

Other Infractions

		"OTHER" REGULATORY SANCTIONS		
S/N	TRADING LICENSE HOLDERS	ARTICLE OR RULE BREACHED/INFRACTIONS	AMOUNT PAID (N) / ACTION TAKEN	DATE
		2013		
	Mayfield Investment Limited	Article 156	100,000.00	4-Feb-13
	Primewealth Capital Limited	Article 156	100,000.00	14-Mar-13
	Perfecta Investment Trust Limited Afribank Securities Limited	Policy No 01 Section 6(a) & Article 15c Article 156	500,000.00 100,000.00	14-Mar-13 4-Apr-13
	Diamond Securities Limited	Article 156	100,000.00	10-Apr-13
	Bestlink Investments Limited	Policy No 01 Section 5(a) & Article 13	500,000.00	23-Apr-13
7	PAC Securities Limited	Article 155	100,000.00	30-Apr-13
	FBN Securities Limited	Article 156	100,000.00	21-May-13
	Harmony Securities Limited PIPC Securities Limited	Article 156 Article 155	100,000.00 100,000.00	31-May-13 31-May-13
	Redasel Investment Limited	Article 155	100,000.00	5-Jun-13
	Fidelity Finance Co. Ltd.	Article 155	100,000.00	14-Aug-13
	Morgan Capital Securities Ltd.	Article 156	100,000.00	23-Oct-13
	Camry Securities Ltd.	Article 144	100,000.00	24-Oct-13
	WSTC Financial Services Ltd. Bytofel Trust Securities Ltd	Articles 7 & 156 Policy No 01 Section 5(a) & Article 13	100,000.00 500,000.00	13-Nov-13 22-Nov-13
	Associated Asset Managers Ltd.	Article 156	100,000.00	11-Dec-13
	Standard Alliance Capital & Asset Management Ltd	Articles 7 & 155	200,000.00	20-Dec-13
	Yobe Investment & Securities Ltd.	Article 156	100,000.00	20-Dec-13
20	EDC Securities Limited	Article 7 & 156	100,000.00	30-Dec-13
		2014		
1	First Stockbrokers Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	6-Jan-14
	ITIS Securities Limited	Policy No 01 Section 5(a) & Article 13	500,000.00	8-Jan-14
	FutureView Securities Limited	Policy No 01 Section 5(a) & Article 13	500,000.00	13-Jan-14
	Pine field Investment Services Ltd Allbond Investment Limited Limited	Policy No 01 Section 5(a) & Article 13	500,000.00 500,000.00	16-Jan-14 17-Jan-14
	Magnartis Finance & investment Ltd	Policy No 01 Section 5(a) & Article 13 Policy No 01 Section 5(a) & Article 13	500,000.00	17-Jan-14 17-Jan-14
	Securities & Capital Management Company Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	17-Jan-14
8	Anchorage Securities & Finance Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	17-Jan-14
	Camry Securities Limited	Policy No 01 Section 5(a) & Article 13	500,000.00	17-Jan-14
	Dunn Loren Merrifeld Securities Ltd ECL Asset Management Ltd	Policy No 01 Section 5(a) & Article 13 Policy No 01 Section 5(a) & Article 13	500,000.00 500,000.00	17-Jan-14 20-Jan-14
	Heritage Capital Markets Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	20-Jan-14 20-Jan-14
	Centre Point Investment Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	21-Jan-14
	Mact Securities Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	22-Jan-14
	Dependable Sec Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	7-Feb-14
	Marriot Sec & Invst Coy Ltd DEEP TRUST & INVESTMENT LIMITED	Policy No 01 Section 5(a) & Article 13 Policy No 01 Section 5(a) & Article 13	500,000.00 500,000.00	7-Feb-14 7-Feb-14
	Midas Stockbrokers Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	7-Feb-14
19	Mercov Securities Ltd	Policy No 01 Section 5(a) & Article 13	500,000 & suspension	11-Feb-14
	Crane Securities Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	12-Feb-14
	CITI INVESTMENT CAPITAL LIMITED	Policy No 01 Section 5(a) & Article 13	500,000.00	19-Feb-14
	Core Trust Ltd Kundila Fin Services Ltd	Policy No 01 Section 5(a) & Article 13 Policy No 01 Section 5(a) & Article 13	500,000.00 500,000.00	20-Feb-14 25-Feb-14
	Mutual Alliance Invst & Sec Ltd	Unauthorised transactions	100,000.00	26-Feb-14
25	Meristem Securities Limited	Violation of Article 110 and Trading password violation	Suspension	27-Feb-14
	Compass Investments & Securities Ltd	Trading password violation	Suspension	27-Feb-14
	Capital Trust Brokers Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	28-Feb-14
	Standard Union Sec Ltd Waila Securities & Funds Limited	Policy No 01 Section 5(a) & Article 13 Policy No 01 Section 5(a) & Article 13	500,000.00 500,000.00	28-Feb-14 28-Feb-14
	Express Portfolio Services Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	28-Feb-14
31	Invesment Shark Asset Mgmt Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	3-Mar-14
	Trade Link Sec Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	6-Mar-14
	Reward Invst & Services Ltd Capital Asset Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00 500,000.00	12-Mar-14 14-Mar-14
	Investment Centre Ltd	Policy No 01 Section 5(a) & Article 13 Policy No 01 Section 5(a) & Article 13	500,000.00	24-Mar-14
	Calyx Securities Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	24-Mar-14
	PIPC Securities Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	24-Mar-14
	Cowry Sec Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	25-Mar-14
	Apel Asset Ltd Spring Trust Securities Ltd	Policy No 01 Section 5(a) & Article 13	500,000 500,000.00	26-Mar-14 27-Mar-14
	Enterprise Stockbrokers Ltd	Policy No 01 Section 5(a) & Article 13 Policy No 01 Section 5(a) & Article 13	500,000.00	27-Mar-14 28-Mar-14
	Dominion Trust Ltd	Policy No 01 Section 5(a) & Article 13	500,000	28-Mar-14
	City Code Investment &	Policy No 01 Section 5(a) & Article 13	500,000	31-Mar-14
	Long Term Global Capital Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	4-Apr-14
	Integrated Trust Ltd Mutual Alliance Invst & Sec Ltd	Policy No 01 Section 5(a) & Article 13 Article 102	500,000 500,000	9-Apr-14 28-Apr-14
	UBA Securities Limited	Policy No 01 Section 1 & 143(b)	1,000,000	6-May-14
	MBL Securities Limited	Article 155	100,000	13-May-14
	PML Securities Company Limited	Policy No 01 Section 6(a) & Article 155	600,000	4-Jun-14
	Camry Securities Limited	Article 156	100,000	9-Jun-14
	Apel Assets and Trust Limited Express Discount Assets management Limited	Overtrading Overtrading	Suspension Suspension	30-Jul-14 30-Jul-14
	First Alstate Securities Limited	Overtrading	Suspension	30-Jul-14
	First Integrated Capital Management Limited	Overtrading	Suspension	30-Jul-14
55	Summa Guaranty & Trust Company Limited	Overtrading	Suspension	30-Jul-14
	FBC Trust & Securities Limited	Article 156	100,000	10-Sep-14

			1	
-	Mact Securities Ltd	Absence of MD/CEO from inspection	100,000	24-Sep-14
	Cadington Securities Limited	Policy No 01 Section 5(a) & Article 13	500,000	24-Sep-14
	Vetiva Securities Limited	Item 12, Amendments and Additions Part III	Caution	28-Oct-14
-	Rencap Securities (Nig.) Limited	Item 12, Amendments and Additions Part III	Caution	11-Nov-14
-	ECL Asset Management Ltd	Policy No 01 Section 5(a) & Article 13	500,000	14-Nov-14
	Crane Securities Ltd	Policy No 01 Section 5(a) & Article 13	500,000	14-Nov-14
63	Mainland Trust Limited	Policy No 01 Section 5(a) & Article 13	500,000	19-Nov-14
64	Marimpex Finance & Investment Company Ltd	Policy No 01 Section 5(a) & Article 13	500,000	19-Nov-14
65	Royal Guaranty Trust Limited	Policy No 01 Section 5(a) & Article 13	500,000	19-Nov-14
66	CSL Stockbrokers Limited	Item 12, Amendments and Additions Part III	Caution	20-Nov-14
67	Magnartis Finance & investment Ltd	Policy No 01 Section 5(a) & Article 13	500,000	20-Nov-14
		2015		
1	Cadington Securities Limited		Suspension	5-Jan-15
-	•	Policy No 01 Section 5(a) & Article 13	500.000	
	Enterprise Stockbrokers Plc.	Policy No 01 Section 5(a) & Article 13	,	8-Jan-15
	Spring Trust & Securities Limited	Policy No 01 Section 5(a) & Article 13	500,000	8-Jan-15
	Capital Bancorp Plc.	Policy No 01 Section 5(a) & Article 13	500,000	12-Jan-15
	Magnartis Finance & investment Ltd	Policy No 01 Section 5(a) & Article 13	500,000	14-Jan-15
-	Primewealth Capital Limited	Policy No 01 Section 5(a) & Article 13	500,000	14-Jan-15
-	Perfecta Investment & Trust Ltd	Article 12	Suspension	19-Jan-15
	Global View Consult & investment Ltd	Article 12	Suspension	19-Jan-15
-	Fidelity Securities Limited	Article 12	Suspension	19-Jan-15
-	Dependable Securities Ltd	Article 12	Suspension	19-Jan-15
$\overline{}$	Molten Trust Ltd	Article 12	Suspension	19-Jan-15
$\overline{}$	Yobe Invest. Co. Ltd	Article 12	Suspension	19-Jan-15
	Alangrange Securities Limited	Article 12	Suspension	19-Jan-15
	DBSL Securities Ltd	Article 12	Suspension	19-Jan-15
15	FIS Securities Ltd	Article 12	Suspension	19-Jan-15
	Heartbeat Investment Ltd	Article 12	Suspension	19-Jan-15
17	Maxifund Investment & Sec. Ltd	Article 12	Suspension	19-Jan-15
18	Milestone Capital Management Ltd	Article 12	Suspension	19-Jan-15
	Mission Securities Ltd	Article 12	Suspension	19-Jan-15
_	Rostrum Invest & sec Ltd	Article 12	Suspension	19-Jan-15
$\overline{}$	Rowet Capital Management Ltd	Article 12	Suspension	19-Jan-15
$\overline{}$	Compass Investment & Sec Ltd	Article 12	Suspension	19-Jan-15
-	Deep Trust & Investment Ltd	Article 12	Suspension	19-Jan-15
-	Quantum Securities Ltd	Article 12 Article 12	Suspension	19-Jan-15
	WCM Capital Limited	Article 12 Article 12	Suspension	19-Jan-15
$\overline{}$	Kapital Care Trust & Securities Ltd	Article 12 Article 12	Suspension	19-Jan-15
-	Investment Shark & Asset Management Ltd	Article 12 Article 12	Suspension	19-Jan-15
-	Primewealth Capital Limited	Article 12 Article 12	Suspension	19-Jan-15
_				19-Jan-15 19-Jan-15
	Belfry Investments & Securities Limited Cashville Investments & Securities Limited	Article 12 Article 12	Suspension	19-Jan-15 19-Jan-15
-	Altrade Securities Ltd		Suspension Suspension	19-Jan-15 19-Jan-15
-		Article 12		
-	Emi Capital Resources Ltd	Article 12	Suspension	19-Jan-15
	Options Securities Ltd	Article 12	Suspension	19-Jan-15
-	De-Lords Securities Ltd	Article 12	Suspension	19-Jan-15
-	Enterprise Stockbrokers Plc	Article 12	Suspension	19-Jan-15
-	Financial Trust Co. Ltd	Article 12	Suspension	19-Jan-15
	Transworld Investment & Securities Limited	Article 12	Suspension	19-Jan-15
	Crane Securities Ltd	Article 12	Suspension	19-Jan-15
-	Yuderb Investment & Securities	Article 12	Suspension	19-Jan-15
	Covenant Securities & Asset Management Ltd	Article 12	Suspension	19-Jan-15
	Bauchi Investment Corporation Securities Limited	Article 12	Suspension	19-Jan-15
	CEB Securities Limited	Article 12	Suspension	19-Jan-15
-	Midpoint Capital Limited	Article 12	Suspension	19-Jan-15
	Aims Asset Management Limited	Article 12	Suspension	19-Jan-15
-	Arian Capital Management Limited	Article 12	Suspension	19-Jan-15
	First Alstate Securities Ltd	Article 12	Suspension	19-Jan-15
-	Fittco Securities Ltd	Article 12	Suspension	19-Jan-15
_	LB Securities Ltd	Article 12	Suspension	19-Jan-15
-	LMB Stockbrokers Ltd	Article 12	Suspension	19-Jan-15
	Profund Securities Ltd	Article 12	Suspension	19-Jan-15
	Waila Securities & Fund Ltd	Article 12	Suspension	19-Jan-15
52	Bytofel Trust & Securities Ltd	Article 12	Suspension	19-Jan-15
53	Falcon Securities Ltd	Article 12	Suspension	19-Jan-15
54	International Standard Securities Ltd	Article 12	Suspension	19-Jan-15
55	Mainstreet Bank Securities Limited	Article 12	Suspension	19-Jan-15
	ITIS Securities Ltd	Article 12	Suspension	19-Jan-15
-	Mact Securities Ltd	Article 12	Suspension	19-Jan-15
-	Summa Guaranty & Trust Co. Ltd	Article 12	Suspension	19-Jan-15
	Gombe Securities Ltd	Article 12	Suspension	19-Jan-15
	Wize Trade Capital & Asset Mgt Ltd	Article 12	Suspension	19-Jan-15
	Allbond Investment Limited & Trust	Article 12	Suspension	19-Jan-15
-	SURPORT SERVICES LTD	Article 12 Article 12	Suspension	19-Jan-15
-	Omas Invest. & Trust Co. Ltd	Article 12	Suspension	19-Jan-15
	Consolidated Investment Ltd	Article 12 Article 12	Suspension	19-Jan-15
-	Dakal Services LTD	Article 12	Suspension	19-Jan-15
-	Zuma Securities Limited	Article 12 Article 12	Suspension	19-Jan-15
-	Davandy Finance & Securities	Article 12 Article 12	Suspension	19-Jan-15
	WT Securities Ltd	Article 12 Article 12	Suspension	19-Jan-15 19-Jan-15
-	Peninsula Asset & Invest Co.		Suspension	19-Jan-15 19-Jan-15
-		Article 12		
-	Maninvest Asset Management Ltd	Article 12	Suspension	19-Jan-15
	Lion Stockbrokers Ltd	Article 12	Suspension	19-Jan-15
$\overline{}$	Professional Stockbrokers Ltd	Article 12	Suspension	19-Jan-15
	De-Canon Investment Ltd	Article 12	Suspension	19-Jan-15
-	Empire Securities Ltd	Article 12	Suspension	19-Jan-15
	Securities Solutions Ltd	Article 12	Suspension	19-Jan-15
76	Prudential Securities Ltd	Article 12	Suspension	19-Jan-15

	Securities Trading & Investment	Article 12	Suspension	19-Jan-15
	Northbridge Investment & Trust	Article 12	Suspension	19-Jan-15
	Platinum Capital Ltd	Article 12	Suspension	19-Jan-15
80	FinBank Securities and Assets Management Limited	Inadequate Shareholders Funds	Suspension	16-Feb-15
81	Cadington Securities Limited	This firm is currently operating below the minimum capital requirement for Broker Dealers.	Suspension	19-Feb-15
82	CSL Stockbrokers Limited	Article 156	100,000	9-Mar-15
83	Northbridge Investment & Trust Ltd	This a directive from The Securities & Exchange Commission (SEC) to suspend the firm for operating below the minimum paid up capital permissible.	Suspension	16-Mar-15
84	Profund Securities Limited	This a directive from The Securities & Exchange Commission (SEC) to suspend the firm for operating below the minimum paid up capital permissible.	Suspension	16-Mar-15
85	PIPC SECURITIES LIMITED	Article 156	100,000	20-Mar-15
86	PML Securities Company Limited	Policy 01NSE Section 6(a)- Appointment of Compliance Officer	Suspension	20-Mar-15
87	Mainstreet Bank securities limited	The firms has failed to pay the penalty due for late submission of the monthly transaction report	Suspension	30-Mar-15
88	Rainbow securities limited	The firms has failed to pay the penalty due for late submission of the	Suspension	30-Mar-15
29	Cashville Investments & Securities Limited	monthly transaction report Policy No 01 Section 6(a) & Article 15c	Suspension	13-Apr-15
- 03	Cashvine investments & securities Emilied	Tolicy No 01 Section o(a) & Article 130	Suspension	15 Apr 15
90	Cadington Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
91	DBSL Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
92	Emi Capital Resources Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
93	Finbank Securities & Assets Management Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
94	Funds Matrix & Assets Mgt Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
95	International Standard Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
96	Summa Guaranty & Trust Company Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
97	Aims Asset Management Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
98	Allbond Investment Limited Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
99	Arian Capital Management Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
100	Bytofel Trust & Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
101	CEB Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
102	Consolidated Investment Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
103	Dakal Services Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
104	Davandy Finance & Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
105	Decanon Investment Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
106	Empire Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
107	Falcon Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
108	First Alstate Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
109	Fittco Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
110	Gombe Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
111	HIP Asset Management Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
112	ITIS Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
113	LB Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
114	Lion Stockbrokers Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15

