



## APPLICATION FORM FOR THE REGISTRATION OF TRUSTEES UNDER THE INVESTMENTS AND SECURITIES ACT 2007

1. Name of Applicant: \_\_\_\_\_
2. Current Office Address \_\_\_\_\_
3. Telephone number \_\_\_\_\_ Fax No \_\_\_\_\_
4. Date of Incorporation \_\_\_\_\_
5. Previous Address (if any) \_\_\_\_\_
6. Date of Commencement of Business \_\_\_\_\_
7. Bankers and Branch(es) in which Trust Account(s) is/are maintained \_\_\_\_\_

- i. \_\_\_\_\_
- ii. \_\_\_\_\_
- iii. \_\_\_\_\_

8. State number of Branches \_\_\_\_\_

9. **Capital Structure:**
  - i. Authorized: N.....Shares of N.....each amounting to N.....
  - ii. Issued: N.....Shares of N.....each amounting to N.....
  - iii. Paid up: N.....Shares of N.....each amounting to N.....

### 10. PARTICULARS OF DIRECTOR OR PARTNERS

Name	Address	Date Appointed	Date of Retirement

11. **PARTICULARS OF TRUSTEESHIP (WITHIN THE LAST 2 YEARS)**

Title of Scheme	Year Commenced	Current Yes/No	Reasons for Termination

12. If the applicant is a Division/Department/Subsidiary of a registered company, state the name of the principal Company: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

13. State below the number of clients you serve:  
 Public Companies: Quoted: \_\_\_\_\_  
 Unquoted: \_\_\_\_\_

14. Give the total in number and values of the following documents outstanding with you undelivered.  
 Dividend/Interest warrants \_\_\_\_\_ Period covered \_\_\_\_\_ N \_\_\_\_\_  
 Unit trust/Stock certificate \_\_\_\_\_ Period covered \_\_\_\_\_ N \_\_\_\_\_

15. What are the main reasons for non delivery?  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

16. Briefly describe facilities available for the safekeeping of trust Deeds/Securities/valuables  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

17. Is the applicant always involved in keeping money on behalf of clients pending distribution by the applicant to ultimate beneficiaries for whatever reasons?  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

18. State total amount of Client's money now outstanding with you?  
 \_\_\_\_\_

19. How does the applicant account for Client's money referred to in (18) above?  
 \_\_\_\_\_  
 \_\_\_\_\_

20. State the basis upon which the applicant is remunerated for services rendered:

21.

Give details and value of Fidelity Bonds entered into in respect of your employees:

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

**AFFIDAVIT**

I, \_\_\_\_\_ Director/Secretary \_\_\_\_\_  
(Full Name)

Of \_\_\_\_\_  
(Name of Applicant Company)

Hereby make oath and state as follows.

- 1) that I have been duly authorised to sign this form on behalf of the company;
- 2) that the statement of facts made and information given on this form are to the best of my knowledge and belief true and correct

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

SEORN to at the \_\_\_\_\_ Court \_\_\_\_\_

This \_\_\_\_\_ day of \_\_\_\_\_

**BEFORE ME**

\_\_\_\_\_  
**COMMISSIONER FOR OATHS**