

# **CENTRAL TRADING REGULATIONS**

## CENTRAL TRADING REGULATIONS 2

### ARRANGEMENT OF REGULATIONS

1. Citation
2. Interpretation
3. Application
4. Non-application
5. Application procedure for a Central Trading License
6. Security clearances
7. Refusal to grant security clearance
8. Site Plan
9. Site inspection
10. Physical security measures
11. Approval of the certificate of a Central Trading Entity
12. Changes to the information in the Central Trading License
13. Approval of a change
14. Renewal of a Central Trading License
15. Operational terms and requirements of the Central Trading Entity
16. Operations manager
17. Quality assurance
18. Pesticide product
19. Purchasing from licenced cultivators
20. Payment
21. Distribution and sale of cannabis to licenced processors and researchers
22. Distribution and sale to licenced Class One Dispensaries

## CENTRAL TRADING REGULATIONS 3

- 23. Weighing devices
- 24. Destruction of cannabis
- 25. Recall action plan
- 26. Recalls
- 27. Importation
- 28. Exportation
- 29. Transportation
- 30. Lost or theft
- 31. Notices
- 32. Requirements for retention of documentation and information
- 33. Financial reporting
- 34. Exceptions – urgent notices
- 35. Forms
- 36. Schedule 1
- 37. Schedule 2
- 38. Schedule 3

CENTRAL TRADING REGULATIONS

**Citation**

1. This Regulation may be cited as the Central Trading Regulations.

**Interpretation**

2. In this Regulation –

“**Act**” means the Cannabis & Industrial Hemp Act, No. [] of 2025;

“**authorized individuals**” means employees of the Central Trading Entity and includes outside vendors, contractors, or other individuals conducting business that requires access to the licensed premises;

“**cannabis**” has the same meaning as in the Cannabis & Industrial Hemp Act, No. [] of 2025;

“**cannabis regulations**” means all regulations under the Cannabis & Industrial Hemp Act, No. [] of 2025;

“**employee**” means any person directly employed by the Central Trading Entity for wages, salary, barter, or trade. An employee cannot be an independent contractor, third party entity, or any other entity acting on behalf of the Central Trading Entity;

“**harvest batch**” means a batch of dried cannabis flower or trim, or leaves, and other cannabis plant matter that is harvested at the same time, and, if applicable, cultivated using the same pesticide product and other agricultural chemicals;

“**holder of a Central Trading License**” means all persons listed on the certificate including those employed by the holder of the Central Trading License;

**“operations area”** means an area of the site, other than a storage area, where cannabis is present as a result of any activities conducted under the specified licence and includes grow area;

**“pesticide product”** means –

- (a) a product, a substance or an organism that consists of contaminants and formulants as its active ingredients and is used as a means of directly or indirectly controlling, terminating, enticing, or repelling a pest or for mitigating or preventing its injurious, noxious or troublesome effects, and
- (b) includes a product, a substance or an organism derived through biotechnology, or
- (c) any other thing that is listed to be a pesticide product;

**"pre-roll"** means any combination of the following wrapped in rolling paper: flower, shake, leaf, or kief that is obtained from accumulation in containers or sifted from loose, dry cannabis with a mesh screen or sieve;

**“recall”** means any action taken by a cannabis licence holder to correct or remove the cannabis or cannabis product from sale and distribution, and includes –

- (a) the act of contacting persons within the cannabis supply chain in order to send the cannabis product back if a non-conformance is found with a requirement set out in the Cannabis Regulations;
- (b) notifying the public of a problem or potential problem with the cannabis or cannabis product.

**“Regulated Substance Authority”** (RSA) means the Regulated Substances Authority established under the Regulated Substances Act, No. [26] of 2023

**“Saint Lucia Bureau of Standards”** means Saint Lucia Bureau of Standards as established under the Standards Act, Cap. 13:25;

**“security clearance”** means a clearance granted by the RSA that is required by any and all individuals engaging in any activities within the cannabis industry, as a means of assessing risk to public health or safety, including the risk of cannabis being diverted to an illicit market or activity.

**“seed-to-sale tracking system”** means a system that documents and tracks cannabis from a seed to its final product form.

**“site”** means an area that is used exclusively by the holder of a Cannabis Licence or Central Trading Entity Certificate that consists of at least one building, or one part of a building.

**“standard operating procedures”** (SOP) means a set of step-by-step instructions compiled by an organization that describes the activities necessary to complete tasks in accordance with industry standards, laws and regulations.

**“storage area”** means an area of the site where cannabis is stored.

**“system of auditing”** is an internal system that can be used to track any and all lots or batches of cannabis that are received, packaged, sold or distributed.

### **Application**

3. These Regulations apply to all applicants and holders of a Central Trading License for a Central Trading Entity.

### **Non-application**

4. These Regulations do not apply to industrial hemp or holders of industrial hemp licences.

**Application procedure for a Central Trading License**

5. –(1) An application to be recognized as a Central Trading Entity shall be submitted in electronic, typed or printed format to the Regulated Substance Authority (RSA).

(2) Applications shall be –

(a) completed as prescribed in Schedule 3, Form 1 IDXXX;

(b) accompanied by –

(i) all requisite documentation and information;

(ii) the non-refundable application fee prescribed in the Cannabis Fees Regulations;

(iii) business plan;

(iv) proof of financial ability to fulfil the duties of a Central Trading Entity as established and dictated by the Act, these regulations, other applicable regulations and guidelines, standard operating procedures and industry standards;

(v) documentation evidencing ownership or authority to use the property on which the Central Trading Entity is to be house including –

(1) title deed;

(2) authorization for occupation;

(3) permission or consent to conduct activities stated under the licence for which the applicant is applying for.