Hand there is due to the finance in Operating Standard (MOS) Compliance Supported In the due date. 12.1 Month of the Compliance Supported In the due date. 12.2 Month of the Compliance Supported In the due date. 12.3 Month of the Compliance Supported In the due date. 12.4 Month of the Compliance Supported In the due date. 12.5 Month of the Compliance Supported In the due date. 12.6 Month of the Compliance Supported In the due date. 12.6 Month of the Compliance Supported In the due date. 12.6 Month of the Compliance Supported In the due date. 12.6 Month of the Compliance Supported In the due date. 12.7 Month of the Compliance Supported In the due date. 12.8 Month of the Compliance Supported In the Compliance Sup					
Bestor faire to the deed deed. 117 Machiner Assert Management PC. 118 Machiner Assert Management PC. 119 Machiner Sauch Management PC. 110 Machiner Sauch Management PC. 110 Machiner Sauch Management PC. 110 Machiner Sauch Management PC. 111 Machiner Sauch Management PC. 111 Machiner Sauch Management PC. 112 Machiner Sauch Management PC. 113 Machiner Sauch Management PC. 114 Machiner Sauch Management PC. 115 Machiner Sauch Management PC. 116 Machiner Sauch Management PC. 117 Machiner Sauch Management PC. 118 Machiner Sauch Management PC. 119 Machiner Sauch Management PC. 110 Machiner Sauch Management PC. 110 Machiner Sauch Management PC. 110 Machiner Sauch Management PC. 111 Machiner Sauch Management PC. 112 Machiner Sauc	115 l	LMB Stockbrokers Limited		Suspension	16-Apr-15
Separation Sep	116	Mact Securities Limited		Suspension	16-Apr-15
Approximate transportant united Approximate transportant united Approximate transportant for the decidate.	117 [Maninvest Asset Management Plc		Suspension	16-Apr-15
In Michael Capital Immed Report Michael Capital C	118	Maven Asset Management Limited		Suspension	16-Apr-15
Report after the case date. 121 M. Securities Limited 122 M. Securities Limited 123 Morantes See & France Limited 124 Morantes See & France Limited 125 Morantes See & France Limited 126 Morantes See & France Limited 127 Morantes See & France Limited 128 Morantes See & France Limited 129 Morantes See & France Limited 120 Morantes See & France Limited 120 Morantes See & France Limited 121 Morantes See & France Limited 121 Morantes See & France Limited 122 Morantes See & France Limited 123 Morantes See & France Limited 124 Morantes See & France Limited 125 Morantes See & France Limited 126 Morantes See & France Limited 127 Morantes See & France Limited 128 Morantes See & France Limited 129 Morantes See & France Limited 120 Morantes See & France Limited 120 Morantes See & France Limited 120 Morantes See & France Limited 121 Morantes See & France Limited 122 Morantes See & France Limited 123 Morantes See & Company Limited 124 Morantes See & Company Limited 125 Morantes See & Company Limited 126 Professional Securities & Company Limited 127 Morantes Securities & Company Limited 128 Professional Securities & Company Limited 129 Professional Securities & Company Limited 120 Professional Securities See & Company Limited 120 Professional Securities See & Company Limited 121 Morantes See & Company Limited 122 Professional Securities Limited 123 Professional Securities Limited 124 See A See & See	119	Metropolitan Trust Nigeria Limited		Suspension	16-Apr-15
Report after the dis-classes. Solventines See & Fiszance Limited Sellar to Studies that the Mainimum Operating Standard (MOS) Compliance Supports of 16 August 123 Northfridge Investment & Trial Limited Sellar to Studies that the Mainimum Operating Standard (MOS) Compliance Report settler the dis-classes. Solventines & Trial Company Limited Solventines & Trial Limited Solventines & Trial Limited Solventines & Company Limited Solventines & Compa	120	Midpoint Capital Limited		Suspension	16-Apr-15
Seport affect the due date. 220 Northbridge Investment & Trust Limited 221 Some Investment & Trust Limited 222 Omes Investment & Trust Limited 223 Comes Investment & Trust Limited 224 Comes Investment & Trust Company Limited 225 Comes Investment & Trust Limited 226 Comes Investment & Trust Company Limited 227 Portions of Asset Management & Investment Company Limited 228 Comes Investment & Trust Company Limited 239 Portions of Asset Management & Investment Company Limited 240 Portions of Asset Management & Investment Company Limited 240 Portions of Asset Management & Investment Company Limited 240 Portions of Asset Management & Investment Company Limited 240 Portions of Asset Management & Investment Company Limited 240 Portions of Asset Management & Investment Company Limited 240 Portions of Asset Management & Investment Company Limited 240 Portions Securities Limited 240 Portions	121	ML Securities Limited		Suspension	16-Apr-15
sport after the due date. 124 Omes Investment & Trust Company Limited 125 Pennous Ascert Management & Rovertment Company Limited 126 Pennous Ascert Management & Rovertment Company Limited 127 Pennous Ascert Management & Rovertment Company Limited 128 Pennous Ascert Management & Rovertment Company Limited 129 PML Securious & Company Limited 120 PML Securious & Company Limited 120 PML Securious & Company Limited 121 PML Securious & Company Limited 121 PML Securious & Company Limited 122 PML Securious & Company Limited 123 PML Securious & Company Limited 124 PML Securious & Company Limited 125 PML Securious & Company Limited 126 PML Securious & Company Limited 127 PML Securious & Company Limited 128 PML Securious & Company Limited 129 PML Securious & Company Limited 120 PML Securious & Company Limited 120 PML Securious & Company Limited 121 PML Securious & Company Limited 122 PML Securious & Company Limited 123 PML Securious & Company Limited 124 PML Securious Limited 125 PML Securious Limited 126 PML Securious Limited 127 PML Securious Limited 128 PML Securious Limited 129 PML Securious Limited 120 PML Securious Limited 120 PML Securious Limited 121 PML Securious Limited 121 PML Securious Limited 122 PML Securious Limited 123 PML Securious Limited 124 PML Securious Limited 125 PML Securious Limited 126 PML Securious Limited 127 PML Securious Limited 128 PML Securious Limited 129 PML Securious Limited 120 PML Securious Limited 120 PML Securious Limited 120 PML Securious Limited 121 PML Securious Limited 122 PML Securious Limited 123 Securious Timited 124 PML Securious Limited 125 Securious Limited 126 PML Securious Limited 127 PML Securious Limited 128 PML Securious Limited 128 PML Securious Limited 129 PML Securious Limited 120 PML Securious Limited 120 PML Securious Limited 121 PML Securious Limited 121 PML Securious Limited 122 PML Securious Limited 123 Securious Limited 124 PML Securious Limited 125 Securious Limited 126 PML Securious Limited 127	122	Monument Sec & Finance Limited		Suspension	16-Apr-15
Report after the dies date. Securities Authorities (Intel Company Limited Suize establish their Minimum Operating Standard (MOS) Compliance Sources of Platinum Capital Limited Suize establish their Minimum Operating Standard (MOS) Compliance Sources of Platinum Capital Limited Suize establish Limited Suize establish their Minimum Operating Standard (MOS) Compliance Suizeesion 16 PRIL Securities & Company Limited Suizeesion Suizeesion 16 PRIL Securities & Company Limited Suizeesion Suizeesion 16 PRIL Securities & Company Limited Suizeesion Suiz	123	Northbridge Investment & Trust Limited		Suspension	16-Apr-15
Report after the dee date. Supermison 16	124	Omas Investment & Trust Company Limited		Suspension	16-Apr-15
Report after the due date. 128 Professional Stockbrokers Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Suspension 16 Failure to submit their Minimum Operating Standard (MOS) Compliance Suspension 16 Failure to submit their Minimum Operating Standard (MOS) Compliance Suspension 16 Failure to submit their Minimum Operating Standard (MOS) Compliance Suspension 16 Failure to submit their Minimum Operating Standard (MOS) Compliance Suspension 16 Failure to submit their Minimum Operating Standard (MOS) Compliance Suspension 16 Failure to submit their Minimum Operating Standard (MOS) Compliance Suspension 16 Failure to submit their Minimum Operating Standard (MOS) Compliance Suspension 16 Failure to submit their Minimum Operating Standard (MOS) Compliance Suspension 16 Failure to submit their Minimum Operating Standard (MOS) Compliance Suspension 16 Failure to submit their Minimum Operating Standard (MOS) Compliance Suspension 16 Failure to submit their Minimum Operating Standard (MOS) Compliance Suspension 16 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Suspension 16 Failure to submit their Minimum Operating Standard (MOS) Compliance Suspension 16 Failure to submit their Minimum Operating Standard (MOS) Compliance Suspension 16 Failure to submit their Minimum Operating Standard (MOS) Compliance Suspension 18 Failure to submit their Minimum Operating Standard (MOS) Compliance Suspension 18 Failure to submit their Minimum Operating Standard (MOS) Compliance Suspension 18 Failure to submit their Minimum Operating Standard (MOS) Compliance Suspension 18 Failure to submit their Minimum Operating Standard (MOS) Compliance Suspension 18 Failure to submit their Minimum Operating Standard (MOS) Compliance Suspension 18 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating St	125	Peninsula Asset Management & Investment Company Limited		Suspension	16-Apr-15
Report after the due date. 128 Professional Stockbrokers Limited 129 Profund Securities Limited 120 Profund Securities Limited 121 Profund Securities Limited 120 Profund Securities Limited 121 Profund Securities Limited 122 Profund Securities Limited 123 Profund Securities Limited 124 Report after the due date. 125 Report after the due date. 126 Securities Limited 127 Securities Limited 128 Securities Limited 129 Securities Limited 120 Profund Securities Limited 120 Profund Securities Limited 121 Securities Solutions Limited 122 Securities Solutions Limited 123 Securities Solutions Limited 124 Securities Solutions Limited 125 Securities Solutions Limited 126 Securities Trading & Investments Limited 127 Securities Solutions Limited 128 Securities Trading & Investments Limited 129 Securities Trading & Investments Limited 120 Securities Trading & Investments Limited 121 Solution Investment & Financial Services Limited 122 Securities Trading & Investments Limited 123 Shalom Investment & Financial Services Limited 124 Shalom Investment & Financial Services Limited 125 Support Services Limited 126 Support Services Limited 127 Solution Investment & Financial Services Limited 128 Surport Services Limited 129 Surport Services Limited 120 Surport Services Limited 120 Surport Services Limited 121 Surport Services Limited 122 Securities Solutions Limited 123 Vision Trust & Investment Limited 124 Vision Trust & Investment Limited 125 Surport Services Limited 126 Surport Services Limited 127 Vision Trust & Investment Limited 128 Vision Trust & Investment Limited 129 Vision Trust & Investment Limited 120 Vision Trust & Investment Limited 120 Vision Trust & Investment Limited 121 Vision Trust & Investment Limited 122 Vision Trust & Investment Limited 123 Vision Trust & Investment Limited 124 Vision Trust & Investment Limited 125 Surport Services Limited 126 Vision Trust & Investment Limited 127 Vision Trust & Investment Limited 128 Vision Trust & Investment Limited 129 V	126 F	Platinum Capital Limited		Suspension	16-Apr-15
Report after the due date. 129 Profund Securities Limited 2 Prudential Securities Limited 2 Prudential Securities Limited 2 Prudential Securities Limited 2 Prudential Securities Limited 3 Regency Finance Limited 4 Report after the due date. 5 Report after the due date. 6 Report after the due date. 7 Report Services Limited 8 Report After the due date. 8 Report Aft	127 F	PML Securities & Company Limited		Suspension	16-Apr-15
Report after the due date. 330 Prudential Securities Limited Suspension 16	128 F	Professional Stockbrokers Limited		Suspension	16-Apr-15
aeport after the due date. \$20 personner Limited \$20 personner Limited \$21 personner Li	129 F	Profund Securities Limited		Suspension	16-Apr-15
Report after the due date. Suspension 133 Securities Solutions Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (130 F	Prudential Securities Limited		Suspension	16-Apr-15
Report after the due date. 3 Securities Trading & Investments Limited 3 Securities Trading & Investments Limited 3 Shalom Investment & Financial Services Limited 3 Shalom Investment & Financial Services Limited 4 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 5 Super Commercial Trust Company Limited 5 Surper Services Limited 5 Surper Services Limited 5 Surper Services Limited 5 Surper Services Limited 6 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 6 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 7 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 8 Suspension 16 Report after the due date. 7 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 8 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 8 Suspension 16 Report after the due date. 7 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 8 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 8 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 8 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 8 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 8 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 8 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 8 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 8 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 9 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 9 Failure to submit thei	131 F	Regency Finance Limited		Suspension	16-Apr-15
Report after the due date. 3 Supersion 16 3 Super Commercial Trust Company Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 3 Suprot Services Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 5 Super Commercial Trust Company Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 5 Super Commercial Trust Company Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 5 Supersion 16 5 Super Commercial Trust Company Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 5 Suspension 16 5 Supersion 16 5 Supersion 16 6 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 6 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 7 Sallure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 8 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 8 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 8 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 8 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 8 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 8 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 8 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 8 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 8 Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 8 Failure to submit their Minimum Operating Standard (MOS) Compliance R	132	Securities Solutions Limited		Suspension	16-Apr-15
Report after the due date. Suspension 16 Report after the due date. Suspension 16 Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to s	133	Securities Trading & Investments Limited		Suspension	16-Apr-15
135 Supra Commercial Trust Company Limited 136 Surport Services Limited 137 Vision Trust & Investment Limited 138 Walia Securities and Funds Limited 139 Wema Asset Management Limited 139 Wema Asset Management Limited 130 Wision Trust & Investment Limited 130 Wema Asset Management Limited 130 Wema Asset Management Limited 131 Walia Securities Limited 132 Walia Securities Limited 133 Walia Securities Limited 134 Wasset Management Limited 145 Wision Trust & Investment Limited 156 Surport Services Limited 157 Securities Limited 158 Walia Securities Limited 159 Wema Asset Management Limited 150 Wision Trust & Investment Co. Ltd 160 Wision Trust & Investment Co. Ltd 170 Wision Trust & Investment Co. Ltd 170 Wision Trust & Investment Co. Ltd 171 Crane Securities Limited 172 Crane Securities Limited 173 Vision Trust & Investment Co. Ltd 174 Crane Securities Limited 175 Securities Limited 176 Crane Securities Limited 177 Securities Limited 178 Crane Securities Limited 179 Crane Securities Limited 170 Crane Securities Limited 170 Crane Securities Limited 170 Crane Securities Limited 178 Crane Securities Limited 179 Crane Securities Limited 180 Crane Securities Limited	134	Shalom Investment & Financial Services Limited		Suspension	16-Apr-15
