



**APPLICATION FORM FOR RENEWAL OF REGISTRATION FOR INDIVIDUALS
UNDER THE PROVISIONS OF THE INVESTMENT 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 penalty at the rate specified from time to time in the Rules and Regulation of the Commission.
2. If renewal is not required please tick the appropriate box, sign and return this form to the Commission. Upon termination or resignation, an individual is required to submit the following:
 - (a) evidence of retirement;
 - (b) undertaking that he will not carry out any activity within the Capital Market.
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: _____

Registration No

2. Type of Registration _____

- | | |
|---------------------------|--|
| (i) Chairman | |
| (ii) Director | |
| (iii) Partner | |
| (iv) Promoter | |
| (v) Dealing clerk | |
| (vi) Registrar | |
| (vii) Trustee | |
| (viii) Investment Adviser | |
| (ix) Portfolio Manager | |
| (x) Managing Director | |
| (xi) Manager | |
| (xii) Officer | |

- (xiii) Jobber
- (xiv) Sub-broker
- (xv) Principal Officer of a Self Regulatory Organisation
- (xvi) Share Transfer Agent
- (xvii) Capital Market Consultant

Any other category (Specify) _____

I request renewal of the above Registration _____

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

3. Name of employer _____

4. Business Address _____ Residential Address _____

5. AMENDMENT TO INFORMATION:

Since the date of last application:	Yes	No
(a) have you been charged or indicted, or have you been convicted without pardon under any law of any state of country except for traffic violations?	----	----
(b) have you been personally, or has any business of which you are or were at the time an officer, director, or partner, been subject to bankruptcy.	-----	-----
(c) are there any pending legal proceedings against any business of which you are or were at the time an officer, director, or partner in any court in Nigeria or elsewhere for any reason whatsoever?	-----	-----
(d) have you changed any other Registration Information from that previously submitted?	----	-----

If the answer to any of the above question is yes, attach particulars giving details.

6. Please give details of any other material changes or events that had occurred since the date of last application.

Applicant's Signature

Date

Signature of Employer or Sponsor

Date

AFFIDAVIT

I, _____ have read and understood the questions in this application form as well as the answers made by me thereto and the caveat set out above, and that statements of fact made therein and in the attachments are true

Deponent

SWORN to at the _____ Court in _____
State this _____ day of _____

BEFORE ME

COMMISSIONER FOR OATHS

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