY PERSONNEL OF THE COMPANY

Position: Assistant General Manager

Name: Sacha Syne Age: 42

Mailing Address: Apt. 8, 9 Champs Elysees Place, Champs Elysees Rd, Maraval.

Telephone No.: 868-678-5266

List jobs held during past five years (including names of employers and dates of employment).
Give brief description of current responsibilities.

First Citizens Investment Services Limited

- Assistant General Manager 2019 to present
Oversight of Wealth Management, Brokerage & Advisory Services, Structuring and Advisory and Operations (regionally) of FCIS.

First Citizens Bank Limited

- Head, Capital Markets – 2016-2019
- Head, Government Business – 2015 -2016
- Senior Manager, Capital Markets 2010 - 2015

Education (degrees or other academic qualifications, schools attended, and dates):

Masters of Science Financial Management – University of London 2017

Bachelors of Business Administration – University of New Brunswick (Canada) 2001

Also a Director of the company ☐ Yes ☒ No

If retained on a part time basis, indicate amount of time to be spent dealing with company matters:

Use additional sheets if necessary.

6. EXECUTIVE OFFICERS AND KEY PERSONNEL OF THE COMPANY

Position: Head – Regional Operations

Name: Norlann Gabriel Age: 48

Mailing Address: 189 Tragarete Rd, One Woodbrook Place, Apt BT2L15
Port of Spain, Trinidad.

Telephone No.: 868-791-8187

List jobs held during past five years (including names of employers and dates of employment).
Give brief description of current responsibilities.

Head – Regional Operations, FCIS January 2, 2020 – Present - responsible for the general oversight and leadership of the operations in St. Lucia, St. Vincent & the Grenadines and Barbados with additional responsibilities for the expansion of the FCIS brand.

Country Manager– FCIS Barbados – September 5, 2017 – January 1, 2020 - responsible for the overall growth, profitability and operational performance of the Barbados Branch. Charged with driving long-term profitability & growth, expanding the First Citizens brand & ensuring that the Country Office meets the highest standards of corporate governance & citizenship. The position manages the provision of Financial Performance Management, Brokerage Services, Capital Market Services, Regulatory and Statutory Compliance, Human Resource Management and Marketing and Branch Expansion.

Country Manager– FCIS St. Vincent & the Grenadines – July 1, 2010 -September 4, 2017 responsible for the overall growth, profitability and operational performance of the St. Vincent Branch. Charged with driving long-term profitability & growth, expanding the First Citizens brand & ensuring that the Country Office meets the highest standards of corporate governance & citizenship. The position manages the provision of Financial Performance Management, Brokerage Services, Capital Market Services, Regulatory and Statutory Compliance, Human Resource Management and Marketing and Branch Expansion.

Education (degrees or other academic qualifications, schools attended, and dates):

University of Texas, Texas, USA
M.B.A. Major: Finance (May 2002)

Midwestern State University Texas, USA
B.B.A. Major: Finance, Conc. Economics (Dec 2000)

Also a Director of the company ☐ Yes ☒ No

If retained on a part time basis, indicate amount of time to be spent dealing with company matters:

Use additional sheets if necessary.

6. EXECUTIVE OFFICERS AND KEY PERSONNEL OF THE COMPANY

Position: Country Manager

Name: Omar Burch Smith Age: 37

Mailing Address: c/o First Citizens Investment Services Ltd.
John Compton Highway, Sans Souci, Castries, St. Lucia

Telephone No.: (758) 458-6378

List jobs held during past five years (including names of employers and dates of employment).
Give brief description of current responsibilities.

Country Manager– FCIS – August 2018 – present - responsible for the overall growth, profitability and operational performance of the St. Lucia Branch. Charged with driving long-term profitability & growth, expanding the First Citizens brand & ensuring that the Country Office meets the highest standards of corporate governance & citizenship. The position manages the provision of Financial Performance Management, Brokerage Services, Capital Market Services, Regulatory and Statutory Compliance, Human Resource Management and Marketing and Branch Expansion.

Business Development Manager –FCIS – January 2017 – August 2018 – Overall responsibility for the Business Development Team in the Region with a focus on creating new business connections, driving revenue growth and maintaining existing client relationships. A key function also includes role as ECSRC Licensed Principal with responsibility for oversight of the firm's Broker Dealer Operations in the ECCU.

Corporate Relationship Manager – Bank of Saint Lucia – February 2010 – December 2016
Tasked with the managing of the banking affairs of a portfolio of the Bank's Corporate Clients with a key focus on the credit activities. Functions also included driving revenue growth through portfolio expansion and opportunities for fee income and providing leadership to the Unit's support team.