(vi) grant for security clearance as prescribed in section 6 and Schedule 3, Form 2 ID XXXX;

- (vii) Site Plan as specified in section 8;
  - (viii) statutory declaration, as prescribed in Schedule 3 Form 3 ID XXXX, which indicates the applicant agrees to allow for the inspection of the premises by the RSA, to ensure compliance and auditing with respect to the terms and conditions of the Central Trading License; and
  - (ix) the details and evidence as requested by the RSA.
- (3) The RSA shall have the right to require additional documentation to establish whether an applicant satisfies the mandatory qualifications and criteria, including information pertinent to ensuring public health and safety;

### **Security clearances**

6. –(1) The RSA shall assess and where applicable grant security clearances for all directors.
- (2) A Central Trading Entity shall notify the RSA of all employees or perspective employees of the Central Trading Entity. Security clearance shall be required for all employees as part of the hiring process.
- (2) The RSA upon receipt of the notice shall conduct due diligence checks on the persons referenced in the notice and if satisfied may issue a security clearance authorizing that person to engage or be employed with the Central Trading Entity.
- (3) An individual shall not be granted a security clearance or shall have the security clearance revoked if–
- (i) he/she has been convicted of a criminal offence, except where the offence is a minor traffic offence or has been spent in accordance with the Criminal Records (Rehabilitation of Offenders) Act, Cap 3.13, or was an offence for possession of 30 grams or less of cannabis;

- (ii) he/she has been convicted of an offence under the Act;
- (iii) the RSA has reasonable grounds to believe that the individual poses a risk to public health or safety, including the risk of cannabis being diverted to an illicit market or activity; or
- (iv) he/she is terminated or ceases to be employed with the Central Trading Entity

**Refusal to grant security clearance**

7. –(1) If the RSA intends to refuse to grant a security clearance, the RSA must provide the applicant, holder of the Central Trading License or applicant of the Central Trading License, with a written notice of the refusal.
- (2) In the event a security clearance is not granted –
- (a) the RSA has the right to deny the application for recognition as a Central Trading Entity;
  - (b) the Central Trading entity shall not hire or continue to employ the individual.
  - (c) the applicant may resubmit a request, if the conditions of refusal no longer exist or apply.

**Site Plan**

8. –(1) Pursuant to section 5(2)(b)(vi), the applicant shall submit to the RSA, a Site Plan that includes the following –
- (a) boundaries;
  - (b) entrances;
  - (c) exits;
  - (d) interior partitioning;

- (e) walls;
- (f) rooms;
- (g) windows;
- (h) doorways.

(2) The Site Plan shall include –

- (a) a brief statement or description of the principal activities to be conducted therein, along with the interior and exterior dimensions and boundaries of the premises;
- (b) all roads and water crossing on the property;
- (c) all water sources identified and labeled for beneficial use, including but not limited to irrigation and domestic use.

(3) The Site Plan must also demonstrate the following –

- (a) that it can meet the physical security measures outlined in section 10.
- (b) that it is designed and constructed with a system that allows for filtration and ventilation;
- (c) that the site is designed and constructed with hand cleaning and hand sanitization stations and washrooms;
- (d) that the site is designed and constructed in a manner that ensures that it meets the fire safety code; and
- (e) all other applicable safety requirements.

### **Site inspection**

9. –(1) Pursuant to the Act, the RSA may conduct an inspection of the premises, in order to verify the Site Plan and –

(a) to ensure that the site is designed, constructed and can be maintained in a manner that ensures good production practice measures. Such measures shall –

- (i) permit the building or part of the building be kept clean and orderly;
- (ii) ensure the effective cleaning of all surfaces in the building or part of the building;
- (iii) prevent the contamination of cannabis, ingredients or tools that will be used in the production process, and
- (iv) prevents the introduction of peripheral substances to the cannabis, ingredients or tools that will be used in the cultivation process; and
- (v) include power generation or power backup.

(b) that it is designed and constructed in a manner that ensures that any part of the building where cannabis is stored or used, is equipped with natural or artificial lighting that is appropriate for the activity being conducted. Any light fixtures in the building or part of the building shall –

- (i) be capable of withstanding repeated cleaning and, if necessary be repeatedly sanitized if necessary to prevent contamination of the cannabis, ingredients or tools that are used in the production process; and
- (ii) in the event of a breakage, not present a risk of contamination of the cannabis, ingredients or tools that are used in the production process.

(c) that the system that allows for filtration and ventilation specified in section 8(h)(3)(b) ensures that –

- (i) the air can be filtered to prevent the escape of odors associated with cannabis plant materials to the outdoors;
  - (ii) it provides natural or mechanical means of ventilation with sufficient air exchange to supply clean air and remove unclean air as a means to prevent the contamination of cannabis or ingredients that will be used in the production process;
  - (iii) the system is accessible and, if necessary for its cleaning, maintenance or inspection is capable of being disassembled;
- (d) that the site is designed and constructed with hand cleaning and hand sanitization stations and washrooms as specified in section 8(h)(3)(c) that –
  - (i) are equipped and adequate in number and size for the number of individuals using them;
  - (ii) are capable of withstanding repeated cleaning and, as necessary, repeated sanitization, and
  - (iii) are located so that –
    - (1) they can be readily accessible to individuals;
    - (2) they do not present any risk of contamination of cannabis.
- (e) the site is designed and constructed in a manner that ensures that the temperature and humidity –
  - (i) of the building or part of the building where cannabis is stored or used is maintained at levels that are appropriate for the activity being conducted with the cannabis;

- (ii) system is accessible and, if necessary, is capable of being disassembled for cleaning, maintenance or inspection;
  - (iii) system is disposed to repeated cleaning, and
  - (iv) system permits it to function in accordance with its intended use.
- (f) exterior facility and grounds must meet the following minimum standards in order to minimize the risk of potential contamination –
- (i) be equipped with draining areas in order to prevent pool or stagnant water;
  - (ii) grass, weeds, vegetation shall be cut within the immediate vicinity of the cannabis processing premises;
  - (iii) litter and waste should not be present and should be removed;
  - (iv) roads, yards, and parking lots shall be maintained in a manner so that these areas do not constitute a source of contamination in areas where cannabis products are handled or transported;
  - (v) access points to the building, such as windows, exhaust fans, ventilation ducts or plumbing vents shall be screened, sealed or otherwise protected to minimize the risks of pests entering the building;
  - (vi) waste treatment and disposal systems shall be present and maintained in order to prevent contamination in areas where cannabis and cannabis products may be exposed.