Report after the due date. 137 Vision Trust & Investment Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 138 Walla Securities and Funds Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 139 Wema Asset Management Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 140 WizeTrade Capital & Asset Management Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 141 WT Securities Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 142 Zuma Securities Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 143 Crane Securities Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 144 Crane Securities Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 145 Crane Securities Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 146 Crane Securities Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 147 First Securities Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 148 Crane Securities Limited Article 12 Suspension 5-147 Financial Trust Company Limited Article 12 Suspension 5-147 Financial Trust Company Limited Article 12 Suspension 5-148 Shelong Investment Limited Article 12 Suspension 5-150 Allbond Investment Limited Limited Article 12 Suspension 5-151 Airian Capital Management Limited Article 12 Suspension 5-151 Airian Capital Management Limited Article 12 Suspension 5-152 GEB Securities Limited Article 12 Suspension 5-152 GEB Securities Limited Article 12 Suspension 5-152 Suspension 5-153 Consolidated Investment Limited Art	135	Supra Commercial Trust Company Limited		Suspension	16-Apr-15
Report after the due date. 138 Walia Securities and Funds Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 139 Werna Asset Management Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 140 WizeTrade Capital & Asset Management Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 141 WT Securities Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 142 Zuma Securities Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 142 Zuma Securities Limited Failure to respond to spot check report, Non appointment of compliance officer and non payment of penalty issued 143 Grane Securities Limited Article 12 Suspension 5-1 144 [This Securities Limited Article 12 Suspension 5-1 145 [Financial Trust Company Limited Article 12 Suspension 15-1 146 [Ains Asset Management Limited Article 12 Suspension 15-1 147 [Financial Trust Company Limited Article 12 Suspension 15-1 148 [Shelong Investments Limited Article 12 Suspension 15-1 149 [Ains Asset Management Limited Article 12 Suspension 15-1 149 [Ains Asset Management Limited Article 12 Suspension 15-1 149 [Ains Asset Management Limited Article 12 Suspension 15-1 149 [Ains Asset Management Limited Article 12 Suspension 15-1 149 [Ains Asset Management Limited Article 12 Suspension 15-1 149 [Ains Asset Management Limited Article 12 Suspension 15-1 149 [Ains Asset Management Limited Article 12 Suspension 15	136	Surport Services Limited		Suspension	16-Apr-15
Report after the due date. 139 Wema Asset Management Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 140 WizeTrade Capital & Asset Management Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 141 WT Securities Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 142 Zuma Securities Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 143 Crane Securities Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 144 TFS Securities Limited Failure to respond to spot check report, Non appointment of compliance officer and non payment of penalty issued 145 Delords Securities Limited Article 12 Suspension 5-146 Emi Capital Resources Limited Article 12 Article 12 Suspension 5-147 Financial Trust Company Limited Article 12 Suspension 5-149 Aims Asset Management Limited Article 12 Suspension 5-149 Aims Asset Management Limited Article 12 Suspension 5-150 Allbond Investments Limited Article 12 Suspension 5-151 Arian Capital Management Limited Article 12 Suspension 5-151 Airian Capital Management Limited Article 12 Suspension 5-152 Bytofel Trust & Securities Limited Article 12 Suspension 5-153 CB Securities Limited Article 12 Suspension 5-154 Consolidated Investment Limited Artic	137	Vision Trust & Investment Limited		Suspension	16-Apr-15
Report after the due date. 140 WizeTrade Capital & Asset Management Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 141 WT Securities Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 142 Zuma Securities Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Suspension 16 To suspension 16 To suspension 16 Te suspension 16 T	138 \	Waila Securities and Funds Limited		Suspension	16-Apr-15
Report after the due date. 141 WT Securities Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. 142 Zuma Securities Limited Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to respond to spot check report, Non appointment of compliance officer and non payment of penalty issued 144 TFS Securities & Investment Co. Ltd Article 156 Article 156 Article 12 Suspension 5-147 Financial Trust Company Limited Article 12 Article 12 Suspension 5-148 Shelong Investments Limited Article 12 Article 12 Suspension 5-150 Allbond Investment Limited Article 12 Article 12 Suspension 5-151 Arian Capital Management Limited Article 12 Article 12 Suspension 5-151 Arian Capital Management Limited Article 12 Article 12 Suspension 5-151 Sprofel Trust & Securities Limited Article 12 Suspension 5-151 Sprofel Trust & Securities Limited Article 12 Suspension 5-151 Sprofel Trust & Securities Limited Article 12 Suspension 5-151 Sprofel Trust & Securities Limited Article 12 Suspension 5-151 Sprofel Trust & Securities Limited Article 12 Suspension 5-151 Sprofel Trust & Securities Limited Article 12 Suspension 5-151 Sprofel Trust & Securities Limited Article 12 Suspension 5-151 Sprofel Trust & Securities Limited Article 12 Suspension 5-151 Sprofel Trust & Securities Limited Article 12 Suspension 5-151 Sprofel Trust & Securities Limited Article 12 Suspension 5-151 Sprofel Trust & Securities Limited Article 12 Suspension 5-151 Sprofel Trust & Securities Limited Article 12 Suspension 5-151 Sprofel Trust & Securities Limited Article 12 Suspension 5-151 Sprofel Trust & Securities Limited Article 12 Suspension 5-151 Sprofel Trust & Securities Limited Article 12 Suspension 5-151 Sprofel Trust & Securities Lim	139 \	Wema Asset Management Limited		Suspension	16-Apr-15
Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date. Failure to respond to spot check report, Non appointment of compliance officer and non payment of penalty issued 144 TFS Securities & Investment Co. Ltd Article 156 Article 12 Suspension 5-146 Emi Capital Resources Limited Article 12 Article 12 Suspension 5-148 Shelong Investments Limited Article 12 Article 12 Suspension 5-149 Aims Asset Management Limited Article 12 Article 12 Suspension 5-150 Allbond Investment Limited Limited Article 12 Suspension 5-151 Arian Capital Management Limited Article 12 Article 12 Suspension 5-152 Bytofel Trust & Securities Limited Article 12 Suspension 5-151 Arian Capital Management Limited Article 12 Suspension 5-152 Bytofel Trust & Securities Limited Article 12 Suspension 5-153 CEB Securities Limited Article 12 Suspension 5-154 Consolidated Investment Limited Article 12 Suspension 5-155 Suspension 5-15	140 \	WizeTrade Capital & Asset Management Limited		Suspension	16-Apr-15
Report after the due date. Failure to respond to spot check report, Non appointment of compliance officer and non payment of penalty issued 144 TFS Securities & Investment Co. Ltd Article 156 100,000 20 145 Delords Securities Limited Article 12 Suspension 5-1 146 Emi Capital Resources Limited Article 12 Suspension 5-1 147 Financial Trust Company Limited Article 12 Suspension 5-1 148 Shelong Investments Limited Article 12 Suspension 5-1 149 Aims Asset Management Limited Article 12 Suspension 5-1 150 Allbond Investment Limited Imited Article 12 Suspension 5-1 151 Arian Capital Management Limited Article 12 Suspension 5-1 152 Bytofel Trust & Securities Limited Article 12 Suspension 5-1 153 CEB Securities Limited Article 12 Suspension 5-1 154 Consolidated Investment Limited Suspension 5-1 155 Consolidated Investment Limited Suspension 5-1 156 Consolidated Investment Limited Suspension 5-1 157 Consolidated Investment Limited Suspension 5-1 158 Consolidated Investment Limited Suspension 5-1 159 Consolidated Investment Limited Suspension 5-1 150 Consolidated Investment Limited Suspension 5-1 151 Consolidated Investment Limited Suspension 5-1 152 Consolidated Investment Limited Suspension 5-1 153 CEB Securities Limited Article 12 Suspension 5-1 154 Consolidated Investment Limited Article 12 Suspension 5-1	141 \	WT Securities Limited		Suspension	16-Apr-15
officer and non payment of penalty issued 144 TFS Securities & Investment Co. Ltd	142 2	Zuma Securities Limited		Suspension	16-Apr-15
145 Delords Securities Limited Article 12 Suspension 5-1 146 [Emi Capital Resources Limited Suspension 5-1 147 Financial Trust Company Limited Article 12 Suspension 5-1 148 Shelong Investments Limited Suspension 5-1 149 Aims Asset Management Limited Article 12 Suspension 5-1 150 Allbond Investment Limited Limited Article 12 Suspension 5-1 151 Arian Capital Management Limited Article 12 Suspension 5-1 152 Bytofel Trust & Securities Limited Article 12 Suspension 5-1 153 CEB Securities Limited Article 12 Suspension 5-1 154 Consolidated Investment Limited Article 12 Suspension 5-1 155 Consolidated Investment Limited Article 15 Suspension 5-1 156 Consolidated Investment Limited Article 15 Suspension 5-1 157 Consolidated Investment Limited Article 15 Suspension 5-1 158 Consolidated Investment Limited Article 15 Suspension 5-1 159 Consolidated Investment Limited Article 15 Suspension 5-1 150 Consolidated Investment Limited Article 15 Suspension 5-1 150 Consolidated Investment Limited Suspension 5-1	143	Crane Securities Limited		Suspension	16-Apr-15
145 Delords Securities Limited Article 12 Suspension 5-1 146 [Emi Capital Resources Limited Suspension 5-1 147 Financial Trust Company Limited Article 12 Suspension 5-1 148 Shelong Investments Limited Suspension 5-1 149 Aims Asset Management Limited Article 12 Suspension 5-1 150 Allbond Investment Limited Limited Article 12 Suspension 5-1 151 Arian Capital Management Limited Article 12 Suspension 5-1 152 Bytofel Trust & Securities Limited Article 12 Suspension 5-1 153 CEB Securities Limited Article 12 Suspension 5-1 154 Consolidated Investment Limited Article 12 Suspension 5-1 155 Consolidated Investment Limited Article 15 Suspension 5-1 156 Consolidated Investment Limited Article 15 Suspension 5-1 157 Consolidated Investment Limited Article 15 Suspension 5-1 158 Consolidated Investment Limited Article 15 Suspension 5-1 159 Consolidated Investment Limited Article 15 Suspension 5-1 150 Consolidated Investment Limited Article 15 Suspension 5-1 150 Consolidated Investment Limited Suspension 5-1	144	TFS Securities & Investment Co. Ltd	Article 156	100.000	20-Apr-15
146 Emi Capital Resources LimitedArticle 12Suspension5-1147 Financial Trust Company LimitedArticle 12Suspension5-1148 Shelong Investments LimitedArticle 12Suspension5-1149 Aims Asset Management LimitedArticle 12Suspension5-1150 Allbond Investment Limited LimitedArticle 12Suspension5-1151 Arian Capital Management LimitedArticle 12Suspension5-1152 Bytofel Trust & Securities LimitedArticle 12Suspension5-1153 CEB Securities LimitedArticle 12Suspension5-1154 Consolidated Investment LimitedArticle 12Suspension5-1					5-May-15
147 Financial Trust Company LimitedArticle 12Suspension5-1148 Shelong Investments LimitedArticle 12Suspension5-1149 Aims Asset Management LimitedArticle 12Suspension5-1150 Allbond Investment Limited LimitedArticle 12Suspension5-1151 Arian Capital Management LimitedArticle 12Suspension5-1152 Bytofel Trust & Securities LimitedArticle 12Suspension5-1153 CEB Securities LimitedArticle 12Suspension5-1154 Consolidated Investment LimitedArticle 12Suspension5-1					5-May-15
148Shelong Investments LimitedArticle 12Suspension5-1149Aims Asset Management LimitedArticle 12Suspension5-1150Allbond Investment Limited LimitedArticle 12Suspension5-1151Arian Capital Management LimitedArticle 12Suspension5-1152Bytofel Trust & Securities LimitedArticle 12Suspension5-1153CEB Securities LimitedArticle 12Suspension5-1154Consolidated Investment LimitedArticle 12Suspension5-1					5-May-15
149Aims Asset Management LimitedArticle 12Suspension5-1150Allbond Investment Limited LimitedArticle 12Suspension5-1151Arian Capital Management LimitedArticle 12Suspension5-1152Bytofel Trust & Securities LimitedArticle 12Suspension5-1153CEB Securities LimitedArticle 12Suspension5-1154Consolidated Investment LimitedArticle 12Suspension5-1				·	5-May-15
150 Allbond Investment Limited Limited Article 12 Suspension 5-1 151 Arian Capital Management Limited Article 12 Suspension 5-1 152 Bytofel Trust & Securities Limited Article 12 Suspension 5-1 153 CEB Securities Limited Article 12 Suspension 5-1 154 Consolidated Investment Limited Article 12 Suspension 5-1 155 Consolidated Investment Limited Article 12 Suspension 5-1 156 Consolidated Investment Limited Article 12 Suspension 5-1				·	5-May-15
151 Arian Capital Management LimitedArticle 12Suspension5-1152 Bytofel Trust & Securities LimitedArticle 12Suspension5-1153 CEB Securities LimitedArticle 12Suspension5-1154 Consolidated Investment LimitedArticle 12Suspension5-1					
152Bytofel Trust & Securities LimitedArticle 12Suspension5-1153CEB Securities LimitedArticle 12Suspension5-1154Consolidated Investment LimitedArticle 12Suspension5-1				·	5-May-15
153CEB Securities LimitedArticle 12Suspension5-154Consolidated Investment LimitedArticle 12Suspension5-				·	5-May-15
154 Consolidated Investment Limited Article 12 Suspension 5-				·	5-May-15
					5-May-15
I TOTIDADA DEL MICE MINITED I MICHARION I ATTICLE IX					5-May-15 5-May-15
				·	5-May-15 5-May-15

1.50 Secure treatment latered
Months March Mar
1000 11 Abuse Securities (Invested 1000 100
15.1 Month Service State Month Service
Section Sect
Incompanion Companion Co
1863 18 Control Human 18 C
Jack Data Descriptions Limited Annex 12 Annex 12 Annex 13 Annex 15 Anne
1.65 Ditt Discontinued Arche 17 Support
Appendix Company Com
166 Martingen (Ausgement Pirched) America 12 127 Micharder (Ausgement Pirched) America 12 128 Micharder (Ausgement Pirched) America 12 129 Micharder (Ausgement Pirched) America 12 129 Micharder (Ausgement Pirched) America 12 120 Micharder (Ausgem
Jeb Mern Aust Management Limited Annie 13 The Management Limited
177 Meganic Royal Interest March 122 Supportion No. May 1 178 Meganic Royal Interest March 123 Supportion No. May 1 179 Meganic Royal Interest March 124 Supportion No. May 1 179 Meganic Royal Interest March 124 Supportion No. May 1 179 Meganic Royal Interest March 124 Supportion No. May 1 179 Meganic Royal Interest March 124 Supportion No. May 1 179 Meganic Royal Interest March 125 Supportion No. May 1 170 Meganic Roya
April Comment Commen
177 Mouranter Set Finner Limited Ancies 12 Mouranter Set Management Rimerer Co. 101 Ancies 12 Mouranter Set Management Rimerer Co. 101 Ancies 12 Mouranter Set Management Rimerer Co. 101 Mouranter Co. 101 Mouranter Set Management Rimerer Co. 101 Mouranter
J. 27 Mourment See Reason United Arche 17 Novement & Trast Company United Arche 17 Novement & Trast Company United Arche 12 Novement & Supervisor Novement & Trast Company United Arche 12 Novement & Supervisor Novement & Trast Company United Arche 12 Novement & Supervisor Novement & Super
Total International Parts Limited
Stopper Stop
17.6 Principal Asset Management & Investment Co. Ltd
Type Patients Company Introded
Article 12 Suppersion Sup
