



APPLICATION FORM FOR RENEWAL OF REGISTRATION FOR CORPORATE BODIES UNDER THE INVESTMENTS AND SECURITIES ACT 2007

INSTRUCTIONS:

1. This form must be completed and returned to the Commission with the required fee, fifteen (15) days prior to the due date. Failure to comply will attract late filling fee as prescribed by the Rules and Regulations of the Commission.
2. If renewal is not required please tick the appropriate box, sign and return this form to the Commission. If in the process of winding up, a company is required to submit the following.
 - (a) evidence of winding up
 - (b) written Auditor's confirmation to the effect that all financial obligations under the relevant Decree/Acts have been discharged and that all Trust Fund/Clients Accounts have been properly disbursed.
3. All applications in respect of sponsored individuals must be duly endorsed by the employer
4. All questions must be answered. Failure to do so may cause delays in the processing of the application.
5. Should the space provided be insufficient for your answers, a statement must be attached and marked "appendix" cross referencing each statement to the item to which it refers provided it is initialed by the applicant and the Commissioner for Oaths.
6. This form and all attachments added thereto must be typewritten or printed. Any form or attachment completed by any other means may be considered not properly filed.

1. Name of Applicant: _____

2. Business Address _____

3. Registration No

- | | |
|--------------------------------------|--|
| 4. (i) Corporate Investment Advisers | |
| (ii) Fund Portfolio Managers | |
| (iii) Brokers/Dealer | |
| (iv) Issuing House | |
| (v) Underwriters | |
| (vi) Banker to an Issue | |
| (vii) Registrars | |
| (viii) Trustees | |
| (ix) Securities Exchanges | |

- (x) Securities Exchange Branches
- (xi) Capital Trade Point
- (xii) Capital Market Consultants
- (xiii) Rating Agency
- (xiv) Clearing, Settlement, Depository and Custodian Agencies
- (xv) Any other category (Specify) _____

(Please tick which is applicable)

I request renewal of the above Registration _____

I do not desire renewal of the above Registration _____
(see item 2 under instructions)

5. AMENDMENT TO INFORMATION:

Since the date of last application has the company	Yes	No
(a) been subject to proceedings in Bankruptcy?	----	----
(b) had a judgment of a court rendered against it in Nigeria or elsewhere, for any reason whatsoever	-----	----
(c) been subject of any legal proceedings? If yes give a brief summary on a separate sheet of paper on the nature of the case;	-----	----
(d) changed any of its Officers, Director or Partners?	-----	----
(e) change any other Registration information from That previously submitted?	-----	----

6. List number of beneficiaries and amounts involved from the investors Compensation fund (if application)

Applicant's Signature

Date

Title and Name of Signing Authority

Name and Stamp of Company

AFFIDAVIT

In the matter of the Investments and Securities ACT 1999 and the Rules and Regulations made thereunder.

I, _____ (Name in full)
of the _____ (Name of Company) in the state
_____ (Name of the State where Affidavit is being sworn)

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 statements of fact made in the application are true to the best of my knowledge and belief.

SWORN to at the _____ Court
this _____ day of _____

Deponent

BEFORE ME

COMMISSIONER FOR OATHS

WARNING: Any application containing a false statement may result in refusal, suspension or cancellation of any Registration.