### **Physical security measures**

- 10. –(1)** The proposed site must demonstrate that physical security measures are present to deter and prevent unauthorized access. Such security measures shall include –

- (a) visual monitoring of the perimeter, operations area and storage area of the site which must be monitored at all times by visual recording devices to detect any attempt or actual unauthorized access;
  - (b) visual recording devices which must be capable of making and storing visual recordings of any attempt or actual unauthorized access for a period as prescribed in 32;
  - (c) an intrusion detection system which operates at all times and is capable of detecting any attempt or actual unauthorized access to the site and any attempted or actual tampering with the system;
    - (i) The intrusion detection system in subsection (c) must be capable of being monitored at all times;
  - (d) a means of restricting access to each operation and storage area to individuals whose presence in the area is required by their duties;
  - (e) a means of logging and recording the identity of every individual entering or exiting the site and accessing operations and storage areas;
  - (f) physical barriers surrounding operations and storage areas that are capable of preventing unauthorized access.
- (2) The Central Trading Entity shall establish and implement an identification and sign-in/sign-out procedure for all persons accessing the premises, including authorized individuals, suppliers, and visitors. An individual who enters the site and is not employed by the Central Trading Entity shall be escorted by an employee of the Central Trading Entity at all times while within the site.

- (3) The Central Trading Entity shall maintain a record of all authorized individuals who are not laboratory employees who enter the site of the recognized laboratory. The record shall include the individuals name, the company the individual works for, the reason for the visit, the date and the times the individual entered and exited the site. These records shall be made available to the RSA immediately upon request.

### **Approval of the certificate of a Central Trading Entity**

**11.** –(1) A central trading license will be issued for a period of up to three years in the first instance and up to five years for any renewal thereafter

(2) Upon approval of the Central trading license by the Minister –

- (a) the applicant shall pay the annual licence fee prescribed in the Cannabis Fees Regulations;
- (b) the applicant shall sign a Record Keeping Attestation form referenced in Schedule 3, attesting that they will retain documents and information as prescribed in section 32;
- (c) the applicant shall submit a request to grant security clearance for any additional individuals who require access to the site as part of their employment duties;
- (d) the RSA shall –
  - (i) grant security clearances for all approved individuals;
  - (ii) present the approved company or cooperative with a Central Trading License as prescribed in Schedule 3. The Central Trading License shall set out the following information:
    - (1) the name of the approved company or corporate;
    - (2) the certificate number;

- (3) the address of the site where the activity is authorized and, if applicable, of each building within the site;
- (4) any conditions that the RSA considers appropriate;
- (5) signed seal of the RSA;
- (6) the effective date of certificate, and;
- (7) the expiration date of the certificate.

(3)The A Central Trading License shall be displayed at the address of the site where the activity is authorized and, if applicable, at each building within the site.

### **Changes to the information in the Central Trading License**

**12.** –(1) The holder of the Central Trading License must submit an application in electronic, typed or printed format to the RSA for an amendment to the certificate if they propose to make any of the following changes –

- (a) a change to the name of the company or cooperative on the certificate;
- (b) a change to the address of the site or building within the site where the activity is authorized, or;
- (c) a change to the authorized activity at the site or the authorized activity that may be conducted at each building within the site.

(2) The application for changes to the certificate shall include –

- (a) a description of the change;
- (b) the proposed new Site Plan;
- (c) a signed and dated declaration by the applicant or person authorized by the applicant to sign, indicating that all the information provided in support of the application is correct and complete to the best of their knowledge.

**Approval of a change****13. –(1) The RSA –**

- (a) shall have the right to require additional documentation to establish whether the requested changes satisfy the mandatory qualifications and criteria, including information pertinent to ensuring public health and safety;
- (b) may inspect the site, if the proposed changes require revisions to the Site Plan to ensure that the proposed changes are sufficient to meet the required measures under section 8.
- (c) shall, upon approval of the changes, and receipt of a payment of \$150 USD reissue a new Central Trading License if required.

**Renewal of a Central Trading License****14. A holder of a Central Trading License shall within 3 months of the date of expiration on the Central Trading License submit to the RSA –**

- (a) a completed request for renewal form as prescribed in Schedule 3;
- (b) all requisite documentation and information;
- (c) the details and evidence as requested by the RSA.

**Operational terms and requirements of the Central Trading Entity****15. The Central Trading Entity shall –**

- (a) designate and retain a person as the operations manager as specified in section 16.
- (b) retain a copy of any Site Plan that is submitted to the RSA referenced in section 8, including any updated designs as referenced in section 12(2) and;
  - (i) retain a copy for a retention period as prescribed in section 32.

- (c) obtain a security clearance from the RSA for every member of staff as part of the hiring process as referenced in section 6;
- (d) within the first 6 weeks of obtaining the Central Trading License and prior to commencing operations establish the following:
  - (i) register for the seed-to-sale system established by the RSA
  - (ii) standard operating procedures for all applicable parts of the distribution, importation, exportation, transportation and packaging processes to ensure that activities are conducted in compliance with all applicable Cannabis Regulations under the Act. Such standard operation procedures should be developed for –
    - (1) security plan in keeping with the physical security measures;
    - (2) purchasing cannabis from licenced cultivators;
    - (3) the wholesale distribution of cannabis to licenced processor;
    - (4) processing and packaging of cannabis to holders of Class One Dispensary Licence;
    - (5) cannabis waste management procedures which shall ensure that waste disposal is done in accordance with Waste Management Act;
    - (6) importation of cannabis;
    - (7) exportation of cannabis;
    - (8) transportation of cannabis;
    - (9) all other applicable operations.