Supervision
Secretaries (Company) Secr
18.1 Pipedental Societtes Limited Article 12 Suppension S-May-1 18.1 Registery Transport United Article 12 Suppension S-May-1 18.2 Registery Transport United Article 12 Suppension S-May-1 18.2 Suppension S-May-1 18.3 Suppension S-May-1 18.4 Suppension S-May-1 18.5 Suppension S-May-1 18.6 Supp
Securities (Continue)
Action 12 Superins Subject Superins Subject Superins Subject Superins Subject Subjec
1845 Securities Turding & Inventments Limited Article 12 Suppersion 5-May-1 1865 Systen Commercial Trust Company United Article 12 Suppersion 5-May-1 Suppersion 6-May-1 Suppersion
1848 Securities Trading & Investments Limited Article 12 Support Some Assert Management Company Limited Article 12 Support Some Some Some Some Some Some Some Some
188 Syrar Commercial Trust Company United Article 12 Suppersion 5-Muy-1 188 You'n Trust & Investment Limited Article 12 Suppersion 5-Muy-1 188 You'n Trust & Investment Limited Article 12 Suppersion 5-Muy-1 130 Wate Trade Capital & State Management United Article 12 Suppersion 5-Muy-1 130 Wate Trade Capital & State Management United Article 12 Suppersion 5-Muy-1 130 Wate Trade Capital & State Management United Article 12 Suppersion 5-Muy-1 130 Wate Trade Capital & State Management United Article 12 Suppersion 6-Muy-1 132 Bestink Investment Limited Pally No. 01 Section 7(9) & Article 15(9) Suppersion 6-Muy-1 132 Bestink Investment Limited Pally No. 01 Section 7(9) & Article 15(9) Suppersion 6-Muy-1 132 Bestink Investment Limited Pally No. 01 Section 7(9) & Article 15(9) Suppersion 6-Muy-1 132 Bestink Investment Limited Pally No. 01 Section 7(9) & Article 15(9) Suppersion 6-Muy-1 132 Bestink Investment Limited Pally No. 01 Section 7(9) & Article 15(9) Suppersion 6-Muy-1 132 Bestink Investment Limited Pally No. 01 Section 7(9) & Article 15(9) Suppersion 6-Muy-1 132 Bestink Investment Limited Pally No. 01 Section 7(9) & Article 15(9) Suppersion 6-Muy-1 132 Bestink Investment Limited Pally No. 01 Section 7(9) & Article 15(9) Suppersion 6-Muy-1 132 Bestink Investment Limited Pally No. 01 Section 7(9) & Article 15(9) Suppersion 6-Muy-1 132 Bestink Investment Limited Pally No. 01 Section 7(9) & Article 15(9) Suppersion 6-Muy-1 132 Bestink Investment Limited Pally No. 01 Section 7(9) & Article 15(9) Suppersion 6-Muy-1 132 Bestink Investment Limited Pally No. 01 Section 7(9) & Article 15(9) Suppersion 6-Muy-1 132 Bestink Investment Limited Pally No. 01 Section 7(9) & Article 15(9) Suppersion 6-Muy-1 132 Bestink Investment Limited Pally No. 01 Section 7(9) & Article 15(9) Suppersion 6-Muy-1 132 Bestink Investment Limited Pally No. 01 Section 7(9) & Article 15(9) Suppersion 6-Muy-1 132 Bestink Investment Limited Pally No. 01 Section 7(9) & Article 15(9) Suppersion 6-Muy-1 132 Bestink Investment Limited Pally No. 01 Section
187 Support Services Limited Articls 12 Supports Services Limited Articls 12 Supports Services and Fund Street Services A
1888 Visual Securities united Article 12 Suppersion 5-May-1 1990 Walls Securities united and Funds (Limited Article 12 Suppersion 5-May-1 1990 Walls Securities united Article 12 Suppersion 5-May-1 1992 Limited Limited Article 12 Suppersion 5-May-1 1992 Cantel Securities Limited Policy No 01 Section 7(0) & Article 15h Suppersion 6-May-1 1995 Cantel Securities Limited Policy No 01 Section 7(0) & Article 15h Suppersion 6-May-1 1995 Cantel Securities Limited Policy No 01 Section 7(0) & Article 15h Suppersion 6-May-1 1997 Shelong investments Limited Policy No 01 Section 7(0) & Article 15h Suppersion 6-May-1 1997 Shelong investments Limited Policy No 01 Section 7(0) & Article 15h Suppersion 6-May-1 1997 Shelong investments Limited Policy No 01 Section 7(0) & Article 15h Suppersion 6-May-1 1997 Shelong investments Limited Policy No 01 Section 7(0) & Article 15h Suppersion 6-May-1 1997 Shelong investments Limited Policy No 01 Section 7(0) & Article 15h Suppersion 6-May-1 1996 Cantel Section Wall Article 12 Section 7(0) & Article 15h Suppersion 6-May-1 1996 Cantel Section Wall Article 15h Suppersion 6-May-1 1996 Cantel Capital Management Limited Policy No 01 Section 7(0) & Article 15h Suppersion 6-May-1 2007 Altan Capital Management Limited Policy No 01 Section 7(0) & Article 15h Suppersion 6-May-1 2007 Cantel Section Wall Article 15h Suppersion 6-May-1 2007 Cantel Capital Management Limited Policy No 01 Section 7(0) & Article 15h Suppersion 6-May-1 2007 Cantel Capital Management Limited Policy No 01 Section 7(0) & Article 15h Suppersion 6-May-1 2007 Cantel Section Wall Article 15h Suppersion 6-May-1 2007
188 Wolls Securities united Article 12 Supersion 5-May-1 199 Wilestrands Capital & Asset Management Limited Article 12 Supersion 5-May-1 199 Wilestrands Capital & Asset Management Limited Article 12 Supersion 5-May-1 199 Wilestrands Capital & Asset Management Limited Article 12 Supersion 5-May-1 199 Wilestrands Limited Article 13 Supersion 6-May-1 199 Gard Securities Limited Policy No 0.1 Section 7(0) & Article 15 Supersion 6-May-1 199 Gard Securities Wilestrand Folicy No 0.1 Section 7(0) & Article 15 Supersion 6-May-1 199 Gard Securities Wilestrand Folicy No 0.1 Section 7(0) & Article 15 Supersion 6-May-1 199 Short Securities Wilestrand Folicy No 0.1 Section 7(0) & Article 15 Supersion 6-May-1 199 Short Securities Wilestrand Folicy No 0.1 Section 7(0) & Article 15 Supersion 6-May-1 199 Short Securities Wilestrand Folicy No 0.1 Section 7(0) & Article 15 Supersion 6-May-1 199 Short Securities United Policy No 0.1 Section 7(0) & Article 15 Supersion 6-May-1 199 Short Securities Limited Policy No 0.1 Section 7(0) & Article 15 Supersion 6-May-1 199 Short Securities Limited Policy No 0.1 Section 7(0) & Article 15 Supersion 6-May-1 199 Short Securities Limited Policy No 0.1 Section 7(0) & Article 15 Supersion 6-May-1 199 Short Securities Limited Policy No 0.1 Section 7(0) & Article 15 Supersion 6-May-1 199 Short Securities Limited Policy No 0.1 Section 7(0) & Article 15 Supersion 6-May-1 199 Short Securities Limited Policy No 0.1 Section 7(0) & Article 15 Supersion 6-May-1 199 Short Securities Limited Policy No 0.1 Section 7(0) & Article 15 Supersion 6-May-1 199 Supersion
189 Wals Securities and Fands Limited Article 12 Supersion 5-May-1 1994 Wiff Securities Limited Article 12 Supersion 5-May-1 1995 Water Fands Capital & Asset Management United Article 12 Supersion 5-May-1 1996 Water Fands Supersion 6-May-1 1996 Water Fands Supersion 1-May-1 1996 Water Fands Supe
190 Westerdard Euphtel & Assets Management Limited Article 12 Suppension 5-May-1 191 WT Securities Limited Article 12 Suppension 5-May-1 191 WT Securities Limited Article 12 Suppension 1-May-1 191 WT Securities Limited Policy No 15 Section 7(b) & Article 15h Suppension 6-May-1 1914 Cran Securities Limited Policy No 15 Section 7(b) & Article 15h Suppension 6-May-1 1914 Cran Securities Limited Policy No 15 Section 7(b) & Article 15h Suppension 6-May-1 1914 Cran Securities Limited Policy No 15 Section 7(b) & Article 15h Suppension 6-May-1 1914 Cran Securities Limited Policy No 15 Section 7(b) & Article 15h Suppension 6-May-1 1914 Cran Securities Limited Policy No 15 Section 7(b) & Article 15h Suppension 6-May-1 1914 Cran Securities Limited Policy No 15 Section 7(b) & Article 15h Suppension 6-May-1 1915 Survival Securities Limited Policy No 10 Section 7(b) & Article 15h Suppension 6-May-1 1915 Survival Securities Limited Policy No 10 Section 7(b) & Article 15h Suppension 6-May-1 1915 Survival Securities Limited Policy No 10 Section 7(b) & Article 15h Suppension 6-May-1 1916 Article 15h Suppension
1931 Wil Securities Limited Article 12 1920 Zuma Securities Limited Article 12 1932 Bestlink investment Limited Article 12 1936 Bestlink investment Limited Article 15 1940 Canne Securities Limited Article 15 1950 Canne Securities Limited Arti
1922 Lama Securities United Article 12 Suppension S. May-1 1398 Bestifits (insettement United Policy No 10 Section 710 & Article 15h Suppension G. May-1 1396 Canne Securities United Policy No 10 Section 710 & Article 15h Suppension G. May-1 1396 Mainstreeft Bank Securities United Policy No 10 Section 710 & Article 15h Suppension G. May-1 1396 Mainstreeft Bank Securities United Policy No 10 Section 710 & Article 15h Suppension G. May-1 1398 Stanwal Securities United Policy No 10 Section 710 & Article 15h Suppension G. May-1 1398 Stanwal Securities United Policy No 10 Section 710 & Article 15h Suppension G. May-1 1398 Earl Capital Reducers United Policy No 10 Section 710 & Article 15h Suppension G. May-1 1398 Earl Capital Reducers United Policy No 10 Section 710 & Article 15h Suppension G. May-1 1308 M
1933 Bestifik investment Limited Policy No 10 Section 7(1) & Article 15h Suspension 6-May-1 195 (GAT Securities Anxest Management Limited Policy No 10 Section 7(1) & Article 15h Suspension 6-May-1 196 (Maintered tank Securities Limited Policy No 10 Section 7(1) & Article 15h Suspension 6-May-1 197 Sholong investment Limited Policy No 10 Section 7(1) & Article 15h Suspension 6-May-1 198 Stanoal Securities Limited Policy No 10 Section 7(1) & Article 15h Suspension 6-May-1 199 Stanoal Securities Limited Policy No 10 Section 7(1) & Article 15h Suspension 6-May-1 199 Stanoal Securities Limited Policy No 10 Section 7(1) & Article 15h Suspension 6-May-1 199 Stanoal Securities Limited Policy No 10 Section 7(1) & Article 15h Suspension 6-May-1 199 Stanoal Securities Limited Policy No 10 Section 7(1) & Article 15h Suspension 6-May-1 199 Stanoal Securities Limited Policy No 10 Section 7(1) & Article 15h Suspension 6-May-1 200 Article 15h Suspension 6-May-1 201 Article 15h Suspension 6-May-1 202 Stanoal Securities Limited Policy No 10 Section 7(1) & Article 15h Suspension 190 Section 7(1) & Article 15h Suspension 6-May-1 190 Section 7(1) & Article 15h Suspension 6-May-1 190 Section 7(1) & Article 15
1996 Clara Securities Limited Policy No 10 Section 7(1) & Article 15h Suppension 6 - Mmy-1 1996 Mild Securities Assext Management Limited Policy No 10 Section 7(1) & Article 15h Suppension 6 - Mmy-1 1998 Mainstreet Bank Securities Limited Policy No 10 Section 7(1) & Article 15h Suppension 6 - Mmy-1 1998 Standard Securities Limited Policy No 10 Section 7(1) & Article 15h Suppension 6 - Mmy-1 1998 Tim Capital Resources Limited Policy No 10 Section 7(1) & Article 15h Suppension 6 - Mmy-1 1996 Tim Capital Resources Limited Policy No 10 Section 7(1) & Article 15h Suppension 6 - Mmy-1 2000 Alma Asset Management Limited Policy No 10 Section 7(1) & Article 15h Suppension 6 - Mmy-1 2010 Alma Asset Management Limited Policy No 10 Section 7(1) & Article 15h Suppension 6 - Mmy-1 2021 Alma Capital Management Limited Policy No 10 Section 7(1) & Article 15h Suppension 6 - Mmy-1 2022 Arain Capital Management Limited Policy No 10 Section 7(1) & Article 15h Suppension 6 - Mmy-1 2023 Arain Capital Management Limited Policy No 10 Section 7(1) & Article 15h Suppension 6 - Mmy-1 2024 Arain Capital Management Limited Policy No 10 Section 7(1) & Article 15h Suppension 6 - Mmy-1 2024 Carticle Securities Limited Policy No 10 Section 7(1) & Article 15h Suppension 6 - Mmy-1 2025 Carticle Securities Limited Policy No 10 Section 7(1) & Article 15h Suppension 6 - Mmy-1 2026 Carticle Securities Limited Policy No 10 Section 7(1) & Article 15h Suppension 6 - Mmy-1 2027 Cavardy Finance & Securities Limited Policy No 10 Section 7(1) & Article 15h Suppension 6 - Mmy-1 2027 Cavardy Finance & Securities Limited Policy No 10 Section 7(1) & Article 15h Suppension 6 - Mmy-1 2028 Deacano Intervities Limited Policy No 10 Section 7(1) & Article 15h Suppension 6 - Mmy-1 2029 Cavardy Finance & Securities Limited Policy No 10 Section 7(1) & Article 15h Suppension 6 - Mmy-1 2020 Cavardy Finance & Securities Limited Policy No 10 Section 7(1) & Article 15h Suppension 6 - Mmy-1 2021 Finance Securities Limited Policy No 10 Section 7(1) & Article 15h Suppension 6
1969 Mainstreet Bank Securities Limited
1996 Mainstreet Bank Securities Limited
1973 Saleoning Investments Limited Policy No ID Section 710 8. Article 15h Suppersion 6-May-1 1998 Salaward Securities Limited Policy No ID Section 710 8. Article 15h Suppersion 6-May-1 1998 Salaward Securities Limited Policy No ID Section 710 8. Article 15h Suppersion 6-May-1 100 10
1985 Stanwal Securities Limited
1996 [cm Capital Resources Limited Policy No O1 Section 710]. & Arctice 15h Suspension 6-May-1 200 Alma Seak Management Limited Policy No O1 Section 710]. & Arctice 15h Suspension 6-May-1 201 Allibond Investment Limited Policy No O1 Section 710]. & Arctice 15h Suspension 6-May-1 202 Arian Capital Management Limited Policy No O1 Section 710]. & Arctice 15h Suspension 6-May-1 202 Arian Capital Management Limited Policy No O1 Section 710]. & Arctice 15h Suspension 6-May-1 202 Consolidated Investment Limited Policy No O1 Section 710]. & Arctice 15h Suspension 6-May-1 202 Consolidated Investment Limited Policy No O1 Section 710]. & Article 15h Suspension 6-May-1 202 Consolidated Investment Limited Policy No O1 Section 710]. & Article 15h Suspension 6-May-1 207 209 and of Finance & Securities Limited Policy No O1 Section 710]. & Article 15h Suspension 6-May-1 207 209 and of Finance & Securities Limited Policy No O1 Section 710]. & Article 15h Suspension 6-May-1 209 Capital Policy No O1 Section 710]. & Article 15h Suspension 6-May-1 209 Capital Policy No O1 Section 710]. & Article 15h Suspension 6-May-1 200 Capital Policy No O1 Section 710]. & Article 15h Suspension 6-May-1 201 Capital Policy No O1 Section 710]. & Article 15h Suspension 6-May-1 201 Capital Policy No O1 Section 710]. & Article 15h Suspension 6-May-1 201 Capital Policy No O1 Section 710]. & Article 15h Suspension 6-May-1 201 Capital Policy No O1 Section 710]. & Article 15h Suspension 6-May-1 201 Capital Policy No O1 Section 710]. & Article 15h Suspension 6-May-1 201 Capital Policy No O1 Section 710]. & Article 15h Suspension 6-May-1 201 Capital Policy No O1 Section 710]. & Article 15h Suspension 6-May-1 201 Capital Policy No O1 Section 710]. & Article 15h Suspension 6-May-1 201 Capital Policy No O1 Section 710]. & Article 15h Suspension 6-May-1 201 Capital Po
200 Amis Asset Management Limited Policy No D. Section 7(b) & Article 15h Suspension 6-May-1 201 Althord Intersettment Limited Policy No D. Section 7(b) & Article 15h Suspension 6-May-1 202 Arisin Capital Management Limited Policy No D. Section 7(b) & Article 15h Suspension 6-May-1 203 byted Frust & Securities Limited Policy No D. Section 7(b) & Article 15h Suspension 6-May-1 204 CRE Securities Limited Policy No D. Section 7(b) & Article 15h Suspension 6-May-1 205 Consolidated Investment Limited Policy No D. Section 7(b) & Article 15h Suspension 6-May-1 205 Consolidated Investment Limited Policy No D. Section 7(b) & Article 15h Suspension 6-May-1 205 Consolidated Investment Limited Policy No D. Section 7(b) & Article 15h Suspension 6-May-1 205 Death Services Limited Policy No D. Section 7(b) & Article 15h Suspension 6-May-1 207 Death Securities Limited Policy No D. Section 7(b) & Article 15h Suspension 6-May-1 208 Death Securities Limited Policy No D. Section 7(b) & Article 15h Suspension 6-May-1 209 Empire Securities Limited Policy No D. Section 7(b) & Article 15h Suspension 6-May-1 201 Frust Abstate Securities Limited Policy No D. Section 7(b) & Article 15h Suspension 6-May-1 201 Frust Abstate Securities Limited Policy No D. Section 7(b) & Article 15h Suspension 6-May-1 201 Frust Abstate Securities Limited Policy No D. Section 7(b) & Article 15h Suspension 6-May-1 201 Extra Abstate Securities Limited Policy No D. Section 7(b) & Article 15h Suspension 6-May-1 201 Extra Abstate Securities Limited Policy No D. Section 7(b) & Article 15h Suspension 6-May-1 201 Extra Abstate Securities Limited Policy No D. Section 7(b) & Article 15h Suspension 6-May-1 201 Extra Abstate Securities Limited Policy No D. Section 7(b) & Article 15h Suspension 6-May-1 201 Extra Abstate Securities Limited Policy No D. Section 7(b) & Article 15
