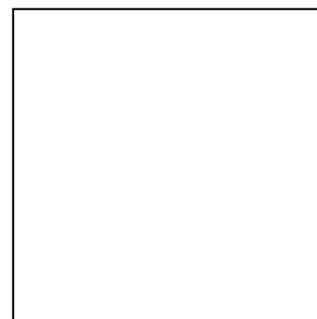




**SECURITIES AND EXCHANGE  
COMMISSION, NIGERIA**

**FORM SEC 2C**  
(To be completed in duplicate)

**APPLICATION FORM FOR REGISTRATION AS A SUB-BROKER UNDER THE  
INVESTMENTS AND SECURITIES ACT 2007**



1. Name of applicant \_\_\_\_\_

2. Trade name of applicant or corporate body/firm \_\_\_\_\_

3. Form of organization

- i. Individual
- ii. Partnership
- iii. Corporate body

Provide name and addresses of individuals, partners, directors, etc.

4. Business address \_\_\_\_\_

5. Registered address \_\_\_\_\_

6. Educational qualifications of individuals, partners, directors etc.

i. Name: \_\_\_\_\_

ii. Status: \_\_\_\_\_

iii. Qualifications: \_\_\_\_\_

7. i. Date of Birth: \_\_\_\_\_
- ii. Place of Birth: \_\_\_\_\_
- iii. Nationality \_\_\_\_\_
- iv. Sex: (M/F): \_\_\_\_\_
- v. Marital Status: \_\_\_\_\_
- vi. Father's Name: \_\_\_\_\_
- vii. Mother's Name: \_\_\_\_\_
- viii. Maiden Name: \_\_\_\_\_
- ix. Name of spouse, employment and home address:  
(Applicable to individual applicant) \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
8. i. Name of the affiliate stock broker \_\_\_\_\_
- ii. Scope of authority and responsibilities \_\_\_\_\_
- \_\_\_\_\_
- \_\_\_\_\_
9. Date since engaged or acquiring Sub-brokership \_\_\_\_\_
10. Facilities available \_\_\_\_\_
- i. Fax No: \_\_\_\_\_
- ii. Phone No: \_\_\_\_\_
- (office and residential numbers) \_\_\_\_\_
11. Particulars of Directors/Partners/Individual/Executive and Senior Staff
- i. Qualification and Experience: \_\_\_\_\_
- ii. Current Employment: \_\_\_\_\_
- iii. Previous Employment: \_\_\_\_\_
- iv. Reasons for Leaving: \_\_\_\_\_

12. i. Education: \_\_\_\_\_

<b>Names of Educational Institutions attended</b>	<b>Qualifications obtained with dates</b>

ii. Professional Qualification (if not obtained through regular institutions of learning) and date obtained

<b>Names of Professional institutions attended</b>	<b>Qualifications Obtained with dates:</b>

13. References:

Give at least three names and addresses (including your bank) but excluding relations and persons associated with the sponsoring firm as referees:

	<b>Names</b>	<b>Addresses</b>
1.		
2.		
3.		
4.		
5.		

14. i. Have you ever been denied registration or expelled from membership of any Government Agency, Securities Exchanges or any National Securities Association? \_\_\_\_\_

If yes give reasons \_\_\_\_\_  
\_\_\_\_\_

ii. Have you ever been subjected to any disciplinary action by any of the bodies mentioned in 14

( I )above? \_\_\_\_\_

If yes give details \_\_\_\_\_

\_\_\_\_\_

iii. Has your membership of the institutions mentioned in 14(i) at any time been revoked, suspended or withdrawn? \_\_\_\_\_

If yes give reasons \_\_\_\_\_

iv. Has any broker/dealer or any other body with whom you had associated been affected as stated in 14(i), (ii) and (iii) above \_\_\_\_\_

If yes give reasons \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

15 Change of Name (through marriage, divorce or court order etc)

Have you ever had, used, operated or carried on business under any name other than the name mentioned in item (1) of this form or have you ever been known under any other name? \_\_\_\_\_

If yes give details \_\_\_\_\_

\_\_\_\_\_

16. **OFFENCE UNDER THE LAW:**

i. Have you ever been convicted under any Federal or State Law in Nigeria of any offence relating to trading in securities or with any related offence or been a party to any proceedings taken on account of fraud arising out of any trade in or advice in respect to securities?

\_\_\_\_\_

If yes give details \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

ii. Have you ever been convicted under any Federal or State of Law for contravention or other criminal offence noted in 16 (i) above \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

iii. Are you currently the subject of a charge (criminal or civil) in any court of Law in Nigeria? \_\_\_\_\_

If yes, give details \_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

17. **JUDGEMENT OR GARNISHEE ORDER, BANKRUPTCY**

- i. Has any judgment or garnishee order ever been rendered against you or is any judgment or garnishee order outstanding against you in any court of law in Nigeria or elsewhere for damages or relief in respect of fraud or for any reason whatsoever?

If yes, give details \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

- ii. Have you ever been declared bankrupt, made voluntary assignment in bankruptcy, made a scheme of arrangement with your creditors under any bankruptcy Law? \_\_\_\_\_

Give details and attach copy of the discharge order (if discharged) \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

18. **BUSINESS ACTIVITIES**

- i. Will you be actively engaged in the business of your affiliate company and devote the major portion of your time thereto? \_\_\_\_\_

- ii. Are you engaged in any other business or have you any other employment for gain except your dealings in securities with your affiliate company? \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
If so, attach full details including the full name and address of the business your title or Position and the amount of time you devote to the business. \_\_\_\_\_  
\_\_\_\_\_

- iii. Are you a partner, Director, Officer, Shareholder, or Contributor of capital of partnership or a company other than your affiliate company having as its principal activity the business of a broker/dealer or adviser in securities \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

19. Are your clients required to maintain an account with you? \_\_\_\_\_

If so what is the scope of your authority over such fund \_\_\_\_\_  
\_\_\_\_\_

20. A) Do you maintain separate bank accounts for your clients? \_\_\_\_\_

B) How regularly are your clients given statement of account? \_\_\_\_\_

\_\_\_\_\_

21. Does the nature of your business include investment supervisory services? \_\_\_\_\_

\_\_\_\_\_

22. Give the basis upon which you receive compensation for such services \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

23. Do you deal in securities other than on client's mandate? \_\_\_\_\_

If yes give details. \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_

**AFFIDAVIT**

I, \_\_\_\_\_

Name in full

of \_\_\_\_\_

Address

hereby make oat and state as follows:

1. That I am \_\_\_\_\_ the

Name in full

applicant herein seeking registration with the Securities and Exchange Commission.

2. that I have read and understood the question in this application form as well as the answers I have provided and to the best of my knowledge and belief the statements made therein and in the attachments are true.

\_\_\_\_\_  
**DEPONENT**

Sworn to at the \_\_\_\_\_ Court this \_\_\_\_\_ day of \_\_\_\_\_

**BEFORE ME**

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**COMMISSIONER FOR OATHS**

**NOTE**

1. This application should be completed in duplicate, typewritten or printed
2. The application should be accompanied with the following:
  - i. copy of certificate of business name (if any) certified by Corporate Affairs Commission
  - ii. two passport sized photography of the applicant with the name and signature of the applicant and a certifying officer