- (ii) establish mechanisms to ensure that the cannabis be stored under conditions that maintain quality;
  - (iii) establish mechanisms to ensure that the cannabis be distributed under conditions that maintain quality;
  - (iv) set up a system of auditing that allows for the rapid and complete recall of every lot or batch of cannabis that has been sold or distributed.
  - (v) provide proof of insurance to the RSA that is designed to protect the entity from risks, such as general liability, equipment protection, recalls, third-party bodily injury, fire, theft and other loss.
- (e) establish and ensure good production practices, including –
- (i) that individuals who enter or is in any building or part of a building where operation or storage areas exist, wears clothing, footwear and protective coverings, including gloves, a hairnet, or beard net and a smock, that are in good condition and clean and that are appropriate for the activity being conducted;
  - (ii) that any equipment used at the site are designed, constructed, maintained, operated and arranged in a manner that –
    - (1) permits the effective cleaning of its surfaces;
    - (2) is accessible and, if necessary for its cleaning, maintenance or inspection, is capable of being easily disassembled;
    - (3) permits it to function in accordance with its intended use;
    - (4) prevents the contamination of cannabis or tools that will be used in the operation and distribution processes, and

- (5) prevents the introduction of peripheral substances to cannabis or tools that will be used in operations and distribution processes.
- (f) ensure that any individual who conducts activities in relation to his or her duties has the competencies and qualifications that are necessary to conduct those activities at the site set out in the Central Trading License;
- (g) as part of their staff compliment, retain the services of an individual who is responsible for quality assurance as specified in section 17;
- (h) ensure that security measures listed in section 10 are complied with and if there is any occurrence or detection of any attempt or actual unauthorized access at the site –
  - (i) record the date and time of the occurrence;
  - (ii) retain visual recordings and records of the occurrence;
  - (iii) determine the appropriate measures to be taken in response and
  - (iv) the date and time when the response was taken.
  - (v) provide a notice to the RSA, with a detailed report, including information under this subsection.
- (i) ensure that no animal is present in any building or part of a building where cannabis or any part of the operations process will be.

### **Operations manager**

- 16.** –(1) Pursuant to section 15(a) the holder of a Central Trading License as a Central Trading Entity must retain the services of one individual as the operations manager. The operations manager –

- (a) is responsible for the ensuring that all operations within the Central Trading organization is performed in compliance with the Act and the Cannabis Regulations;
  - (b) must have sufficient knowledge of the provisions of the Act and the Cannabis Regulations in relation to activities conducted by the Central Trading Entity;
- (2) The holder of a Central Trading License as a Central Trading Entity may designate one individual as the alternate operations manager who is qualified to replace the operations manager.

### **Quality Assurance**

- 17.** Pursuant to section 15(g), a Central Trading Entity must designate and retain the services of a quality assurance personnel. The responsibilities of the quality assurance person are to –
- (a) assure the quality and approval of the cannabis before it is made available for sale and distribution;
  - (b) ensure that all standard operating procedures are created and maintain a revision history;
  - (c) investigate every complaint received in respect to the quality of the cannabis, if necessary, immediately taking measures to mitigate any risk, and
  - (d) immediately investigate and, if necessary, immediately take measures to mitigate any risk if there is any grounds for reasonable suspicion that the cannabis or any part of the operations, distribution and sale process presents a risk of injury to human health or is non-compliant with the applicable measures listed in section 8(h)(3);

**Pesticide product**

- 18.** Cannabis must not be treated with a pesticide product unless as permitted by and in keeping with Pesticides and Toxic Chemicals Control Act - Cap.11.15, and the Limits of Resides and Contaminants for Cannabis Regulations.

**Purchasing from licenced cultivators**

- 19.** –(1) A Central Trading Entity shall be permitted to purchase cannabis from licenced cultivators after inspection and confirmation of the following –
- (a) the original or certified true copy of the applicable license, along with proof –
    - (i) of identity, to ensure that the seller is the person listed on the licence;
    - (ii) that the licence is valid and has not expired, and
    - (iii) that the seller is on the list of approved persons with a Cultivating Licence listed in the seed-to-sale tracking system established by the RSA.
  - (b) the cannabis product is in good condition to be stored, repackaged or sold;
  - (c) that the cannabis class received is fresh or dried cannabis only;
  - (d) the cannabis product is received –
    - (i) in packaging that maintain their quality, and is accompanied by a label that contains the following information:
      - (1) the name of the person from which the cannabis is obtained;
      - (2) licence number of cultivator;
      - (3) the address of the location for which the cannabis was obtained;
      - (4) lot number and if applicable batch number of the cannabis;
      - (5) date harvested;

- (6) date sold;
  - (7) weight, which shall be verified upon receipt;
- (ii) with testing results which –
  - (1) match the corresponding lot number or applicable batch number;
  - (2) contain all relevant information specified in Cannabis Testing and Laboratory Regulations;
  - (3) are within the acceptable limits as prescribed in Limits of Resides and Contaminants for Cannabis Regulations, and Cannabis Testing and Laboratory Regulations;
  - (4) in the case where the cultivator has not provided the relevant information, the Central Trading Entity may enter into an agreement to contract out the testing on behalf of the cultivator, on the condition that the cannabis is not sold, unless it meets the required testing specifications.
- (2) A Central Trading Entity shall upon purchasing cannabis –
  - (a) document and record all information specified in section 32(1);
  - (b) retain the documentation and information as prescribed in section 321(h)(2),  
and
  - (c) enter all relevant information into the seed-to-sale tracking system established  
by the RSA.
- (3) Upon receipt of testing results or alternatively, acceptance of the cannabis from a  
licenced cultivator

**Payment**

- 20.** –(1). The Central Trading Entity shall pay a Cultivator as agreed, but not later than 30 days from receipt of the tested cannabis, or if the cannabis is submitted without testing, 30 days from receipt of the test results verifying regulatory compliance.
- (2) The payment required under subsection (1) shall be made regardless of whether the Central Trading Entity has been able to sell the cannabis in question.

