

L.R.O. 2007

**LAWS OF BARBADOS**

**SECURITIES ACT**

**CHAPTER 318A**

**(SUBSIDIARY LEGISLATION)**

SUBSIDIARY LEGISLATION INDEX

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**Securities**

Cap. 318A.

**SECURITIES COMMISSION  
(DELEGATION OF FUNCTIONS)  
(SELF-REGULATORY ORGANISATIONS), 2001**

2001/129.

**Authority:** This Order was made on 21st December, 2001 by the Securities Commission under section 6 of the *Securities Act*.

**Commencement:** 31st December, 2001.

**1.** This Order may be cited as the *Securities Commission (Delegation of Functions)(Self-Regulatory Organisations) Order, 2001*.

**2.** The functions set out in the first column of the *Schedule* are hereby delegated by the Securities Commission to the self-regulatory organisations specified opposite thereto in the second column.

**CAP. 318A** *Securities Commission (Delegation of L.R.O. 2007 A2 Functions)(Self-Regulatory Organisations) Order, 2001*

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**SCHEDULE**

*(Paragraph 2)*

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First Column	Second Column
<i>Function</i>	<i>Self-regulatory Organisation</i>
1. Monitoring of members of the Barbados Stock Exchange	The Barbados Stock Exchange
2. Regulation of daily trading activity	The Barbados Stock Exchange
3. Registration and licensing of market actors and monitoring of market conduct and activity	The Barbados Stock Exchange
4. Approval of registrars and transfer agents in the case of new issues of securities	The Barbados Stock Exchange
5. Regulation of clearance and settlement transactions	The Barbados Central Securities Depository Inc.
6. Approval of prospectuses for registration with the Securities Commission in the case of new issues of securities	The Barbados Central Securities Depository Inc.
7. Issue of certificates of approval of prospectuses	The Barbados Stock Exchange