



Dutch Caribbean
Securities Exchange

A DCSX Memo

Ongoing Responsibilities Listing Advisors



July, 2017



This memo sets forth the ongoing responsibilities that a Listing Advisor on the DCSX has when it comes to fulfilling its function as such a Listing Advisor.

The stipulations as set forth under Rule 3 (Application for Listing) of resp. the DCSX Listing Requirements for Bonds, for Equity and for Funds form an integral part of this memo.

The ongoing responsibilities for a LAD on the DCSX are the result of and based on currently accepted international standards, seeking to achieve a sound balance between on the one hand providing appropriate issuers access to the Exchange market while on the other hand providing investors with certain safeguards and with sufficient and timely information to enable them to at any moment make informed decisions as to the value and merits of the issuer's securities.



In general the Listing Advisor shall do all that can be reasonably expected from Listing Advisor so that at all times after the listing, investors and the public (including the DCSX) are kept informed by the issuer, including timely disclosure of information which might reasonably be expected to have a material effect on market activity in, and /or the prices of, the investment company's securities to wit:

1. General Information:

- Changes in Management of the issuer
- Changes in main business activities of the issuer
- Changes Articles of Association or comparable statutes
- Any legal proceedings against the issuer
- Any non-financial corporate actions

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2. Financial Information:

- Yearly and/or other periodic financial reports issued by the issuer of the securities
- Audited Financial Statements
- Any financial corporate actions

We hope the above provides the necessary initial information.
Please contact us at info@dcsx.cw