**21. – Bypass of the Central Trading Entity**

- (1) At every instance, where a person holds a valid Cultivator's and Processing License and wishes to process cannabis cultivated by them without first selling to the CTE, they may apply to the RSA to approve the transfer of the cannabis from Cultivator to Processor or otherwise facilitate retention of the cannabis by the applicant.
- (2) Where the RSA receives an application pursuant to subsection 21(1), the RSA may approve the direct transfer or retention and notify all licensed Central Trading Entities of the approval.

**22. Distribution and sale of cannabis to licenced processors, Distributors and researchers**

- (1) A Central Trading Entity shall be permitted to distribute cannabis to licenced processors, distributors and researchers subsequent to –
- (a) labeling as prescribed in the Packing and Labeling Regulations;
  - (b) inspecting the validity of the original or certified true copy of the applicable licence, along with –

- (i) proof of identity, to ensure that the purchaser or transporter is a person listed on the licence;
  - (ii) verifying that the licence is valid and has not expired, and
  - (iii) that the purchaser is on the list of approved persons with a Cannabis Processor's or Research Licence listed in the seed-to-sale tracking system established by the RSA.
- (d) documenting all relevant information as specified in section 32(1);
- (e) retain the documentation and information as prescribed in section 32(1(h)(2)
- (f) entering all relevant information into the seed-to-sale tracking system established by the RSA
- (2) A Central Trading Entity shall be permitted to sell and distribute dried cannabis and cannabis plant seeds specified in Schedule 1.
- (3) A Central Trading Entity shall not be permitted to sell or purchase live cannabis plants.

#### **Distribution and sale to licenced Class One Dispensaries**

- 23.** –(1) A Central Trading Entity is permitted to package, label and sell cannabis in the form of dried cannabis, including pre-rolls, to Class One Dispensaries.
- (2) Pursuant to subsection (1) a Central Trading Entity is subject to all requirements prescribed under the Medicinal Processor's Regulations.
- (3) All packages of cannabis in the form of dried cannabis, including pre-rolls shall comply with the requirements as prescribed in the Packing and Labeling Regulations.
- (4) Central Trading Entity shall not be permitted to conduct any other activities related to processing and manufacturing of cannabis products.

**Weighing devices**

**24.** A Central Trading Entity shall use weighing devices that are tested, approved and labeled in accordance to the Metrology Act, No. 17, 2000, and calibrated Saint Lucia Bureau of Standards, whenever the licensee is determining the weight of cannabis that is to be sold or entered into the seed-to-sale tracking system established by the RSA.

**25. Destruction and repurposing of Cannabis**

1. –(1) Where cannabis is tested pursuant to the Medicinal Cultivation Regulations and fails to meet the parameters or requirements established by the Laboratory Regulations and the Limits For Residues and Contaminants for Cannabis Regulations, the cannabis shall be destroyed in keeping with the Medical Cultivation Regulations and these Regulations, unless the RSA approves the repurposing of the cannabis further to these regulations.
2. The holder of a cannabis license who receives a failed analytical test as outlined in subsection 1 may request a retest of the cannabis, within seven (7) days of receipt of the initial results.
3. Where the cannabis does not meet the requirements as outlined in subsection (1), the CTE with the approval of the licensed cultivator may apply to the RSA for the cannabis or parts of the cannabis plants to be repurposed as industrial hemp pursuant to the industrial hemp regulations.
4. A holder of a Cultivation Licence is not authorized to destroy cannabis outside of the parameters of the Central Trading Entity Regulations & Medicinal Cultivation Regulations.
5. The RSA is authorized to destroy cannabis only –

- (a) using a method that does not result in any person being exposed to cannabis smoke or cannabis vapor, and
  - (b) in the presence of at least two individuals, one of which must be an employee of the holder of the licence for which the cannabis is being destroyed.
- (2) A RSA must, if they destroy cannabis or cause it to be destroyed document the following information –
  - (a) a description of the cannabis;
  - (b) the date on which the cannabis is destroyed;
  - (c) the net weight of the cannabis on the date of pre-destruction;
  - (d) the address of the location at which the cannabis is destroyed;
  - (e) a brief description of the method of destruction;
  - (f) the names of the individuals who witness the destruction referred to in subsection (2)(b); and
  - (g) a statement by the witnesses for each instance in which cannabis is destroyed, that is signed and dated by the persons referred to in subsection (2)(b).
- (3) The holder of a Central Trading Entity must document and retain records of the destruction, for a retention period, as prescribed in section 32.
- (4) The RSA shall develop standard operating procedures in keeping with these regulations, for the destruction of cannabis and cannabis products.

### **Recall action plan**

- 26.** The holder of a Central Trading License shall ensure that the following are established –
- (a) factors within the daily operations of the entity that would necessitate a recall;
  - (b) employee responsible for implementing the recall procedures;

- (c) a mechanism to notify all customers that have, or could have, obtained the cannabis or cannabis products, including communication and outreach via media, as necessary and appropriate;
- (d) a mechanism to notify any licensees that supplied or received the recalled cannabis goods; and
- (e) instructions to the general public and other licensees for the return or destruction of the recalled cannabis or cannabis products.
- (f) Establish procedures for the collection and facilitation of destruction by the RSA, of any recalled cannabis or cannabis products. The recalled cannabis or cannabis products shall be subject to auditing by the RSA.