201 Mibnod Investment Limited Policy No Di Section 7(b) & Article 15h Suspension 6-May-1 203 Maro Capital Management Limited Policy No Di Section 7(b) & Article 15h Suspension 6-May-1 205 Storosolidated Investment Limited Policy No Di Section 7(b) & Article 15h Suspension 6-May-1 205 Consolidated Investment Limited Policy No Di Section 7(b) & Article 15h Suspension 6-May-1 205 Consolidated Investment Limited Policy No Di Section 7(b) & Article 15h Suspension 6-May-1 207 Davandy Finance & Securities Limited Policy No Di Section 7(b) & Article 15h Suspension 6-May-1 207 Davandy Finance & Securities Limited Policy No Di Section 7(b) & Article 15h Suspension 6-May-1 208 Decanon Investment Limited Policy No Di Section 7(b) & Article 15h Suspension 6-May-1 209 Empire Securities Limited Policy No Di Section 7(b) & Article 15h Suspension 6-May-1 209 Empire Securities Limited Policy No Di Section 7(b) & Article 15h Suspension 6-May-1 210 Flatons Securities Limited Policy No Di Section 7(b) & Article 15h Suspension 6-May-1 211 Flats Alstate Securities Limited Policy No Di Section 7(b) & Article 15h Suspension 6-May-1 212 Flatos Securities Limited Policy No Di Section 7(b) & Article 15h Suspension 6-May-1 213 Securities Limited Policy No Di Section 7(b) & Article 15h Suspension 6-May-1 214 Limited Policy No Di Section 7(b) & Article 15h Suspension 6-May-1 215 LiMB Stockbrokers Limited Policy No Di Section 7(b) & Article 15h Suspension 6-May-1 214 Limited Policy No Di Section 7(b) & Article 15h Suspension 6-May-1 215 LiMB Stockbrokers Limited Policy No Di Section 7(b) & Article 15h Suspension 6-May-1 216 Marticle Stockbrokers Limited Policy No Di Section 7(b) & Article 15h Suspension 6-May-1 217 Marinivest Asset Management Pic Policy No Di Section 7(b) & Article 15h Suspension 6-May-1 218 Metropolities Limited Policy No Di Section 7(b) & Article 15h Suspension 6-May-1 219 Midpoint Capital Limited Policy No Di Section 7(b) & Article 15h Suspension 6-May-1 219 Midpoint Capital Limited Policy No Di Section 7(b) & Article 15h
2023 Article 15h Suspension 6-May-1 203 Article 15h Suspension 6-May-1 203 Article 15h Suspension 6-May-1 203 Article 15h Suspension 6-May-1 206 Case 200 Article 15h Suspension 6-May-1 200 Article 25h
203 Bytofel Trust & Securities Limited Policy No. 01 Section 7(b) & Article 15h Suspension 6-May-1 205 Consolidated Investment Limited Policy No. 01 Section 7(b) & Article 15h Suspension 6-May-1 205 Consolidated Investment Limited Policy No. 01 Section 7(b) & Article 15h Suspension 6-May-1 207 Darandy Finance & Securities Limited Policy No. 01 Section 7(b) & Article 15h Suspension 6-May-1 208 Decanon Investment Limited Policy No. 01 Section 7(b) & Article 15h Suspension 6-May-1 208 Decanon Investment Limited Policy No. 01 Section 7(b) & Article 15h Suspension 6-May-1 210 Empire Securities Limited Policy No. 01 Section 7(b) & Article 15h Suspension 6-May-1 210 Factor Securities Limited Policy No. 01 Section 7(b) & Article 15h Suspension 6-May-1 210 Factor Securities Limited Policy No. 01 Section 7(b) & Article 15h Suspension 6-May-1 210 Factor Securities Limited Policy No. 01 Section 7(b) & Article 15h Suspension 6-May-1 21/Fatto Securities Limited Policy No. 01 Section 7(b) & Article 15h Suspension 6-May-1 21/Fatto Securities Limited Policy No. 01 Section 7(b) & Article 15h Suspension 6-May-1 21/Fatto Securities Limited Policy No. 01 Section 7(b) & Article 15h Suspension 6-May-1 21/Fatto Securities Limited Policy No. 01 Section 7(b) & Article 15h Suspension 6-May-1 21/Fatto Securities Limited Policy No. 01 Section 7(b) & Article 15h Suspension 6-May-1 21/Fatto Securities Limited Policy No. 01 Section 7(b) & Article 15h Suspension 6-May-1 21/Fatto Securities Limited Policy No. 01 Section 7(b) & Article 15h Suspension 6-May-1 21/Fatto Securities Limited Policy No. 01 Section 7(b) & Article 15h Suspension 6-May-1 21/Fatto Securities Limited Policy No. 01 Section 7(b) & Article 15h Suspension 6-May-1 21/Fatto Securities Limited Policy No. 01 Section 7(b) & Article 15h Suspension 6-May-1 21/Fatto Securities Limited Policy No. 01 Section 7(b) & Article 15h Suspension 6-May-1 22/Fatto Securities Limited Policy No. 01 Section 7(b) & Article 15h Suspension 6-May-1 22/Fatto Securities Limited Policy No. 01 Section 7(b) &
Delicy No. 01 Section 7(b) & Article 15h Suspension 6-May-1
205 Consolidated Investment Limited
Policy No 0.1 Section 7(b) & Article 15h Suspension 6-May-1
207 Davandy Finance & Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension G-May-1 208 Decanon Investment Limited Policy No 01 Section 7(b) & Article 15h Suspension G-May-1 209 Empire Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension G-May-1 210 Falcato Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension G-May-1 211 First Astate Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension G-May-1 212 First Astate Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension G-May-1 213 IB Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension G-May-1 214 Lion Stockbrokers Limited Policy No 01 Section 7(b) & Article 15h Suspension G-May-1 215 LiMB Stockbrokers Limited Policy No 01 Section 7(b) & Article 15h Suspension G-May-1 215 LiMB Stockbrokers Limited Policy No 01 Section 7(b) & Article 15h Suspension G-May-1 217 Maninvest Asset Management Plc Policy No 01 Section 7(b) & Article 15h Suspension G-May-1 217 Maninvest Asset Management Plc Policy No 01 Section 7(b) & Article 15h Suspension G-May-1 219 Midpoint Capital Limited Policy No 01 Section 7(b) & Article 15h Suspension G-May-1 219 Midpoint Capital Limited Policy No 01 Section 7(b) & Article 15h Suspension G-May-1 219 Midpoint Capital Limited Policy No 01 Section 7(b) & Article 15h Suspension G-May-1 220 Midpoint Capital Limited Policy No 01 Section 7(b) & Article 15h Suspension G-May-1 221 Midpoint Capital Limited Policy No 01 Section 7(b) & Article 15h Suspension G-May-1 222 Morthorites Limited Policy No 01 Section 7(b) & Article 15h Suspension G-May-1 223 Midpoint Capital Limited Policy No 01 Section 7(b) & Article 15h Suspension G-May-1 223 May-1 Management Limestment Co. Ltd Policy No 01 Section 7(b) & Article 15h Suspension G-May-1 224 Peninsual Asset Management
208 Decanon Investment Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1
Descriptive Limited Policy No O1 Section 7(b) & Article 15h Suspension 6-May-1
Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1
Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1
Policy No 01 Section 7(b) & Article 15h Suspension G-May-1
233 LB Securities Limited
214 Lion Stockbrokers Limited
215 LMB Stockbrokers Limited
Policy No 01 Section 7(b) & Article 15h Suspension G-May-1
217 Maninvest Asset Management Pic Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1
218 Metropolitan Trust Nigeria Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 219 Midpoint Capital Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 220 ML Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 221 Monument Sec & Finance Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 222 Northbridge Investment & Trust Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 223 Omas Investment & Trust Company Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 224 Peninsula Asset Management & Investment Co. Ltd Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 225 Platinum Capital Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 226 Professional Stockbrokers Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 226 Professional Stockbrokers Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 226 Professional Stockbrokers Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 227 Profund Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 228 Prudential Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 229 Regency Finance Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 230 Securities Solutions Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 231 Securities Trading & Investments Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 231 Securities Trading & Investments Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 231 Surport Services Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 232 Shalom Investment & Financial Services Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 233 Surport Services Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 234 Walla Securities Ilmited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 236 WT Securities Limited Policy No 01 Sec
219 Midpoint Capital Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 220 MIL Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 221 Mornment Sec. & Finance Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 222 Northbridge Investment & Trust Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 223 Omas Investment & Trust Company Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 224 Peninsula Asset Management & Investment Co. Ltd Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 225 Platinum Capital Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 226 Professional Stockbrokers Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 227 Profund Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 228 Prudential Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 229 Regency Finance Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 229 Regency Finance Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 229 Securities Solutions Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 230 Securities Frading & Investments Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 231 Securities Trading & Investments Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 232 Shalom Investment & Financial Services Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 233 Surport Services Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 234 Walia Securities and Funds Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 235 WizeTrade Capital & Asset Management Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 236 WizeTrade Capital & Asset Management Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 237 Zuma Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 238 Finbank Securiti
220 ML Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 221 Monument See & Finance Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 222 Northbridge Investment & Trust Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 223 Omas Investment & Trust Company Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 224 Peninsula Asset Management & Investment Co. Ltd Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 225 Paltinum Capital Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 226 Professional Stockbrokers Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 227 Profund Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 228 Prudential Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 229 Regency Finance Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 229 Regency Finance Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 230 Securities Solutions Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 231 Securities Trading & Investments Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 232 Shalom Investment & Financial Services Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 233 Surport Services Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 234 Waila Securities and Funds Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 235 WizeTrade Capital & Asset Management Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 236 WT Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 236 WT Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 236 WT Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 237 Zuma Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 238 Finbank Securities Limited Policy No 01 Section 7(b) & Article
221 Monument Sec & Finance Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 222 Northbridge Investment & Trust Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 223 Omas Investment & Trust Company Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 224 Peninsula Asset Management & Investment Co. Ltd Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 225 Platinum Capital Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 226 Professional Stockbrokers Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 227 Profund Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 228 Prudential Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 229 Regency Finance Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 230 Securities Solutions Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 231 Securities Trading & Investments Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 232 Shalom Investment & Financial Services Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 233 Surport Services Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 234 Waila Securities And Funds Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 235 WizeTrade Capital & Asset Management Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 236 WizeTrade Capital & Asset Management Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 236 WizeTrade Capital & Asset Management Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 237 Zuma Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 238 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 239 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 230 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 239 Finb
222 Northbridge Investment & Trust Limited 223 Omas Investment & Trust Company Limited 224 Peninsula Asset Management & Investment Co. Ltd 225 Patinum Capital Limited 226 Peninsula Asset Management & Investment Co. Ltd 227 Peninsula Asset Management & Investment Co. Ltd 228 Patinum Capital Limited 229 Pofessional Stockbrokers Limited 220 Professional Stockbrokers Limited 220 Professional Stockbrokers Limited 2210 Profund Securities Limited 222 Profund Securities Limited 222 Profund Securities Limited 222 Profund Securities Limited 222 Profund Securities Limited 223 Pudential Securities Limited 224 Policy No 01 Section 7(b) & Article 15h 225 Pudential Securities Limited 226 Professional Stockbrokers Limited 227 Profund Securities Limited 228 Prudential Securities Limited 229 Regency Finance Limited 229 Regency Finance Limited 220 Securities Solutions Limited 221 Securities Solutions Limited 222 Policy No 01 Section 7(b) & Article 15h 223 Suspension 6-May-1 230 Securities Trading & Investments Limited 223 Suspension G-May-1 234 Suspension Investment & Financial Services Limited 224 Policy No 01 Section 7(b) & Article 15h 250 Suspension G-May-1 260 Suspension G-May-1 270 Suspension G-May-1 271 Suspension G-May-1 272 Suspension G-May-1 273 Surport Services Limited 274 Waila Securities and Funds Limited 275 Policy No 01 Section 7(b) & Article 15h 276 Suspension G-May-1 277 Zuma Securities Limited 278 Policy No 01 Section 7(b) & Article 15h 289 Suspension G-May-1 279 Tourities Limited 270 Suspension G-May-1 270 Zuma Securities Limited 270 Policy No 01 Section 7(b) & Article 15h 280 Suspension G-May-1 277 Zuma Securities Limited 278 Policy No 01 Section 7(b) & Article 15h 280 Suspension G-May-1 279 Zuma Securities Limited 279 Policy No 01 Section 7(b) & Article 15h 280 Suspension G-May-1 280 Waila Securities Limited 280 Finbank Securities Limited 390 Policy No 01 Section 7(b) & Article 15h 30 Suspension G-May-1 30 Suspension G-May-