Education (degrees or other academic qualifications, schools attended, and dates):

MSc. Banking and Finance – University of the West Indies, Cave Hill Campus, Bridgetown Barbados – 2008-2009

BSc. Banking and Finance – university of the West Indies, Mona Campus, Kingston, Jamaica – 2005-2008

Also a Director of the company ☐ Yes ☒ No

If retained on a part time basis, indicate amount of time to be spent dealing with company matters:

Use additional sheets if necessary.

7. DIRECTORS OF THE COMPANY

Information concerning non-Executive Directors:

Name: **Anthony Isidore Smart**

Position: **Chairman**

Age: 75

Mailing Address: Townhouse No.3, Moka
Townhouse Road, Maraval.
Telephone No.: (868) 681 0600 or 623 9540

List jobs held during the past five years. Give brief description of responsibilities.
Include names of employers.

Gittens Smart & Company – Partner (retired in 2014)
Chairman of the Board of First Citizens Bank Limited 2014 to present

Education (degrees or other academic qualifications, schools attended, and dates):

BA (General) Majoring in Economics, University of Toronto, Canada, 1968
Solicitors' Qualifying Examinations Parts I and II, 1970 and 1971, College of Law, Surrey, England

Use additional sheets if necessary

7. DIRECTORS OF THE COMPANY

Information concerning non-Executive Directors:

Name: **Ryan Proudfoot**

Position: **Director**

Age: 50

Mailing Address: 18 St. Andrews Village, Moka, Maraval

Telephone No.: (868) 310 3106, (246) 266 3106

List jobs held during the past five years. Give brief description of responsibilities. Include names of employers.

Managing Director - Total Office (2006) Ltd May 2007 – Present

Education (degrees or other academic qualifications, schools attended, and dates):

MBA – International Management, University of Exeter, 1994 – 1995

BA (Hons.) Accounting - University of Kent at Canterbury, 1991 – 1994

Use additional sheets if necessary

7. DIRECTORS OF THE COMPANY

Information concerning non-Executive Directors:

Name: **Karen Darbasie**

Position: **Director**

Age: 57

Mailing Address: 9 Queens's Park East, Port of Spain

Telephone No.: 624-3178 EXT 3000/3001

List jobs held during the past five years. Give brief description of responsibilities. Include names of employers.

Chief Executive Officer - First Citizens Bank Limited (April 7, 2015- present)
Citibank – Country Treasurer and Local Markets Head (Financial Sector) 2005-2015

Education (degrees or other academic qualifications, schools attended, and dates):

MBA Dist. - University of Warwick, 1990-1991
MSc. (Dist.) Telecommunications and Information System – University of Essex, 1986 – 1987
Bsc. (Hons), Electrical Engineering - University of the West Indies, 1982 – 1985

Use additional sheets if necessary

7. DIRECTORS OF THE COMPANY

Information concerning non-Executive Directors:

Name: **Troy Garcia**

Position: **Director**

Age: 49

Mailing Address: 33 Sandown Road, Goodwood Park, Glencoe

Telephone No. :(868) 680-7278

List jobs held during the past five years. Give brief description of responsibilities. Include names of employers.

Parts World Limited – Executive Director – October 1999 to present
High Performance Coatings – Executive Director – (Since 2012)

Education (degrees or other academic qualifications, schools attended, and dates):

Bachelor of Business Administration - Stetson University, Florida, USA, 1991 to 1995

Use additional sheets if necessary

7. DIRECTORS OF THE COMPANY

Information concerning non-Executive Directors:

Name: **Idrees Omardeen**

Position: **Director**

Age: 49

Mailing Address: 315 Soogrim Street, Gulf View, San Fernando

Telephone No.: (868) 680-9657

List jobs held during the past five years. Give brief description of responsibilities. Include names of employers.

Omardeen School of Accounting Limited – Managing Director – January 2005 to present

Education (degrees or other academic qualifications, schools attended, and dates):

Association of Accounting Technicians (AAT)

Became a member after completing the examination and obtaining relevant work experience - 1996

Association of Chartered Certified Accountants (ACCA)

Became a member after completing the examination and obtaining relevant work experience, - 2004

Association of Chartered Certified Accountants (ACCA)

Grant Fellow Membership Status - 2009

Use additional sheets if necessary

7. DIRECTORS OF THE COMPANY

Information concerning non-Executive Directors:

Name: **Jayselle McFarlane**

Position: **Director**

Age: 51

Mailing Address: No. 24A Third Street, St. Joseph, San Fernando

Telephone No.: (868) 685 6938, (868) 742 2290.

List jobs held during the past five years. Give brief description of responsibilities. Include names of employers.