## **Recalls**

- 27.**—(1) The recall of cannabis, cannabis products and levels of severity shall be dictated by these Regulations as specified in Schedule 2 and pursuant to Standards Act (Act No. 14 of 1990)
- (2) A Central Trading Entity shall conduct a recall if any of the risks levels as prescribed in Schedule 2 are encountered.
  - (3) A Central Trading Entity shall conduct the recall within the timeframe specified in Schedule 2.
  - (4) The holder of a Central Trading License as a Central Trading Entity shall notify the RSA of any recall within 24 hours of initiating the recall.
  - (5) If the RSA believes on reasonable grounds that cannabis or a cannabis product poses a risk to human health or safety, the RSA may, by written notice, order that the cannabis and cannabis product be recalled or sent to a place designated by the RSA.

- (6) The holder of a Central Trading License shall conduct a recall simulation based on the system of auditing referred to in section 15(d)(iv) –
- (a) the simulation shall occur once every 12 months or otherwise directed by the RSA;
  - (b) after completing the simulation, a detailed report must be prepared that sets out how it was conducted and the results, and
  - (c) the report shall be retained for a period as prescribed in section 32.
- (7) The report specified in subsection (6)(b) shall contain the following information –
- (a) a description of the cannabis sold;
  - (b) each lot or batch number of the cannabis to be recalled, together with, if known, the lot or batch number of any cannabis products that used the cannabis identified to be recalled;
  - (c) the name and address of each licensee from which the cannabis was obtained;
  - (d) the rationale for commencing the recall;
  - (e) the quantity of cannabis product that is sold or distributed;
  - (f) the quantity of cannabis that is affected by the problem or potential problem underlying the recall;
  - (g) the period during which the licensee sold or distributed the cannabis;
  - (h) contact information for the individual who is responsible for the recall as specified in section 25(b);
  - (i) in the case of exported cannabis, the permit number of the exported cannabis, and all relevant information that is included in the permit –
    - (i) including the destination country, and

- (ii) contact information of the receiver;
- (j) the timeline and manner in which the recall is expected to be carried out, including –
  - (i) the expected date for the commencement of the recall;
  - (ii) how and when the RSA will be informed of the progress of the recall, and;
  - (iii) the expected completion date of the recall.
- (k) a description of any other measure the holder of the Central Trading License intends to take in respect to the recall.

**Importation**

- 28.** –(1) A Central Trading Entity is permitted to import cannabis and cannabis product subject to the requirements under the Cannabis Importation and Exportation Regulations.

**Exportation**

- 29.** A Central Trading Entity is permitted to export cannabis subject to the requirements under the Cannabis Importation and Exportation Regulations.

**Transportation**

- 30.** A Central Trading Entity is subject to the requirements under the Cannabis Transportation Regulations for all cannabis and cannabis product transported to or from the Central Trading Entity.

**Lost or theft**

- 31.** A holder of a Central Trading License must, if a theft or loss of cannabis is encountered that cannot be explained on the basis of normally accepted operational activities –

- (a) notify the police force within 24 hours after becoming aware of its theft of loss,  
and
- (b) provide the RSA with a written notice within 72 hours after becoming aware of  
the loss or theft.

### **Notices**

- 32.** –(1) A holder of a Central Trading License must notify the RSA of any of the following changes within 7 days a change occurs;
- (a) a change to the mailing address, telephone number, email address or facsimile  
number;
  - (b) the replacement or addition of an individual who must hold a security clearance  
as referred to in section 6.
- (2) A holder of a Central Trading License shall notify the RSA and retain proof of insurance as specified in section 15(d)(v).
- (3) A holder of a Central Trading License must provide the RSA 3 months' notice, if they wish to cancel the Central Trading License.
- (4) A holder of a Central Trading License shall retain a copy of all notices sent to the RSA for a retention period as prescribed in section 32 or otherwise in this Act.

### **Requirements for retention of documentation and information**

- 33.** –(1) When purchasing, selling, distributing, importing or exporting cannabis, a holder of a Central Trading License is required to retain records that contain the following information for each lot or batch of cannabis –
- (a) the name of the person to which it is purchased, sold, distributed, exported or  
imported;

- (b) the address of the location from which it is purchased, sold, distributed, exported or imported and the place to which it is sent or delivered;
  - (c) the date on which it is purchased, sold, packaged, distributed, exported or imported;
  - (d) a description of the cannabis;
  - (e) the internal lot or batch number assigned to the product;
  - (f) the external lot or batch number assigned by the licensee;
  - (g) the weight of the cannabis that purchased, sold, packaged, distributed, exported or imported, and
  - (h) except in the case of cannabis plant seeds, any information that is obtained through the required testing and any other results that relates to the phytocannabinoid and terpene content of the cannabis.
- (2) A Central Trading Entity is required to retain documents or information in a manner that ensures –
- (a) that an audit, either internal or external can be made in a timely manner;
  - (b) that the document is available at the site specified in the licence, and
  - (c) that a record is retained until the end of the retention period of –
    - (i) at least two years after the date on which –
      - (1) the cannabis is purchased from a licenced cultivator;
      - (2) the cannabis is sold to licenced processor's and researchers;
      - (3) the cannabis was destroyed as specified in section 24(3).
      - (4) the notice is sent or provided to the RSA specified in section 31.
      - (5) any occurrence listed in section 15(h)(i) and 15(h)(iii);

- (ii) a backup of recordings and logs for the preceding 30 days reference 10(b);
  - (iii) at least one year after the date of any occurrence of an intrusion 15(h)(ii);
  - (iv) in the case of imported cannabis, as prescribed in the Cannabis Importation and Exportation Regulations;
  - (v) in the case of exported cannabis, as prescribed in the Cannabis Importation and Exportation Regulations;
  - (vi) in the case of pre-packaged products sold to a Class One Dispensary, as prescribed in the Cannabis Processor's Regulations, and the Packing and Labeling Regulations;
- (3) A Central Trading Entity shall enter all required information specified by the RSA, into the seed-to-sale tracking system established by the RSA, as specified in the Attestation form submitted as part of the application process.
- (4) In the event that a Central Trading License as a Central Trading Entity is canceled, suspended, revoked or expired, the holder of a Central Trading License as a Central Trading entity shall continue to retain documentation and information as specified under this section.

