



**SECURITIES AND EXCHANGE
COMMISSION, NIGERIA**

FORM SEC 2B

(To be completed in duplicate)

APPLICATION FOR TRANSFER/CHANGE OF STATUS OF REGISTERED INDIVIDUALS CHANGING EMPLOYMENT UNDER THE INVESTMENT AND SECURITIES ACT 2007

INSTRUCTIONS

1. APPLICATION for TRANSFER by REGISTERED SPONSORED INDIVIDUALS must be filled with the Commission within 14 days from the date of assumption of duty. Failure to comply will attract a late filing fee as prescribed by the rules and regulations.
2. This form and all attachments added thereto must be type written or printed. Any form or attachment completed by any other means may be considered not properly filed.
3. All applicable questions must be answered. Failure to do so may cause delays in the processing of the application.
4. Documents in support of application as listed in the Rules and Regulations must accompany completed application forms.
5. Should any space provided be insufficient for your answer, a statement may be attached and marked as appendix cross referencing each statement to the item to which it refers, provided it is initiated by the applicant
6. Please attach applicable fees

Name of Applicant: _____

Applicant was registered as: _____

Present Residential Address: _____

Name of Current Employer : _____

Current Business Address : _____

Applicant is applying for:

Transfer ----- change of status -----
(please tick whichever is applicable)

A. Transfer

Name of previous Employer _____

Date of Termination / Resignation
(Copy of letter should be attached)-----

B CHANGE OF STATUS

Current Registration-----

Wish to be Registered as : -----

APPLICABLE EXAMINATION WRITING
(Please attach proof of passing)

DATE PASSED

HAVE THERE BEEN CHANGES IN THE INFORMATION GIVEN IN QUESTIONS 9 THROUGH 16 (See Reverse) OF FORM SEC2 FOR REGISTRATION/APPROVAL PREVIOUSLY FILED BY YOU AND APPROVED BY THE COMMISSION? CIRCLE ONE, YES/NO, IF YES, ATTACH FULL PARTICULARS. The undersigned hereby certify that the foregoing statements are true and correct to the best of our Knowledge, information and belief We hereby undertake to notify the Securities and Exchange Commission in writing, of any change therein within the period prescribed by the conditions granting Registration.

Date signed

Signature of Applicant

Name of Director, Partner or Shareholder of the
Company (Please type Name)

Signature of Director, Partner or Shareholder of
Company

AFFIDAVIT

I _____ of _____

Make oath and state as follows:

- (1) That I am the applicant (or a Director, Officer or Partner of the applicant) Herein for registration and I signed the application;
- (2) That the statement of fact made in the application are true to the best of my knowledge and belief

Sworn to at -----Court, this -----day of -----
-

Signature of Deponent

BEFORE ME

COMMISSIONER OF OATHS

NOTE:

The following areas are addressed in the Form SEC 2 and constitutes question 9 through 16 respectively:

	Yes	No
9. REFUSAL, SUSPENSION, CANCELLATION OR DISCIPLINARY MEASURE(S):
10. CHANGE OF NAME:
11. OFFENCES UNDER THE LAW:
12. CIVIL PROCEDURES
13. BANKRUPTCY:	-----	-----
14. JUDGEMENT OR GARNISHMENT:
15 SURETY OR FIDELITY BOND;
16. BUSSINESS ACTIVITIES