



NIGERIA COMMODITY EXCHANGE

APPLICATION FORM FOR BROKER DEALER MEMBER

NOTE:

- i) This form is issued under the authority of the NIGERIA COMMODITY EXCHANGE PLC (NCX) and is subject to its Rules and 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) An extract of the Board resolution mandating the company to seek the membership of the NIGERIA COMMODITY EXCHANGE PLC.
- ii) Certified True Copy of the Memorandum and Articles of Association (giving appropriate references to relevant sections that authorize the company to engage in commodity broking business) and certificate of incorporation.
- iii) Attach evidence of current registration with the Securities and Exchange Commission (for operational applicants only).
- iv) Original copy of undertaking to abide by the Rules and Regulations of the NIGERIA COMMODITY EXCHANGE PLC (a copy is attached to guide you).
- v) Recent Audited Accounts and Reports or Statement of Affairs (for firms that have not commenced operations).
- vi) Detailed Curriculum Vitae (C.V.) and profile of your Board, Management and professional staff.
- vii) Details of your company's Branch Network.

1. PARTICULARS OF THE COMPANY

Name of company:

Company Registration/RC No. Location:

Address:

.....

.....

Town / City:

Telephone No..... Fax No.

E-mail..... Web site.....

Year of incorporation.....

Class of registration desired:

Market segment:

Branch Address:

(Please attach further details if more than four)

SHARE CAPITAL:

AUTHORISED:PAID UP:

2. SHARE HOLDING STRUCTURE:

Please give the names of your major shareholder(s), holding more than 5% in the table below:

S/N	NAME	NO OF SHARES HELD	AMOUNT =N=	% TO TOTAL SHARES

3. NAMES / QUALIFICATION(S) / EXPERIENCE OF COMPANY'S DIRECTORS (EXECUTIVE AND NON-EXECUTIVE):

S/N	NAME	QUALIFICATION(S)	CAPITAL MARKET EXPERIENCE

4. NAMES / QUALIFICATION(S) / EXPERIENCE OF COMPANY'S PRINCIPAL OFFICERS:

S/N	NAME	QUALIFICATION(S)	CAPITAL MARKET EXPERIENCE

5. NAMES / QUALIFICATION(S) OF YOUR REPRESENTATIVE(S) ON THE NIGERIA COMMODITY EXCHANGE PLC (A MINIMUM OF TWO PRINCIPAL OFFICERS):

S/N	NAME	QUALIFICATION(S)	CAPITAL MARKET EXPERIENCE

You are free to attach further details if found necessary.

6. COMPANY’S FINANCIAL SUMMARY FOR THE PAST FIVE YEARS:

S/N	DETAILS	Year 1 =N='000	Year 2 =N='000	Year 3 =N='000	Year 4 =N='000	Year 5 =N='000
1.	Turnover					
2.	Profit after Tax					
3.	Net-Worth					
5.	Total Securities Traded					

7. RELATIONSHIP WITH OTHER EXCHANGES:

Is your company presently registered with any Exchange? Yes No

If yes, give name of the Exchange and year of registration:

Name of Exchange: Year of registration:

Please attach evidence of registration.

Has your company been previously suspended for any unethical practice?

Yes No

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

Is your company in default of any financial obligation(s) to any Exchange?

Yes No

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

Is there any outstanding and/or previous litigation against your company?

Yes No

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

8. RELATIONSHIP WITH THE SECURITIES AND EXCHANGE COMMISSION (SEC)

Are you registered with SEC?

Yes No

If yes, state:

Year of registration: Class of registration:

Expiry date:Number of staff registered:

9. DECLARATION

We,
(Name in full)

of
(Address)

hereby make oath and state as follows:

(1) that wethe applicant
(Name in full)

herein seeking registration with the NIGERIA COMMODITY EXCHANGE PLC.

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

DIRECTOR

SECRETARY

(DEPONENTS)

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

Commissioner for Oaths