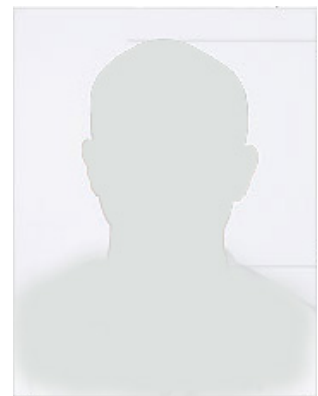




**SECURITIES AND EXCHANGE
COMMISSION, NIGERIA**

**APPLICATION FORM FOR REGISTRATION OF SPONSORED INDIVIDUALS
UNDER THE INVESTMENT AND SECURITIES ACT 2007**



NOTES

- a) This form should be completed in CAPITAL LETTERS and in duplicate by every individuals seeking registration from the Securities and Exchange Commission as an officer, individual investment adviser, jobber dealing clerk, capital market consultant, principal officer of a securities exchange and other self regulatory organizations.
- b) Any reference to the “Act” in the form relates to the Investments and Securities Act No 29 of 2007 and the Rules and Regulations made there under.
- c) Two recent passport size photographs with full face, bearing at the back, the signature of the applicant and that of a certifying officer who should be an officer, director or partner of the sponsoring firm and commissioner for oath must be attached.

TYPES OF REGISTRATION REQUIRED

- i. Dealing clerk
- i. Jobber
- ii. Partner
- iii. Principal officer of securities exchange/capital trade point
- iv. Principal officer of association of securities dealers
- v. Principal officer of a clearing, settlement, Depository and Custodial agency
- vi. Director

- vii. Officer
- viii. Manager
- ix. Capital Market Consultant
- x. Any other Category (specify) _____

1.b. STATE THE CAPITAL MARKET FUNCTION FOR WHICH YOU REQUIRE REGISTRATION: _____

N.B; PLEASE NOTE THAT, ALL INFORMATION PROVIDED WILL BE SUBJECT TO VERIFICATION BY THE COMMISSION.

2 PERSONAL DETAILS

Name: _____
Surname other Name(s) Alias

Residential Address: _____

Office Address: _____

Official position in the sponsoring company: _____

Employment (permanent/part time) _____ E-mail _____

Date of Birth: _____ place of Birth: _____ State of Birth _____

Nationality: _____ State of Origin: _____

GSM No. _____ Sex (M/F) _____ marital status _____

Any visible distinguished mark _____ Passport/Drivers License No _____

Fresh/Re-issued _____ place of issue _____

Date of issue _____ Expiring Date _____

Name of father _____

Name of mother _____

Maiden name _____

Name of spouse (if married) _____

Employment of spouse _____

Name of spouse _____

Name of employer _____

Employer's Address _____

3 BANKERS

Name and Address	Branch	Type of A/C (Current A/C only)	A/C no.	Date Opened

4 EMPLOYMENT HISTORY

i. Current Employment

Name and address of employer	Date		Part time or full time	Position held
	From	To		

ii. Previous Employment

Name and Address of Employer(s)	Date		Part time or Full Time	Position Held	Reasons (s) For Leaving
	From	TO			

5. EDUCATION

- i. Give the name(s) of Educational Institutions(s) attended, Qualifications Obtained and dates from Secondary School to Date**

Name and address of Institution attended from secondary to date	Date		Course of study	Qualification obtained
	From	to		

Professional qualifications

(if not obtained through regular institutions of learning)

Awarding Institution and Address	Certificate	Year

Broker /Dealers Examination

Apart from educational qualifications, every Broker/Dealer is required to sit and pass Broker/Dealer professional examination conducted by the chartered Institute of Stockbrokers or any other recognized professional body.

Date of examination	Subjects	Test scores

6. REFERENCE

Give at least three names but excluding relations and persons associated with the sponsoring firm as referees. Please note that a nominated referee cannot be used by two or more sponsored individuals in the same company.

Name	Address	Occupation

ANSWER YES OR NO TO EACH OF THE FOLLOWING QUESTIONS, AND IF THE ANSWER TO ANY QUESTION IS YES, SUPPLY FURTHER DETAILS.

7. REGISTRATION/MEMBERSHIP

- i. Have you ever been denied registration or expelled from membership of any government agency, Securities Exchange or any National Securities Association?

 If yes, give reasons _____

- ii. Have you ever been subject to any disciplinary action by any of the bodies mentioned by 7(i) above? _____

If yes, give detail _____

- iii. Has your membership of the institution(s) mentioned in 7(1) at any time been revoked, suspended or cancelled? _____

iv. Has any Broker/Dealer or any other body with whom you have associated been affected in 7(i) (ii) (iii) above? _____

If yes, give names and addresses of such _____

8. CHANGE OF NAME:(through marriage, divorce or court order, etc)

Have you ever had, used, operated under any name other than name mentioned in item 2 of this form or have you ever been known under other names? _____

If yes, give details _____

9. OFFENCES UNDER THE LAW

i. Have you been convicted under any federal or state law in Nigeria any offence relating to trading Securities or with any related offence or been a party to any proceeding taken on account of fraud arising out of any trade in or advised in respect of securities? _____

If yes, give details _____

ii. Have you ever been convicted under any Federal or state law contravention or other criminal offences not noted in 9(i) above? _____

If yes, give details _____

10. JUDGEMENT OR GARNISHEE ORDER, BANKRUPCY

Has any judgment or garnishee order 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 other relief of a fraud or for any other reason whatsoever?

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

11. SURETY BOND OR FIDELITY BOND

Have you ever applied for surety bond or fidelity bond and been refused?

If so, give name and address of bonding company when and why the bond was refused

12. BUSINESS ACTIVITIES

Will you be actively engaged in the business of your sponsoring firm and devote the major portion of your time thereto? _____

Are you engaged in any other business, or have any other employment for gain except your occupation with your sponsoring firm? _____

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

Are you a partner, Director, Officer, Shareholder or Contributor of capital of partnership or Company other than your sponsoring firm? Having as its principal activity the business of a Broker/Dealer or adviser in Securities? _____

13. FOR INVESTMENT ADVISER/FUND/VENTURE FUND MANAGERS ONLY

Are your clients required to maintain an account with you? _____

If so, what's the scope of your authority over such fund? _____

14. (a) Do you maintain separate bank account for your client? _____

(b) How regular are your clients giving statement of account? _____

15. Does the nature of your business include investment supervisory services?

16. Give the basis upon which you receive compensation for such services.

AFFIDAVIT

I _____

NAME IN FULL

Of _____

Hereby make an oath and state as follows:

- (1) That I am _____ the applicant
Herein seeking registration with the Securities and Exchange Commission
- (2) That I have read and understood the questions in the application form as well as the
answers given and that to the best of my knowledge and believe the statement of fact
made therein and the attachment are true.

DESPONDENT

SWORN to at the _____ court, this _____ day of _____ year _____

BEFORE ME

COMMISSIONER FOR OATHS

SPONSORING FIRM CERTIFICATION

We hereby certify that the particulars rendered above by the applicant (whose signature is appended below) are to the best of our knowledge, true and correct and we undertake to notify the securities and exchange commission in writing of any material change therein as prescribed by the Act.

NAME OF SPONSORING FIRM

APPLICANT`S SIGNATURE

SIGNATURE OF DIRECTOR /PARTNER/SECRETARY