Managing Director – Trinidad & Tobago Housing Development Corporation – April 12 2021 to present
Mc Farlane Robertson & Associates - Consultant/Business Owner

Education (degrees or other academic qualifications, schools attended, and dates):

Students Accountancy Centre - ACCA

Heriott-Watt University – MBA

Caribbean Institute of Forensic Accounting (CFA) – Forensic Certified Public Accountant

Use additional sheets if necessary

7. DIRECTORS OF THE COMPANY

Information concerning non-Executive Directors:

Name: **David Inglefield**

Position: **Director**

Age: 71

Mailing Address: 224 Tangerine Drive, Haleland Park, Maraval

Telephone No.: (868) 290-3449

List jobs held during the past five years. Give brief description of responsibilities. Include names of employers.

Non Executive Chairman - Inglefield, Ogilvy & Mather — 2015 - 2020
Business Consultant – Present

Education (degrees or other academic qualifications, schools attended, and dates):

Advertising & Media (Consultant)

Use additional sheets if necessary

7. DIRECTORS OF THE COMPANY

Information concerning non-Executive Directors:

Name: **Sterling Frost**

Position: **Director**

Age: 58

Mailing Address: 9 Queens Park East, Port of Spain

Telephone No.: 624-3178 EXT 3003/3005

List jobs held during the past five years. Give brief description of responsibilities. Include names of employers.

Deputy Chief Executive Officer – Operations & Administration, First Citizens Bank Limited – June 22 2016 to present

Director – Human Resources, Citibank NA - December 2013 to June 2016

Education (degrees or other academic qualifications, schools attended, and dates):

Doctorate in Business Management (UWI) - 2018

Master in Business Administration – 1999

Use additional sheets if necessary

8. SUBSTANTIAL SHAREHOLDERS

- (a) Principal owners of the company (those who beneficially own more than 5% of the common and preferred shares presently outstanding whether directly or indirectly) starting with the largest common shareholder. Indicate by endnote any transaction where the consideration was not cash. State the nature of any such consideration.

SECURITIES NOW HELD:

Name: Address:	Class of Shares:	No. of Shares:	% of Total
First Citizens Bank Limited	Common	637,697	100

- (b) Include all common shares issuable upon conversion of convertible securities and show conversion rate per share as if conversion has occurred.

UPON CONVERSION:

Name: Address:	Class of Shares:	Conversion Rate:	No. of Shares upon Conversion	% of Total*
N/A				

* Current holding of shares if conversion option were exercised.

9. Name and Address of Parent

Name:	Address:	Country of Incorporation:	Countries of Registration (where applicable)	Name of the Exchange(s) on which the company's securities are listed:
First Citizens Bank Limited.	9 Queens Park East Port of Spain	Trinidad and Tobago	Trinidad and Tobago	N/A
			Barbados	N/A

10. Name(s) and Address(es) of Subsidiary(ies)

Name:	Address:	Percentage Ownership:	Name of the Exchange(s) on which the company's securities are listed:
First Citizens Brokerage And Advisory Services	17 Wainwright St. St Clair, Trinidad	100	N/A
First Citizens Portfolio and Investment Management Services	17 Wainwright St. St Clair, Trinidad	100	N/A

11. Name(s) and Address(es) of Affiliate(s)

Name:	Address:	Name of the Exchange(s) on which the company's securities are listed:
First Citizens Financial Services (Saint Lucia) Limited	St. Lucia	N/A
First Citizens Depository Services Limited	Trinidad	N/A
FCCR First Citizens Costa Rica S.A.	Costa Rica	N/A
First Citizens Investment Services (Barbados) Limited	Barbados	N/A
First Citizens Trustee Services Limited	Trinidad	N/A
First Citizens Investment Services Limited	St Lucia	N/A
First Citizens Bank (Barbados) Limited	Barbados	N/A

SIGNATURES

A Director, the Chief Executive and Corporate Secretary shall sign this Registration Statement on behalf of the company. By so doing each certifies that he has made diligent efforts to verify the material accuracy and completeness of the information herein contained.

Name of Chief Executive Officer:

RICHARD LOOK KIN



Signature

16/02/22

Date

Name of Director:

KAREN DARBASIE



Signature

Date 17.02.2022

Name of Corporate Secretary:

LINDI BALLAH-TULLO



Signature

17/02/2022

Date

APPENDIX 1 – BIOGRAPHICAL DATA FORMS

6. EXECUTIVE OFFICERS AND KEY PERSONNEL OF THE COMPANY

APPENDIX 2 – BIOGRAPHICAL DATA FORMS

7. DIRECTORS OF THE COMPANY