### **Financial reporting**

- 34.** The Central Trading Entity shall be required to make financial reports as mandated by the Income Tax Act, Cap. [], the Act and the Cannabis Levy Regulations.

### **Exceptions – urgent notices**

- 35.** Individuals are obligated to notify the RSA immediately if –

- (a) a person who is required to obtain a security clearance is convicted of –
- (a) a criminal offence, except where the offence is a minor traffic offence or has been spent in accordance with the Criminal Records (Rehabilitation of Offenders) Act, Cap 3.13, or
- (b) an offence under the Act.
- (b) They are aware of any information that poses a risk to public health or public safety, including the risk of cannabis being diverted to an illicit market or activity.

### **Forms**

- 36.** For the purpose of facilitating a Central Trading License for a Central Trading Entity, the requisite forms are set out in Schedule 3.

**Schedule 1**

(Section 21)

**Prescribed seed type**

Item	Seed

*[Please indicate which seed types that are allowed in Saint Lucia. The Act references that this shall be specified in Regulations]*

**Schedule 2**

(Section 27)

*Table 1: Risk Level and Timeline for Recall Action*

Risk Level	Description	Timeline for Action
Level I	There is a reasonable probability that the use of or exposure to the affected cannabis or cannabis product will cause serious adverse health effects or loss of life. Level I risks included but are not limited to, a label that contains incorrect information that could potentially affect public health and safety, such as incorrect labeling of allergens, or a licence holder has been made aware that the mandatory testing shows that the cannabis or cannabis product exceeds the tolerance limits for residues or contaminants as prescribed in the Limits of Residues and Contaminants Regulations.	Initial contact should be made as soon as possible, and at most within ONE BUSINESS DAY of commencing the recall.
Level II	The use of or exposure to the affected cannabis or cannabis product may cause temporary adverse health consequences or the probability of serious adverse health effects is remote. Level II risks include, but are not limited to	Initial contact should be made as soon as possible, and at most within FOUR BUSINESS DAYS of commencing the recall

	mislabelling of a cannabis product wherein the label shows a lower concentration of the total THC than what was listed on the label.	
Level III	The use of, or exposure to, the affected cannabis or cannabis product is not likely to cause any adverse health effects. Level III risks include but not limited to a product label that was printed without the mandatory health warning messages, or the mandatory Standardized Cannabis Symbol as prescribed in the Cannabis Packaging and Labeling Regulations	Initial contact should be made as soon as possible, and at most within SEVEN BUSINESS DAYS of commencing the recall
Level IV	Instances where the cannabis or cannabis product has not reached the end consumer. A Stop Sale may be utilized instead of a recall. Level IV risks include if the product was distributed to other cannabis licence holders, or the product is at the distribution level but not at the retail level, or the product has been put on the shelves for retail but not sold. Level IV Stop Sale may be the option.	Initial contact should be made immediately to ensure that the cannabis and cannabis products do not make it further down the supply chain. In the event it does, the risk level shall be increased appropriately.

**Schedule 3**

(Section 5, 11, 35)

**[Form serial #]**

FORM 1 RSAXXX

**APPLICATION FOR A CENTRAL TRADING LICENSE AS A CENTRAL TRADING ENTITY***(Please complete and submit this application in electronic or printed form).***Please read the following explanatory notes carefully:**

- a) Missing information or documents may result in a delay in the processing of the application. Please ensure that all documents listed in the applicable checklist is attached upon submission of the application.
- b) Must provide original copies of the following document EXCEPT where stated otherwise:

**Application checklist for applicants applying as a company:**

- ☐ Certificate of Incorporation
- ☐ Notice of Directors (notice of change of directors must be submitted if applicable)
- ☐ Notice of Beneficial Owners

**Application checklist for applicants applying as a corporative:**

- ☐ Bye-Laws
- ☐ Notice of Directors
- ☐ List of Members

**Application checklist for company and corporative:**

- ☐ Application fee of \$1500
- ☐ Corporate organizational chart
- ☐ Two of the IDs detailed in Section 1 (Certified Copies)
- ☐ Site Plan (as specified in section 4 of the Central Trading Regulations)
- ☐ Description of Physical Security Plan ( please provide a detail description of the proposed security plan as specified in section 4 of the Central Trading Regulations)
- ☐ Proof of financial ability
- ☐ Completed Form 1 # RSAXXX
- ☐ Completed Form 2 # RSAXXX for each Director and Beneficial Owner

**[Insert RSA Logo here]**

[Form serial #]

**1. APPLICANT INFORMATION**

**1.1 Full Name**

Last Name

First name

Other name(s)

**1.2 Address**

Permanent address

City

**1.3 Contact Details**

Home phone

Cell phone

Work phone

Facsimile

Email address

**1.4 Identification**

National Insurance Number (NIC)

Please provide 2 forms of ID and include a copy of each ID for which you have provided the details:

National ID Card Number

Exp. Date (DD-MM-YY)

Passport Number

Exp. Date (DD-MM-YY)

Driver's Licence Number

Exp. Date (DD-MM-YY)

**2. COMPANY or COOPERATIVE INFORMATION**

**2.1 Name of entity**

**2.2 Type of company or corporative (business activity or purpose)**

**2.3 Current position**

[Insert RSA Logo here]

[Form serial #]

**2.4. Business address**

Address

City

**2.5 Business mailing address (if different from 1.4 above)**

Address

City

**2.6 Business contact information**

Telephone

Facsimile

E-mail address

Website

**3. PROPOSED SITE**

**3.1 Address**

Permanent address

City

The undersigned hereby affirms that the information contained in this application is true and accurate as of the date shown below and the undersigned is authorised to execute this application

This ..... day of ..... , .....

