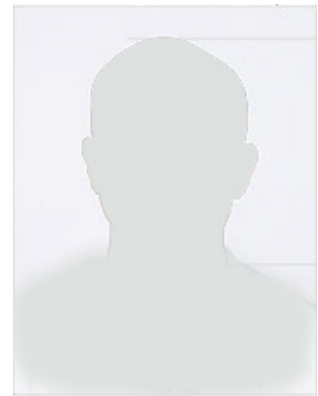




**SECURITIES AND EXCHANGE  
COMMISSION, NIGERIA**

**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**

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

**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, BANKRUPTCY**

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

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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?

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

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**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.

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**NAME OF SPONSORING FIRM**

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**APPLICANT'S SIGNATURE**

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**SIGNATURE OF DIRECTOR /PARTNER/SECRETARY**