

(To be completed in duplicate)



BROKER FORM

<p>ATACH RECENT PASSPORT PHOTOGRAPH DULY SIGNED BY THE APPLICANT</p>
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NOTE:

- i) This form is issued under the authority of the Nigeria Commodity Exchange Plc (NCX), and is subject to its Rules, Regulations and The Investment and Security Act 2007 (as amended).
- ii) All claims must be supported with appropriate evidence dully certified by the Chief Executive Officer and one other Director, the Commissioner for Oaths and/or any other Relevant Authority.
- iii) The form must be completed, type written and in duplicate.

ATTACHMENTS:

The following documents should be forwarded with this form.

- (i) Evidence of current registration with the Securities and Exchange Commission (SEC)
- (ii) A detailed Curriculum Vitae (CV) of the applicant
- (iii) Letter of undertaking by your employer to abide by the Trading Rules and Regulations of the NCX

SECTION A-PERSONAL DATA

Name:

Date and Place of Birth

Nationality.....

Contact Address.....

.....

Residential Address

.....

1. EDUCATIONAL INSTITUTIONS ATTENDED WITH DATES:

S/N	NAME OF INSTITUTION ATTENDED	FROM	TO

2. CERTIFICATES OBTAINED WITH DATES:

S/N	CERTIFICATE/DIPLOMA/DEGREES OBTAINED AND GRADE	COURSE OF STUDY	DATE

3. PROFESSIONAL QUALIFICATIONS OBTAINED WITH DATES:

S/N	PROFESSION	CERTIFICATE OBTAINED	DATE

4. ACADEMIC PRIZES AND AWARDS WITH DATES

(i).....

(ii).....

SECTION C- WORK EXPERIENCE

S/N	COMPANY	POSITION	FROM	TO

Name of your CURRENT EMPLOYER.....

Address.....

.....

.....

SECTION D- RELATION WITH OTHER EXCHANGES

Have you been registered by any exchange? Yes No

If yes, state the Exchange and the year of registration.....

.....

Have you ever been sanctioned by any Exchange or the Securities and Exchange Commission for sharp and unethical practices? Yes No

If yes, please give explanation.....

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.....

.....

Have you been previously convicted? Yes No

If yes, please explain:.....
.....
.....
.....

SECTION E-LITIGATION

Do you have any matter pending in Court, a judicial tribunal or before a disciplinary?

Committee set up by any Exchange? Yes No

If yes please explain.....
.....
.....
.....
.....

SECTION F-AFFIDAVIT

I,
.....
(Name in full)

of
(Address)

hereby make oath and state as follows:

(1) that I am.....the applicants
(Name in full)

herein seeking registration with the Nigeria Commodity Exchange.

(2) that I have read and understood the questions in this application form as well as the answers I have given and that to the best of my knowledge and belief, all the statement of fact made therein, and in the attachment hereto are true.

.....
(DEPONENTS)

SWORN to at the ----- court this -----day of -----

Commissioner for Oaths

SPONSORING FIRMS CERTIFICATION

We hereby certify that the particulars rendered above by the applicant

Mr./Mrs./Ms..... Whose signature is appended below are to the best of our knowledge true and correct and we undertake to notify the Nigeria Commodity Exchange Plc in writing of any material change therein as prescribed by the Declaration Act.

.....
APPLICANT'S SIGNATURE

NAME OF SPONSORING FIRM.....

.....
SIGNATURE OF MANAGINGDIRECTOR OR COMPANY SECREATRY