223 Omas Investment & Trust Company Limited 224 Peninsula Asset Management & Investment Co. Ltd 225 Platinum Capital Limited 226 Professional Stockbrokers Limited 227 Profund Securities Limited 228 Profund Securities Limited 229 Profund Securities Limited 229 Profund Securities Limited 220 Policy No 01 Section 7(b) & Article 15h 220 Suspension G-May-1 220 Profund Securities Limited 220 Profund Securities Limited 221 Profund Securities Limited 222 Profund Securities Limited 223 Profund Securities Limited 224 Policy No 01 Section 7(b) & Article 15h 225 Profund Securities Limited 226 Profund Securities Limited 227 Profund Securities Limited 228 Prudential Securities Limited 229 Policy No 01 Section 7(b) & Article 15h 229 Regency Finance Limited 220 Securities Solutions Limited 221 Securities Trading & Investments Limited 222 Policy No 01 Section 7(b) & Article 15h 223 Securities Trading & Investments Limited 224 Policy No 01 Section 7(b) & Article 15h 225 Suspension G-May-1 226 Shalom Investment & Financial Services Limited 227 Policy No 01 Section 7(b) & Article 15h 228 Suspension G-May-1 229 Shalom Investment & Financial Services Limited 229 Policy No 01 Section 7(b) & Article 15h 220 Suspension G-May-1 221 Shalom Investment & Financial Services Limited 222 Shalom Investment & Financial Services Limited 223 Shalom Investment & Financial Services Limited 224 Waila Securities and Funds Limited 225 Policy No 01 Section 7(b) & Article 15h 226 Suspension G-May-1 227 Zuma Securities Limited 228 Policy No 01 Section 7(b) & Article 15h 229 Suspension G-May-1 230 WizeTrade Capital & Asset Management Limited 229 Policy No 01 Section 7(b) & Article 15h 229 Suspension G-May-1 230 Finbank Securities Limited 230 Finbank Securities Limited 240 Policy No 01 Section 7(b) & Article 15h 240 Suspension G-May-1 241 Suspension G-May-1 242 Finbank Securities Limited 240 Policy No 01 Section 7(b) & Article 15h 340 Suspension G-May-1 340 Finbank Securities Limited 340 Suspension G-May-1 340 Finbank Securities Limited 340 Suspension G-Ma
Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 226 Professional Stockbrokers Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 227 Profund Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 228 Prudential Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 229 Regency Finance Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 229 Regency Finance Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 230 Securities Solutions Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 231 Securities Trading & Investments Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 232 Shalom Investment & Financial Services Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 233 Surport Services Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 234 Waila Securities and Funds Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 235 WizeTrade Capital & Asset Management Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 236 WT Securities Ilmited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 237 Zuma Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 238 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 239 Suspension 6-May-1 240 WT Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 250 WT Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 250 Suspension 6-May-1 251 Suspension 6-May-1 252 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 253 Suspension 6-May-1 254 Suspension 6-May-1 255 Suspension 6-May-1 256 WT Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 256 WT Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 257 Zuma Securities Limited Policy No
Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 Suspension 6-May-1 Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 Suspension 6-May-1 Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 Po
226 Professional Stockbrokers Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 227 Profund Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 228 Prudential Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 229 Regency Finance Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 230 Securities Solutions Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 231 Securities Trading & Investments Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 232 Shalom Investment & Financial Services Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 233 Surport Services Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 234 Waila Securities and Funds Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 235 WizeTrade Capital & Asset Management Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 236 WT Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 236 WT Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 237 Zuma Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 238 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 239 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 239 Suspension 6-May-1 230 Waila Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 239 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 230 Waila Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 239 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 230 Waila Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 230 Waila Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 230 Waila Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1
Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 228 Prudential Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 229 Regency Finance Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 230 Securities Studions Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 231 Securities Trading & Investments Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 232 Shalom Investment & Financial Services Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 233 Surport Services Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 234 Waila Securities and Funds Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 235 WizeTrade Capital & Asset Management Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 236 WT Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 237 Zuma Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 238 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 239 Suspension 6-May-1 230 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 239 Suspension 6-May-1 230 Suspension 6-May-1 231 Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 231 Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 239 Suspension 6-May-1 230 Suspension 6-May-1 231 Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 232 Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 233 Suspension 6-May-1 234 Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 235 Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 236 WT Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 236 WT Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 237 Secu
Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 230 Securities Solutions Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 231 Securities Solutions Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 232 Shalom Investments Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 233 Surport Services Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 234 Waila Securities and Funds Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 235 WizeTrade Capital & Asset Management Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 236 WT Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 236 WT Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 237 Zuma Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 238 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 239 Suspension 6-May-1 230 Suspension 6-May-1 231 Suspension 6-May-1 232 Suspension 6-May-1 233 Surport Services Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 235 WT Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 236 WT Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 238 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 239 Suspension 6-May-1 240 Suspension 6-May-1 250 Suspension 6-May-1 251 Suspension 6-May-1 252 Suspension 6-May-1 253 Suspension 6-May-1 254 Suspension 6-May-1 255 Suspension 6-May-1 256 Suspension 6-May-1 257 Suspension 6-May-1 258 Suspension 6-May-1 259 Suspension 6-May-1 260 Suspension 6-May-1 270 Suspension 6-May-1 271 Suspension 6-May-1 272 Suspension 6-May-1 273 Suspension 6-May-1 274 Suspension 6-May-1 275 Suspension 6-May-1 276 Suspension 6-May-1 277 Suspension 6-May-1 278 Suspension 6-May-1 279 Suspension 6-May-1 280 Suspension 6-May-1 280 Susp
229 Regency Finance Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 230 Securities Solutions Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 231 Securities Trading & Investments Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 232 Shalom Investment & Financial Services Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 233 Surport Services Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 234 Waila Securities and Funds Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 235 WizeTrade Capital & Asset Management Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 236 WT Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 237 Zuma Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 238 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 238 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 238 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 239 Suspension 6-May-1 230 Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 239 Suspension 6-May-1 230 Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 239 Suspension 6-May-1 230 Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 239 Suspension 6-May-1 230 Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 230 Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 239 Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 230 Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 230 Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 230 Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 230 Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 230 S
230 Securities Solutions Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 231 Securities Trading & Investments Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 232 Shalom Investment & Financial Services Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 233 Surport Services Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 234 Waila Securities and Funds Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 235 WizeTrade Capital & Asset Management Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 236 WT Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 237 Zuma Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 238 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 238 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 238 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 239 Suspension 6-May-1 230 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 239 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 239 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 230 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 239 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 230 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 230 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1
231 Securities Trading & Investments Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 232 Shalom Investment & Financial Services Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 233 Surport Services Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 234 Waila Securities and Funds Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 235 WizeTrade Capital & Asset Management Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 236 WT Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 237 Zuma Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 238 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 238 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 238 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 238 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 239 Suspension 6-May-1 230 Suspension 6-May-1 230 Suspension 6-May-1 231 Suspension 6-May-1 232 Suspension 6-May-1 233 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 239 Suspension 6-May-1 230 Suspension 6-May-1 230 Suspension 6-May-1 231 Suspension 6-May-1 232 Suspension 6-May-1 233 Finbank Securities Limited Suspension 6-May-1 234 Suspension 6-May-1 235 Suspension 6-May-1 236 Suspension 6-May-1 237 Suspension 6-May-1 238 Finbank Securities Limited Suspension 6-May-1 239 Suspension 6-May-1 230 Suspension 6-May-1 230 Suspension 6-May-1 231 Suspension 6-May-1 232 Suspension 6-May-1 233 Suspension 6-May-1 234 Suspension 6-May-1 235 Suspension 6-May-1 236 Suspension 6-May-1 237 Suspension 6-May-1 238 Suspension 6-May-1 239 Suspension 6-May-1 230 Suspension 6-May-1 230 Suspension 6-May-1 231 Suspension 6-May-1 232 Suspension 6-May-1 233 Suspension 6-May-1 234 Suspension 6-May-1 235 Suspension 6-May-1 236 Suspension 6-May-1 237 Suspension 6-May-1 238 Suspens
232 Shalom Investment & Financial Services Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 234 Waila Securities and Funds Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 235 WizeTrade Capital & Asset Management Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 236 WT Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 237 Zuma Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 237 Juma Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 238 Finbank Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 238 Finbank Securities Limited Suspension 6-May-1 239 Finbank Securities Limited Suspension 6-May-1
233 Surport Services Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 234 Waila Securities and Funds Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 235 WizeTrade Capital & Asset Management Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 236 WT Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 237 Zuma Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 238 Finbank Securities Limited Failure to pay the penalty for the late submission of the Audited financial statement6 for year ended 31 Dec 2014
234 Waila Securities and Funds LimitedPolicy No 01 Section 7(b) & Article 15hSuspension6-May-1235 WizeTrade Capital & Asset Management LimitedPolicy No 01 Section 7(b) & Article 15hSuspension6-May-1236 WT Securities LimitedPolicy No 01 Section 7(b) & Article 15hSuspension6-May-1237 Zuma Securities LimitedPolicy No 01 Section 7(b) & Article 15hSuspension6-May-1238 Finbank Securities LimitedFailure to pay the penalty for the late submission of the Audited financial statement6 for year ended 31 Dec 2014Suspension8-May-1
235 WizeTrade Capital & Asset Management Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 236 WT Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 237 Zuma Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 238 Finbank Securities Limited Failure to pay the penalty for the late submission of the Audited financial statement6 for year ended 31 Dec 2014
236 WT Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 237 Zuma Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 238 Finbank Securities Limited Failure to pay the penalty for the late submission of the Audited financial statement6 for year ended 31 Dec 2014 8-May-1
237 Zuma Securities Limited Policy No 01 Section 7(b) & Article 15h Suspension 6-May-1 238 Finbank Securities Limited Failure to pay the penalty for the late submission of the Audited financial statement6 for year ended 31 Dec 2014 8-May-1
238 Finbank Securities Limited Failure to pay the penalty for the late submission of the Audited financial statement6 for year ended 31 Dec 2014 Suspension 8-May-1
238 Finbank Securities Limited Suspension 8-May-1
239 Investment Shark & Asset Mngt Limited The firm failed to pay the penalty for breaching Article 110, 144c & 165 2c Suspension 18-May-1
A design of the effect of the
240 BGL Securities Limited A directive from The SEC to suspend the Firm, its Directors and sponsored Suspension 20-May-1
individuals from all Capital Market activities.