APPLICANT/PERSON AUTHORIZED BY APPLICANT

Name

Signature

[Insert RSA Logo here]

**[Form serial #]****APPLICATION FOR A GRANT FOR SECURITY CLEARANCE***(Please complete and submit this application in electronic or printed form).***Please read the following explanatory notes carefully:**

- a) Missing information or documents may result in a delay in the processing of the application. Please ensure that all documents listed in the applicable checklist is attached upon submission of the application.
- b) Must provide original copies of the following document EXCEPT where stated otherwise:

**Application checklist:**

- ☐ Bio-page of passport (Certified copy)
- ☐ Certificate character
- ☐ Application fee of \$100
- ☐ Two of the IDs detailed in Section 1 (Certified Copies)

**1. APPLICANT INFORMATION****1.1 Full Name**

Last

Name

First name

Other name(s)

**1.2 Address**

Permanent address

City

**1.3 Contact Details**

Home phone

Cell phone

Work phone

Facsimile

Email address

**[Insert RSA Logo here]**

**[Form serial #]****1.4 Identification**

National Insurance Number (NIC)

Please provide forms of ID and include a copy of each ID for which you have provided the details:

National ID Card Number

Exp. Date (DD-MM-YY)

Passport Number

Exp. Date (DD-MM-YY)

Driver's Licence Number

Exp. Date (DD-MM-YY)

**2. COMPANY or CO ORPERATIVE INFORMATION****2.1 Name of entity****2.2 Type of company or corporative (business activity or purpose)****2.3 Current position****2.4. Business address**

Address

City

**2.5 Business mailing address (if different from 2.4 above)**

Address

City

**2.6 Business contact information**

Telephon

e

Facsimile

E-mail address

Website

**[Insert RSA Logo here]**

**[Form serial #]**

### **3. DETAILS**

Detail the purpose of requesting a grant for security clearance

--

The undersigned hereby affirms that the information contained in this application is true and accurate as of the date shown below and the undersigned is authorised to execute this application

This ..... day of ..... , .....  
APPLICANT/PERSON AUTHORIZED BY APPLICANT

Name

--

Signature

--

**[Insert RSA Logo here]**

[Form serial #]



### RECORD KEEPING ATTESTATION

*(Please complete and submit this form in electronic or printed form).*

Please complete the required information. If a section is not applicable, indicate it as such.

**All fields indicated by an asterisk (\*) are mandatory.**

#### 1. GENERAL INFORMATION

##### 1.1 Full Name

Last Name\*

First name\*

Other name(s)

##### 1.2 Name of entity

##### 1.3 Type of company or corporative (business activity or purpose)

#### 2. RECORD KEEPING METHOD

2.1. What is your recording keeping method?\*

☐ Paper-based

☐ Electronic-based

☐ Other (please specify below)

[Insert RSA Logo here]

[Form serial #]

### 3. ATTESTATION

The undersigned hereby attests that:

- All applicable documents and information required under the Cannabis Regulations that must be retained by a holder of a Cannabis Licence and Central Trading License for a Central Trading Entity will be retained accordingly for the noted retention periods as outlined by the respective regulations.
- All applicable documents and information will be entered into the seed-to-sale tracking system as specified by the RSA.

This ..... day of ..... , .....

APPLICANT/PERSON AUTHORIZED BY APPLICANT

Name

Signature

[Insert RSA Logo here]

[Form serial #]

**STATUTORY DECLARATION**

I, the undersigned, ....., as part of my application for and intended issuance of recognition as a Central Trading Entity, hereby consent to and authorize the Regulatory Substance Authority to inspect my property and facility to ensure that I meet the terms and conditions set out in the Cannabis & Industrial Hemp Act and all applicable Cannabis Regulations and the recognition to be issued.

This ..... day of ..... , .....

APPLICANT/PERSON AUTHORIZED BY APPLICANT  
Name\_\_\_\_\_  
Signature

--

[Insert RSA Logo here]

[Insert **Regulated Substances Authority**  
Logo Saint Lucia  
Here]

Certificate No.

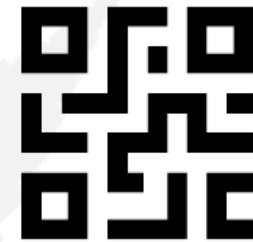
## CANNABIS CERTIFICATE OF RECOGNITION

**CERTIFICATE HOLDER:**  
[Insert name here]

**DATE OF ISSUE:** [YYYY-MM-DD]  
**DATE OF EXPIRY:** [YYYY-MM-DD]

**SITE:**  
[Insert location here]

**CERTIFICATE OF RECONITION:**  
Central Trading Entity



This certificate recognizes the above mentioned holder as a Central Trading Entity at the site specified in this Certificate of Recognition, until the expiration date of this certificate. This Certificate of Recognition is issued in accordance with the *Cannabis Act* and *Cannabis Regulations* and is not transferable to any other person or site location. This certificate shall be displayed in a prominent place at all times at the site. The certificate shall be subject to suspension or revocation if the licence is determined to be in violation of the *Cannabis Act* and *Cannabis Regulations* adopted thereunder.

[Insert Seal Here]

**Name**  
Chief Executive Officer  
Regulated Substance Authority

**Name**  
Chief Licencing Officer  
Regulated Substance Authority

