



NIGERIA COMMODITY EXCHANGE

APPLICATION FOR REGISTRATION AS DEALER MEMBER

Notes:

- i) This form is issued under the authority of the Nigeria Commodity Exchange Plc and is subject to its Rules, Regulation and Requirements and the Investment and Securities Act 2007 (as amended).
- ii) Any agricultural commodities processing company, merchant, warehouse operator or financial institutions that is engaged in purchase and sale of agricultural commodities and is desirous of trading on the Exchange directly could apply as Institutional Trading Member.
- ii) All claims must be supported with appropriate evidence duly certified by the Chief Executive Officer and one other Director, the Commissioner of Oaths, and/or any other relevant authority.
- iii) The form must be completed Type-written and in duplicate.
- iv) Attach your company's Financial Statements for the last three years (or a statement of affairs if not yet operational), certificate of incorporation, memorandum and article of association and your board resolution to register with the NCX.

(1) PARTICULARS OF COMPANY

Name of company:

Address:

Town/City: State:

Telephone No. Fax No.

E-mail (If any) Web-site (If any):.....

Company Registration/RC No. Year of incorporation:

Class of registration desired : Market segment:

Branch Addresses:

(Please attach further details if more than four)

SHARE CAPITAL:

Authorised: Paid-Up:

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

**Names/Qualification(s)/Experience of
Company's Directors (Executive and Non-executive):**

S/ N	NAME	QUALIFICATION(S)	COMMODITY MARKET EXPERIENCE

Names/Qualification(s)/Experience of the company's Principal Officers:

S/ N	NAME	QUALIFICATION(S)	COMMODITY MARKET EXPERIENCE

You are free to attach further details if found necessary.

(2) COMMODITY TRADING RECORD

Please state the commodities you have warehoused or traded in for the past five years in the table provided below.

S/ N	Year 1		Year 2	Year 3	Year 4	Year 5
	Commodity	Tonnage.	Tonnage	Tonnage	Tonnage	Tonnage
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						

If you are a merchant or processor, please state the names and addresses of your major buyers or suppliers

Names of Commodities →								
	Tonnage	Amount =N=	Tonnage	Amount =N=	Tonnage	Amount =N=	Tonnage	Amount =N=
Names and addresses of buyers or suppliers ↓								

(3) WAREHOUSES APPLYING FOR INSTITUTIONAL TRADING MEMBERSHIP

Please answer the questions in the table below appropriately:

ITEMS	YES	NO
Is your warehouse insured?		
Do you have a weighbridge or any other weighing instruments?		
Do you have a quality-certifying laboratory?		
Is your warehouse accessible by road?		
Is your warehouse secured?		

Do you have fire-extinguishing equipment?		
Do you have all the required warehouse records?		
Do you have fire proof safe (s)?		
Do you have enough ICT equipment for information gathering and record keeping?		
Would you be prepared to lease your warehouse to an independent warehouse operator if you want to trade on the NCX?		

(4) OTHER INFORMATION

Do you presently trade on any Commodity Exchange? Yes No

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

Name of Exchange: Year of registration:

Please attach evidence of registration.

Has your company been previously suspended? Yes No
 If yes, please explain:

.....

Is your company in default of any financial obligation(s) to the Exchange? Yes No

If yes, please explain?

.....

Has there been any litigation against your company? Yes No
 If yes, please explain:

.....

AFFIDAVIT

We,.....
(Name in full)

of.....
(Address)

hereby make oath and state as follows:

(1) that we..... the applicants
(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 that all the statements of fact made therein, and in the attachment hereto are true.

(3) that we promise to keep proper records, render returns as and when due and comply with the Investment and Securities Act 1999 and the Rules and Regulations of the Nigeria Commodity Exchange Plc.

.....
(DIRECTOR)

.....
(SECRETARY)

.....
(DEPONENTS)

Sworn to at the _____ Court this _____ day of _____

.....
(Commissioner for Oaths)