241 Vetiva Securities Limited Article 100 (d) (2) Caution 22-May-1
242 Adamawa Securities Limited Policy No 01 Section 7(a) & Article 15h Suspension 22-May-1
243 Bauchi Investment Corp. Sec Limited Policy No 01 Section 7(a) & Article 15h Suspension 22-May-1

	a maria di distributione di seriesa di serie	I- n		2211 15
	Bestlink Investment Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	Cadington Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	Cradle Trust Finance & Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	Delords Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	Funds Matrix & Assets Mgt Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	Kofana Securities & Investment Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	Shelong Investments Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	Stanwal Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
252	Yuderb Investment & Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
253	Aims Asset Management Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
254	Allbond Investment Limited Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
255	Bytofel Trust & Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	CEB Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	Consolidated Investment Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	Dakal Services Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	Davandy Finance & Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	Decanon Investment Limited		Suspension	22-May-15
		Policy No 01 Section 7(a) & Article 15h	i i	
	Empire Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	First Alstate Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	Fittco Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	Gombe Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	Kakawa Asset Management Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	LB Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	Lion Stockbrokers Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	LMB Stockbrokers Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	Mact Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
270	Maninvest Asset Management Plc	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
271	Maven Asset Management Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	Metropolitan Trust Nigeria Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	Midpoint Capital Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	ML Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	Monument Sec & Finance Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
_	Omas Investment & Trust Company Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
			·	
_	Peninsula Asset Management & Investment Co. Ltd	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
278	Platinum Capital Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
279	Professional Stockbrokers Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
280	Profund Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
281	Prudential Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	Regency Finance Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	Securities Solutions Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	Securities Trading & Investments Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	Shalom Investment & Financial Services Limited		Suspension	22-May-15
		Policy No 01 Section 7(a) & Article 15h	· · ·	
	Surport Services Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
	Waila Securities and Funds Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
288	WizeTrade Capital & Asset Management Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
289	WT Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
290	Zuma Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
291	GMT Securities & Asset Management Limited	Overtrading	Suspension	11-Jun-15
292	Diamond Securities Limited	Article 155	100,000	17-Jun-15
293	Aims Asset Management Limited	Article 155	100.000	17-Jun-15
	Capital Express Securities Limited	Article 156	100,000	17-Jun-15
	Lead Securities & Investment Limited	Article 156		
			100 0001	
	GTI Securities Limited		100,000	17-Jun-15
	GTI Securities Limited	Article 155	100,000	
	GTI Securities Limited Rencap Securities (Nig.) Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval		17-Jun-15
297	Rencap Securities (Nig.) Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange	100,000 Caution	17-Jun-15 18-Jun-15 25-Jun-15
297 298	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Item 12, Amendments and Additions Part III	100,000 Caution Caution	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15
297 298 299	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Item 12, Amendments and Additions Part III Article 156	Caution Caution 100,000	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15
297 298 299 300	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Item 12, Amendments and Additions Part III Article 156 Article 155	100,000 Caution Caution 100,000 100,000 & Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15
297 298 299 300 301	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Item 12, Amendments and Additions Part III Article 156 Article 155 Article 156	100,000 Caution Caution 100,000 100,000 & Suspension 100,000	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 3-Sep-15
297 298 299 300 301	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Item 12, Amendments and Additions Part III Article 156 Article 155	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 100,000 & Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15
297 298 299 300 301 302	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Item 12, Amendments and Additions Part III Article 156 Article 155 Article 156 Article 155	Caution Caution 100,000 \$\text{8100,000}\$ 100,000 & Suspension 100,000 & Suspension \$100,000 & Suspension Expulsion and revocation of its Dealing	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15
297 298 299 300 301 302	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Item 12, Amendments and Additions Part III Article 156 Article 155 Article 156 Article 155 Article 59 (v)	Caution Caution 100,000 100,000 \$ Suspension 100,000 & Suspension 100,000 & Suspension Expulsion and revocation of its Dealing Member License	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15
297 298 299 300 301 302 303	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Item 12, Amendments and Additions Part III Article 156 Article 155 Article 156 Article 155	Caution Caution 100,000 \$\text{8100,000}\$ 100,000 & Suspension 100,000 & Suspension \$100,000 & Suspension Expulsion and revocation of its Dealing	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15
297 298 299 300 301 302 303 304	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Item 12, Amendments and Additions Part III Article 156 Article 155 Article 156 Article 155 Article 59 (v)	Caution Caution 100,000 100,000 \$ Suspension 100,000 & Suspension 100,000 & Suspension Expulsion and revocation of its Dealing Member License	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15
297 298 299 300 301 302 303 304 305	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited Maxifund Investment & Sec. Ltd Resort Securites & Trust Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Item 12, Amendments and Additions Part III Article 156 Article 155 Article 156 Article 155 Article 59 (v) The firm failed to fully execute client's mandate	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 & Suspension Expulsion and revocation of its Dealing Member License Public Censure 3,740,415 & Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15 30-Sep-15 30-Sep-15 2-Oct-15
297 298 299 300 301 302 303 304 305	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited Maxifund Investment & Sec. Ltd	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Ittem 12, Amendments and Additions Part III Article 156 Article 155 Article 156 Article 155 Article 155 Article 59 (v) The firm failed to fully execute client's mandate Article 100 (d) The firm has not complied with the minimum capital requirement of The	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 & Suspension Expulsion and revocation of its Dealing Member License Public Censure	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15 30-Sep-15
297 298 299 300 301 302 303 304 305	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited Maxifund Investment & Sec. Ltd Resort Securites & Trust Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Ittem 12, Amendments and Additions Part III Article 156 Article 155 Article 156 Article 155 Article 155 Article 59 (v) The firm failed to fully execute client's mandate Article 100 (d) The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 & Suspension Expulsion and revocation of its Dealing Member License Public Censure 3,740,415 & Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15 30-Sep-15 30-Sep-15 2-Oct-15
297 298 299 300 301 302 303 304 305	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited Maxifund Investment & Sec. Ltd Resort Securities & Trust Limited Mercov Securities Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Item 12, Amendments and Additions Part III Article 156 Article 155 Article 156 Article 155 Article 155 Article 59 (v) The firm failed to fully execute client's mandate Article 100 (d) The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 100,000 & Suspension Expulsion and revocation of its Dealing Member License Public Censure 3,740,415 & Suspension Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15 30-Sep-15 2-Oct-15 6-Oct-15
297 298 299 300 301 302 303 304 305	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited Maxifund Investment & Sec. Ltd Resort Securites & Trust Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Ittem 12, Amendments and Additions Part III Article 156 Article 155 Article 156 Article 155 Article 155 Article 59 (v) The firm failed to fully execute client's mandate Article 100 (d) The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 & Suspension Expulsion and revocation of its Dealing Member License Public Censure 3,740,415 & Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15 30-Sep-15 30-Sep-15 2-Oct-15
297 298 299 300 301 302 303 304 305 306	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited Maxifund Investment & Sec. Ltd Resort Securities & Trust Limited Mercov Securities Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Item 12, Amendments and Additions Part III Article 156 Article 155 Article 156 Article 155 Article 155 Article 59 (v) The firm failed to fully execute client's mandate Article 100 (d) The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 & Suspension Expulsion and revocation of its Dealing Member License Public Censure 3,740,415 & Suspension Suspension Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15 30-Sep-15 2-Oct-15 6-Oct-15
297 298 299 300 301 302 303 304 305 306	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited Maxifund Investment & Sec. Ltd Resort Securities & Trust Limited Mercov Securities Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Item 12, Amendments and Additions Part III Article 156 Article 155 Article 155 Article 155 Article 155 Article 59 (v) The firm failed to fully execute client's mandate Article 100 (d) The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 100,000 & Suspension Expulsion and revocation of its Dealing Member License Public Censure 3,740,415 & Suspension Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15 30-Sep-15 2-Oct-15 6-Oct-15
297 298 299 300 301 302 303 304 305 306	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited Maxifund Investment & Sec. Ltd Resort Securities & Trust Limited Mercov Securities Limited Summa Guaranty & Trust Company Limited Resano Securities Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Item 12, Amendments and Additions Part III Article 156 Article 155 Article 155 Article 155 Article 59 (v) The firm failed to fully execute client's mandate Article 100 (d) The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 & Suspension 100,000 & Suspension Expulsion and revocation of its Dealing Member License Public Censure 3,740,415 & Suspension Suspension Suspension Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15 30-Sep-15 2-Oct-15 6-Oct-15 6-Oct-15
297 298 299 300 301 302 303 304 305 306	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited Maxifund Investment & Sec. Ltd Resort Securities & Trust Limited Mercov Securities Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Item 12, Amendments and Additions Part III Article 156 Article 155 Article 155 Article 155 Article 59 (v) The firm failed to fully execute client's mandate Article 100 (d) The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 & Suspension Expulsion and revocation of its Dealing Member License Public Censure 3,740,415 & Suspension Suspension Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15 30-Sep-15 2-Oct-15 6-Oct-15
297 298 299 300 301 302 303 304 305 306	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited Maxifund Investment & Sec. Ltd Resort Securities & Trust Limited Mercov Securities Limited Summa Guaranty & Trust Company Limited Resano Securities Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Ittem 12, Amendments and Additions Part III Article 156 Article 155 Article 156 Article 155 Article 59 (v) The firm failed to fully execute client's mandate Article 100 (d) The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 & Suspension 100,000 & Suspension Expulsion and revocation of its Dealing Member License Public Censure 3,740,415 & Suspension Suspension Suspension Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15 30-Sep-15 2-Oct-15 6-Oct-15 6-Oct-15
297 298 299 300 301 302 303 304 305 306 307	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited Maxifund Investment & Sec. Ltd Resort Securities & Trust Limited Mercov Securities Limited Summa Guaranty & Trust Company Limited Resano Securities Limited Excel Securities Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Ittem 12, Amendments and Additions Part III Article 156 Article 155 Article 156 Article 155 Article 155 Article 59 (v) The firm failed to fully execute client's mandate Article 100 (d) The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 & Suspension Expulsion and revocation of its Dealing Member License Public Censure 3,740,415 & Suspension Suspension Suspension Suspension Suspension Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15 30-Sep-15 2-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15
297 298 299 300 301 302 303 304 305 306 307	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited Maxifund Investment & Sec. Ltd Resort Securities & Trust Limited Mercov Securities Limited Summa Guaranty & Trust Company Limited Resano Securities Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Ittem 12, Amendments and Additions Part III Article 156 Article 155 Article 156 Article 155 Article 59 (v) The firm failed to fully execute client's mandate Article 100 (d) The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 & Suspension 100,000 & Suspension Expulsion and revocation of its Dealing Member License Public Censure 3,740,415 & Suspension Suspension Suspension Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 3-Sep-15 30-Sep-15 30-Sep-15 2-Oct-15 6-Oct-15 6-Oct-15
297 298 299 300 301 302 303 304 305 306 307 308 309	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited Maxifund Investment & Sec. Ltd Resort Securities & Trust Limited Mercov Securities Limited Summa Guaranty & Trust Company Limited Resano Securities Limited Excel Securities Limited Finbank Securities & Assets Management Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Ittem 12, Amendments and Additions Part III Article 156 Article 155 Article 156 Article 155 Article 155 Article 150 (V) The firm failed to fully execute client's mandate Article 100 (d) The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 100,000 & Suspension Expulsion and revocation of its Dealing Member License Public Censure 3,740,415 & Suspension Suspension Suspension Suspension Suspension Suspension Suspension Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15 30-Sep-15 2-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15
297 298 299 300 301 302 303 304 305 306 307 308 309	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited Maxifund Investment & Sec. Ltd Resort Securities & Trust Limited Mercov Securities Limited Summa Guaranty & Trust Company Limited Resano Securities Limited Excel Securities Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Ittem 12, Amendments and Additions Part III Article 156 Article 155 Article 155 Article 155 Article 155 Article 150 (a) The firm failed to fully execute client's mandate Article 100 (d) The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 & Suspension Expulsion and revocation of its Dealing Member License Public Censure 3,740,415 & Suspension Suspension Suspension Suspension Suspension Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 3-Sep-15 30-Sep-15 30-Sep-15 2-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15
297 298 299 300 301 302 303 304 305 306 307 308 309	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited Maxifund Investment & Sec. Ltd Resort Securities & Trust Limited Mercov Securities Limited Summa Guaranty & Trust Company Limited Resano Securities Limited Excel Securities Limited Finbank Securities & Assets Management Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Ittem 12, Amendments and Additions Part III Article 156 Article 155 Article 156 Article 155 Article 157 Article 158 Article 159 (v) The firm failed to fully execute client's mandate Article 100 (d) The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 100,000 & Suspension Expulsion and revocation of its Dealing Member License Public Censure 3,740,415 & Suspension Suspension Suspension Suspension Suspension Suspension Suspension Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15 30-Sep-15 2-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15
297 298 299 300 301 302 303 304 305 306 307 308 309	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited Maxifund Investment & Sec. Ltd Resort Securities & Trust Limited Mercov Securities Limited Mercov Securities Limited Summa Guaranty & Trust Company Limited Resano Securities Limited Excel Securities Limited Finbank Securities & Assets Management Limited First Stockbrokers Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange litem 12, Amendments and Additions Part III Article 156 Article 155 Article 155 Article 155 Article 155 Article 150 (v) The firm failed to fully execute client's mandate Article 100 (d) The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 100,000 & Suspension Expulsion and revocation of its Dealing Member License Public Censure 3,740,415 & Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15 30-Sep-15 2-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15
297 298 299 300 301 302 303 304 305 306 307 308 309	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited Maxifund Investment & Sec. Ltd Resort Securities & Trust Limited Mercov Securities Limited Summa Guaranty & Trust Company Limited Resano Securities Limited Excel Securities Limited Finbank Securities & Assets Management Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Ittem 12, Amendments and Additions Part III Article 156 Article 155 Article 156 Article 155 Article 157 Article 158 Article 159 (v) The firm failed to fully execute client's mandate Article 100 (d) The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 100,000 & Suspension Expulsion and revocation of its Dealing Member License Public Censure 3,740,415 & Suspension Suspension Suspension Suspension Suspension Suspension Suspension Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15 30-Sep-15 2-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15
297 298 299 300 301 302 303 304 305 306 307 308 309 310 311	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited Maxifund Investment & Sec. Ltd Resort Securities & Trust Limited Mercov Securities Limited Summa Guaranty & Trust Company Limited Resano Securities Limited Excel Securities Limited Finbank Securities & Assets Management Limited First Stockbrokers Limited Cradle Trust Finance & Securities Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Item 12, Amendments and Additions Part III Article 156 Article 155 Article 155 Article 155 Article 156 Article 157 Article 159 (v) The firm failed to fully execute client's mandate Article 100 (d) The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 100,000 & Suspension Expulsion and revocation of its Dealing Member License Public Censure 3,740,415 & Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15 30-Sep-15 2-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15
297 298 299 300 301 302 303 304 305 306 307 308 309 310 311	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited Maxifund Investment & Sec. Ltd Resort Securities & Trust Limited Mercov Securities Limited Mercov Securities Limited Summa Guaranty & Trust Company Limited Resano Securities Limited Excel Securities Limited Finbank Securities & Assets Management Limited First Stockbrokers Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Item 12, Amendments and Additions Part III Article 156 Article 155 Article 155 Article 155 Article 59 (v) The firm failed to fully execute client's mandate Article 100 (d) The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 100,000 & Suspension Expulsion and revocation of its Dealing Member License Public Censure 3,740,415 & Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15 30-Sep-15 2-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15
297 298 299 300 301 302 303 304 305 306 307 308 309 310 311	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited Maxifund Investment & Sec. Ltd Resort Securities & Trust Limited Mercov Securities Limited Summa Guaranty & Trust Company Limited Resano Securities Limited Excel Securities Limited Finbank Securities & Assets Management Limited First Stockbrokers Limited Cradle Trust Finance & Securities Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Item 12, Amendments and Additions Part III Article 156 Article 155 Article 155 Article 155 Article 59 (v) The firm failed to fully execute client's mandate Article 100 (d) The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 100,000 & Suspension Expulsion and revocation of its Dealing Member License Public Censure 3,740,415 & Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15 30-Sep-15 2-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15
