
MARKET NOTICE

8 August 2018

ESCRC ELECTRONIC FILING GUIDANCE NOTE (1 OF 2018)

In light of the increasing use of information technology to improve communications to investors, the Eastern Caribbean Securities Regulatory Commission (ECSRC) recognizes that the provisions in the securities legislation that impose submission requirements must be applied in a manner that accommodates technological developments without undermining investor protection.

Therefore, in keeping with its mandate to promote a fair, efficient and transparent securities market, the ECSRC has developed a revised policy for the electronic delivery of documents that are required to be filed with the Commission. This policy is also consistent with the relevant provisions of the Electronic Transactions Act of each of the ECCU Member Territories.

In accordance with section 163 of the Securities Act, 2001 the Commission has approved the attached **Securities (Electronic Filing of Documents) Guidance Note (1 of 2018)** for implementation in the Eastern Caribbean Securities Market.

The **Securities (Electronic Filing of Documents) Guidance Note** provides basic guidance to securities industry participants for the electronic delivery of filings and other related documents via the Commission's online platform, the Eastern Caribbean Securities Information Network (ECSIN). The ECSIN is in its final stages of implementation, and on completion will facilitate the electronic delivery of filings by market participants.

This Guidance Note applies to all statutory filings and other related documents that must be submitted to the Commission pursuant to the securities legislation.

The Commission looks forward to the full cooperation of all market participants.

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About ECSRC

The ECSRC is the regulator of securities business in the Eastern Caribbean Currency Union (ECCU). The member territories of the ECCU are Anguilla, Antigua and Barbuda, Commonwealth of Dominica, Grenada, Montserrat, St Kitts and Nevis, Saint Lucia, and St Vincent and the Grenadines. The securities industry in the ECCU is governed by uniform securities legislation, the Securities Act, 2001 and its amendments and Regulations to the Act.

The primary functions of the Commission are to maintain the integrity of the ECSM; protect investors; promote market efficiency; and facilitate market development. The ECSRC can be contacted at (869) 465-2537 Ext 3279 or P O Box 1855, Bird Rock, Basseterre, St Kitts and Nevis or at email address: info@ecsrc.com.