



**APPLICATION FORM FOR WITHDRAWAL OF REGISTRATION AS CAPITAL
MARKET OPERATOR UNDER THE INVESTMENTS AND SECURTIES ACT 2007**

1. Name of Applicant: _____
2. Address of Applicant: _____

3. Applicant SEC Registration No. _____
4. State the reason(s) for withdrawal _____

For Corporate Entities

5. Give below the number of your outstanding clients:

6. State the position of Total Value of client Accounts;

(Attach schedule of breakdown)

7. Give details of outstanding contractual agreement with your clients and state what arrangements you have made for their completion.

8. (1) DETAILS OF ASSETS AND LAIBILITIES

Assets:

Description	Location	Book Value	Market Value

2. Liabilities

Description	Initial Amount	Date Contracted	Unpaid Balance

(Attach the latest Balance sheet or Statement of Affairs)

AFFIDAVIT

I, _____ of _____
(Full Address)

Hereby make oath and state that the information supplied and the comments made in this form are to the best of my knowledge and belief true and correct.

DEPONENT

SWORN to at the _____ Court this _____ day
of _____

BEFORE ME

COMMISSIONER FOR OATH

NOTE:

For corporate entities, the affidavit should be sworn to by Secretary/Director/Partners.



SECURITIES AND EXCHANGE COMMISSION FORM SEC 7
(To be completed in duplicate)

APPLICATION FOR AMENDMENT OF REGISTRATION INFORMATION BY CAPITAL MARKET OPERATOR UNDER THE INVESTMENT AND SECURITY ACT 1999

- 1. Name:
- 2. Address:.....
.....
- 3. Applicant SEC Registration No.....
- 4. State the nature of Amendment(s) required:.....
.....
.....
- 5. Give reasons for the amendment(s).....
.....
.....

AFFIDAVIT

I,.....
(Full Address)

Of.....
(Address)

Hereby make oath and say that the information supplied and the comments made in this form are to the best of my knowledge and belief true and correct.

.....
DEPONENT

SWORN at theCourt this.....day
of.....

BEFORE ME

COMMISSIONER FOR OATHS

**SPONSORING FIRMS CERTIFICATE
(For Individuals Only)**

We hereby certify that the particulars rendered by the applicant (whose signature is appended below) are to the best of our knowledge true and we undertake to notify the Securities and Exchange Commission in writing of any material change therein.

.....
Name of sponsoring Firm

.....
Applicant's Signature

.....
Signature of Director/Partner/Secretary

.....
Date