

**APPLICATION FORM FOR REGISTRARS AND SHARE TRANSFER AGENTS  
UNDER THE INVESTMENTS AND SECURITIES ACT 2007**

1. Name of Applicant.....  
.....
2. Current Office Address.....  
.....
3. Telephone No.....Fax No.....
4. Date of Incorporation.....
5. Previous Address (If any).....  
.....
6. Date of Business commenced.....
7. Banker and Branch (es) in which clients Account is/are maintained.....  
  - i. ....
  - ii. ....
  - iii. ....
8. CAPITAL STRUCTURE
  - I. Authorised .....Shares of N.....  
each amounting to N.....
  - ii. Issued .....Shares of N.....  
each amount of N.....
  - iii. Paid up .....Shares of N.....
9. PARTICULARS OF DIRECTORS OR PARTNERS

Name	Address	Date Appointed	Date of Retirement

10. PARTICULARS OF PRINCIPAL OFFICERS

Name	Qualification	Age	Sex M/F	Date Appointed

11. Total Number of Employees.....
12. If the applicant is a Division/Department/Subsidiary of a registered company, state the name of the principal company.....
13. State specific business activities and contributions of each to turnover of the applicant.....
14. State below the number of clients you serve:  
 Public companies: Quoted:.....  
 Unquoted.....
15. Give the Total in number and values of the following documents outstanding with you undelivered:  
 Dividend/Interest Warrants.....period covered.....  
 N .....
16. What are the main reasons for non-delivery.....
17. Briefly describe facilities available for the safe keeping of securities/valuables.....

18. a) Are records updated manually or with the aid of a Computer.....  
.....  
b) What are your records update procedure?.....  
.....  
c) How are shares transfers effected and dividend warrants prepared:  
Mechanically/Manually (Deleted whichever is not applicable)  
d) State average period for completion of share transfer registration process:  
.....  
.....
19. Is the applicant always involved in keeping money on behalf of clients pending  
distribution by the applicant to ultimate beneficiaries for whatever  
reasons?.....  
.....
20. State total amount of client's money now outstanding with you.....  
.....
21. How does the applicant account for client's money referred to in (20) above?.....  
.....  
.....
22. State the basis upon which the applicant is remunerated for services rendered.....  
.....  
.....
23. give details and value of Fidelity Bonds entered into in respect of your employees  
.....  
.....  
.....

**AFFIDAVIT**

I,..... Director/Secretary.....  
(Full Name)

Of.....  
hereby make oath and state as follows:

1. that I have been duly authorized 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.

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**DEPONENT**

SWORN to at the.....Court this.....day of.....  
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**BEFORE ME**

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**COMMISSIONER FOR OATHS**