297 298 299 300 301 302 303 304 305 306 307 308 310 311 312	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited Maxifund Investment & Sec. Ltd Resort Securities & Trust Limited Mercov Securities Limited Summa Guaranty & Trust Company Limited Resano Securities Limited Excel Securities Limited Finbank Securities & Assets Management Limited First Stockbrokers Limited Cradle Trust Finance & Securities Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Ittem 12, Amendments and Additions Part III Article 156 Article 155 Article 155 Article 155 Article 155 Article 59 (v) The firm failed to fully execute client's mandate Article 100 (d) The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 100,000 & Suspension Expulsion and revocation of its Dealing Member License Public Censure 3,740,415 & Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15 30-Sep-15 2-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15
297 298 299 300 301 302 303 304 305 306 307 308 310 311 312	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited Maxifund Investment & Sec. Ltd Resort Securities & Trust Limited Mercov Securities Limited Summa Guaranty & Trust Company Limited Resano Securities Limited Excel Securities Limited Finbank Securities & Assets Management Limited First Stockbrokers Limited Cradle Trust Finance & Securities Limited Covenant Securities & Asset Management Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Ittem 12, Amendments and Additions Part III Article 156 Article 155 Article 155 Article 156 Article 155 Article 157 Article 158 Article 159 (v) The firm failed to fully execute client's mandate Article 100 (d) The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 100,000 & Suspension Expulsion and revocation of its Dealing Member License Public Censure 3,740,415 & Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15 30-Sep-15 2-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15
297 298 299 300 301 302 303 304 305 306 307 308 309 310 311 312 313	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited Maxifund Investment & Sec. Ltd Resort Securities & Trust Limited Mercov Securities Limited Mercov Securities Limited Summa Guaranty & Trust Company Limited Resano Securities Limited Excel Securities Limited First Stockbrokers Limited Cradle Trust Finance & Securities Limited Covenant Securities & Asset Management Limited Yobe Investment & Securities Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Ittem 12, Amendments and Additions Part III Article 156 Article 155 Article 155 Article 155 Article 155 Article 150 Article 150 Article 150 The firm failed to fully execute client's mandate Article 100 (d) The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 100,000 & Suspension 100,000 Expulsion and revocation of its Dealing Member License Public Censure 3,740,415 & Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15 30-Sep-15 2-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15
297 298 299 300 301 302 303 304 305 306 307 308 309 310 311 312 313	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited Maxifund Investment & Sec. Ltd Resort Securities & Trust Limited Mercov Securities Limited Summa Guaranty & Trust Company Limited Resano Securities Limited Excel Securities Limited Finbank Securities & Assets Management Limited First Stockbrokers Limited Cradle Trust Finance & Securities Limited Covenant Securities & Asset Management Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Ittem 12, Amendments and Additions Part III Article 156 Article 155 Article 155 Article 156 Article 155 Article 157 Article 158 Article 159 (v) The firm failed to fully execute client's mandate Article 100 (d) The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 100,000 & Suspension Expulsion and revocation of its Dealing Member License Public Censure 3,740,415 & Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15 30-Sep-15 2-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15
297 298 299 300 301 302 303 304 305 306 307 308 309 310 311 312 313 314	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited Maxifund Investment & Sec. Ltd Resort Securities & Trust Limited Mercov Securities Limited Mercov Securities Limited Summa Guaranty & Trust Company Limited Resano Securities Limited Excel Securities Limited Finbank Securities & Assets Management Limited First Stockbrokers Limited Cradle Trust Finance & Securities Limited Covenant Securities & Asset Management Limited Yobe Investment & Securities Limited Stanwal Securities Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Ittem 12, Amendments and Additions Part III Article 156 Article 155 Article 155 Article 155 Article 155 Article 150 Article 150 Article 150 The firm failed to fully execute client's mandate Article 100 (d) The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 & Suspension 100,000 & Suspension Expulsion and revocation of its Dealing Member License Public Censure 3,740,415 & Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15 30-Sep-15 2-Oct-15 6-Oct-15
297 298 299 300 301 302 303 304 305 306 307 308 309 310 311 312 313 314	Rencap Securities (Nig.) Limited Magnartis Finance & Investment Limited Rencap Securities (Nig.) Limited Networth Securities & Finance Limited Cardinalstone Securities Limited Kedari Securities Limited Fittco Securities Limited Maxifund Investment & Sec. Ltd Resort Securities & Trust Limited Mercov Securities Limited Mercov Securities Limited Summa Guaranty & Trust Company Limited Resano Securities Limited Excel Securities Limited First Stockbrokers Limited Cradle Trust Finance & Securities Limited Covenant Securities & Asset Management Limited Yobe Investment & Securities Limited	Article 155 Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange Item 12, Amendments and Additions Part III Article 156 Article 155 Article 155 Article 155 Article 156 Article 157 Article 159 (v) The firm failed to fully execute client's mandate Article 100 (d) The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	100,000 Caution Caution 100,000 100,000 & Suspension 100,000 100,000 & Suspension 100,000 Expulsion and revocation of its Dealing Member License Public Censure 3,740,415 & Suspension	17-Jun-15 18-Jun-15 25-Jun-15 14-Jul-15 19-Aug-15 31-Aug-15 31-Aug-15 3-Sep-15 7-Sep-15 30-Sep-15 2-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15 6-Oct-15

317	Redasel Investments Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
318	Standard Alliance Capital Asset Mgt Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
319	UIDC Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
320	Cadington Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
321	GMT Securities & Asset Mangement Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
322	Vision Trust & Investment Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
323	Aims Asset Management Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
324	Allbond Investment Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
325	CEB Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
326	Consolidated Investment Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
327	Dakal Services Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
328	Davandy Finance & Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
329	Decanon Investment Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
330	Emi Capital Resources Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
331	Empire Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
332	Fittco Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
333	Gombe Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
334	Kakawa Asset Management Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
335	Mact Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
336	Maninvest Asset Management Plc	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
337	Metropolitan Trust Nigeria Limited	Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
338	Midpoint Capital Limited	The firm has not complied with the minimum capital requirement of The	Suspension	6-Oct-15
339	ML Securities Limited	Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The	Suspension	6-Oct-15
		Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The	·	
340	Monument Sec & Finance Limited	Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The	Suspension	6-Oct-15
341	Omas Investment & Trust Company Limited	Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
342	Peninsula Asset Management & Investment Company Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
343	Platinum Capital Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
344	Profund Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
345	Regency Finance Limited	Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
346	Securities Solutions Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
347	Securities Trading & Investments Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
348	Waila Securities and Funds Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
349	WizeTrade Capital & Asset Management Limited	Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
350	Wema Asset Management Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
351	WT Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
352	Zuma Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
353	Bytofel Trust & Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
354	LB Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
	•	,		

		The firm has not complied with the minimum capital requirement of The		6.0.1.45
355	LMB Stockbrokers Limited	Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
356	Prudential Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
357	First Alstate Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
358	Lion Stockbrokers Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
359	Amyn Investments Limited	Article 143 B	Suspension	6-Oct-15
360	Regency Finance Limited	The firm placed a newspaper advert without The Exchange's approval.	Article 144	8-Oct-15
361	Heritage Capital Market Limited	This is a request from CSCS to suspend the firm for trading on an unfunded account.	Suspension & Caution	14-Oct-15
362	APT Securities & Funds Limited	Article 33	Caution	10-Dec-15
363	Bestlink Investment Limited	Item 21, Amendments and Additions Part II	500,000.00	14-Dec-15
364	Royal Crest Finance Limited	Item 21, Amendments and Additions Part II	500,000.00	14-Dec-15
365	Milestone Capital Management Limited	Item 21, Amendments and Additions Part II	500,000.00	14-Dec-15
366	Adamawa Securities Limited	Item 21, Amendments and Additions Part II	500,000.00	14-Dec-15
367	AAA Securities Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
368	BFCL Asset & Securities Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
369	BIC Securities Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
370	Colvia Securities Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
371	Davandy Finance Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
372	Epic Investment Trust Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
373	Equator Stockbrokers Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
374	Empire Securities Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
375	First Atlantic Securities Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
376	Folu Securities Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
377	Genesis Sec. & Inv. Ltd	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
378	Indemnity Finance Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
379	Midlands Inv. & Trust Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
380	RIV Trust Securities Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
381	Riverside Trust Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
382	Sikon Securities & Investment Trust Ltd	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
383	Afro-Arab Investment Limited	Failure of the firm to activate its Dealing Member license.	Expulsion and revocation of its Dealing Member License	14-Dec-15
384	Al-Pina Investment & Trust Co. Limited	Failure of the firm to activate its Dealing Member license.	Expulsion and revocation of its Dealing Member License	14-Dec-15
385	Barakat Investment Limited	Failure of the firm to activate its Dealing Member license.	Expulsion and revocation of its Dealing Member License	14-Dec-15
386	BBL Asset Management Limited	Failure of the firm to activate its Dealing Member license.	Expulsion and revocation of its Dealing Member License	14-Dec-15
387	Enabell Capital & Investment Limited	Failure of the firm to activate its Dealing Member license.	Expulsion and revocation of its Dealing Member License	14-Dec-15
388	First Express Limited	Failure of the firm to activate its Dealing Member license.	Expulsion and revocation of its Dealing Member License	14-Dec-15
			Expulsion and revocation of its Dealing	

Member License 391 Standard Chartered Securities Limited Failure of the firm to activate its Dealing Member license. Expulsion and revocation of its Dealing Member License Member License Member License Member License Expulsion and revocation of its Dealing Member License	200	Kingdom Securities Limited	Failure of the firm to activate its Dealing Member license.	Expulsion and revocation of its Dealing	14-Dec-15
And the control of th				Member License	
South Print or Stroke Comment Course, South Print or Stroke Control or Course, South Print or Stroke Course, South Pri	391	Standard Chartered Securities Limited	Failure of the firm to activate its Dealing Member license.	Member License	14-Dec-15
	392	Translux Services Limited	Failure of the firm to activate its Dealing Member license.	Member License	14-Dec-15
Justice for the Ministry Committee This is a directly of this processor in Charge Committee Ministry Committ	393	Multi Trust Securities Limited	Failure of the firm to activate its Dealing Member license.		14-Dec-15
Justice for the Ministry Committee This is a directly of this processor in Charge Committee Ministry Committ			2016		
Johnson Securities Limited	1	Nova Finance & Securities Limited		Suspension	4-Jan-16
State					
Description Securities (among Securities) (among Se			·		
he for Capital Management Limited Securities & Exchange Commission (E.C.) P Anthra Yosen Asset Management Limited Securities & Exchange Commission (E.C.) P Company of the Capital Management Limited Securities & Exchange Commission (E.C.) P Company of the Capital Management Limited Securities & Exchange Commission (E.C.) P Company of the Capital Management Limited Securities & Exchange Commission (E.C.) P Company of the Capital Management Limited Securities & Exchange Commission (E.C.) P Company of the Capital Management Limited Securities & Exchange Commission (E.C.) Securities & Exchange Commission (E.C.) P Company of the Capital Management Limited Securities & Exchange Commission (E.C.) Securities & Exchan		<u> </u>	The firm has not complied with the minimum capital requirement of The		
A whole Streen Acces Management Limited The firm has not compiled with the minimum capilal requirement of The Suppersion Exercises & Environment Limited The firm has not compiled with the minimum capilal requirement of The Suppersion 6-bin-16 Ourse Fourtine Limited The firm has not compiled with the minimum capilal requirement of The Suppersion 6-bin-16 Ourse fourtine Limited The firm has not compiled with the minimum capilal requirement of The Suppersion 6-bin-16	6	Arian Capital Management Limited	The firm has not complied with the minimum capital requirement of The	Suspension	6-Jan-16
se bestimes between Limited	7	Arthur Steven Asset Management Limited	The firm has not complied with the minimum capital requirement of The	Suspension	6-Jan-16
Securities Externated The firm has not completed with the minimum capilal regulament of The Supplession & Supples	8	Bestlink Investment Limited	The firm has not complied with the minimum capital requirement of The	Suspension	6-Jan-16
to the protect immend to the firm has not completed with the minimum capital requirement of The Supersion Guaranties Exhapped Comittod by White Provincial Conference of The Supersion Guaranties Conference of The International Conference of The Supersion Guaranties Conference of The Supersio	9	Crane Securities Limited	The firm has not complied with the minimum capital requirement of The	Suspension	6-Jan-16
1.1 organization Cognitive	10	Deep Trust Investment Limited	The firm has not complied with the minimum capital requirement of The	Suspension	6-Jan-16
Sec Trust and Securities Limited The firm has not completed with the minimum capital requirement of The Securities & Exhange Commission (SC) Securities I Make and Management Limited Securities & Exhange Commission (SC) Securities Stark & Asset Management LIM Securities & Exhange Commission (SC) Securities Commission (SC) Securities Stark & Asset Management LIM Securities & Exhange Commission (SC) Securities Stark & Asset Management LIM Securities & Exhange Commission (SC) Securities Stark & Securities Stark & Securities Stark & Securities Stark & Securities & Exhange Commission (SC) Securities Stark & Securities & Securities & Exhange Commission (SC) Securities &	11	Edgefield Capital Management Limited	The firm has not complied with the minimum capital requirement of The	Suspension	6-Jan-16
Set Asset Management Limited The firm has not completed with the minimum capital requirement of The Souperstan Souper	12	FBC Trust and Securities Limited	The firm has not complied with the minimum capital requirement of The	Suspension	6-Jan-16
Securities & Exchange Commission (SEC). Sometiment Stank & Askel Management Ltd The firm has not complied with the minimum capital requirement of The Suppension 6-Jan-16 Sourchies & Exchange Commission (SEC). Maintain Triast Limited Sourchies & Exchange Commission (SEC). Maintain Triast Limited Sourchies & Exchange Commission (SEC). Maintain Triast Limited Sourchies & Exchange Commission (SEC). Marint Securities A Investment Co. Ltd The firm has not complied with the minimum capital requirement of The Suppension 6-Jan-16 Marint Securities & Investment Co. Ltd The firm has not complied with the minimum capital requirement of The Suppension 6-Jan-16 Marint Securities & Investment Co. Ltd The firm has not complied with the minimum capital requirement of The Suppension 6-Jan-16 Marint Securities & Exchange Commission (SEC). Marint Investment Limited The firm has not complied with the minimum capital requirement of The Suppension 6-Jan-16 Mesting Commission (SEC). Milestone Capital Management Limited Societies & Exchange Commission (SEC). Milestone Capital Management Limited Societies & Exchange Commission (SEC). Diploms Securities Limited Societies & Exchange Commission (SEC). Societies Limited Societies & Exchange Commission (SEC). Societies & Societies Limited Societies & Exchange Commission (SEC). Societies & Excha	13	GEM Asset Management Limited	The firm has not complied with the minimum capital requirement of The	Suspension	6-Jan-16
Supersion of Salar & Asset management to Securities & Exhatinge Commission (SEC). Supersion of Salar Trust & Securities Limited Supersion of Securities & Exhatinge Commission (SEC). Navided Trust Limited Supersion of Salar Asset Minestment Co. Ltd Navided Securities & Exhatinge Commission (SEC). Navided Investment & Securities & Investment of The Supersion of Salar Asset Management Limited Navided Investment & Securities & Exhatinge Commission (SEC). Navided Investment & Securities Pic Navided Investment & Securities Pic Navided Investment & Securities Pic Securities & Exhatinge Commission (SEC). Navided Investment Limited Navided Investment Limited Navided Investment Limited Securities & Exhatinge Commission (SEC). Navided Investment Limited The firm has not complied with the minimum capital requirement of The Supersion of Jan-16 Securities & Exhatinge Commission (SEC). Profession Securities Limited The firm has not complied with the minimum capital requirement of The Supersion of Jan-16 Securities & Exhatinge Commission (SEC). Rever Capital Management Limited Navided Investment Trust Limited The firm has not complied with the minimum capital requirement of The Supersion of Jan-16 Securities & Exhatinge Commission (SEC). Rever Capital Management Limited Navided Securities & Exhatinge Commission (SEC). Navided Investment Trust Limited Navided Securities & Exhatinge Commission (SEC). Navided Securities Investment Trust Limited Navided Securities Securities Investment Trust Limited Navided Securities Securities Investment Trust Limited Navided Securities Securities Securities Investment Trust Limited Navided Securities Securities Investment Trust Limited Navided Securities Securities Investment Trust Limite	14	Horizon Stockbrokers Limited		Suspension	6-Jan-16
Securities & Securities Securities & Securities Securities & Sec	15	Investment Shark & Asset Management Ltd	·	Suspension	6-Jan-16
Namina in risk Limited Securities & Evaluage Commission (SEC) Suspension S-Jan-16	16	Kapital Care Trust & Securities Limited		Suspension	6-Jan-16
Securities & Richarge Commission (SEC). Supersion Solar-16	17	Mainland Trust Limited		Suspension	6-Jan-16
Securities & Exchange Commission (SEC). Mayfield Investment Limited The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). Milestone Capital Management Limited The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). Popular Securities Limited The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). Popular Securities Limited The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). Popular Securities Complex with the minimum capital requirement of The Securities & Exchange Commission (SEC). Popular Securities Commission (SEC). Popular Securities Commission (SEC). Popular Securities Commis	18	Marriot Securities & Investment Co. Ltd		Suspension	6-Jan-16
Securities & Exchange Commission (SEC) Suspension 6-Jan-16	19	Maxifund Investments & Securities Plc	Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
Securities & Exchange Commission (SEC). 2 Options Securities Limited The firm has not complied with the minimum capital requirement of The Suspension 6-Jan-16 Perfects Investment Trust Limited The firm has not complied with the minimum capital requirement of The Suspension 6-Jan-16 Perfects Investment Trust Limited The firm has not complied with the minimum capital requirement of The Suspension 6-Jan-16 Perfects Investment Invited The firm has not complied with the minimum capital requirement of The Suspension 6-Jan-16 Perfects A Trust Limited The firm has not complied with the minimum capital requirement of The Suspension 6-Jan-16 Perfects A Commission (SEC). Caution 2 Suspension 6-Jan-16 Suspension 6-Jan-16 Julia (Securities A Exchange Commission (SEC). Caution 2 Suspension 6-Jan-16 Julia (Securities A Exchange Commission (SEC). Caution 2 Suspension 6-Jan-16 Julia (Securities A Exchange Commission (SEC). Caution 2 Suspension 6-Jan-16 Julia (Securities A Exchange Commission (SEC). Caution 2 Suspension 6-Jan-16 Julia (Securities A Exchange Commission (SEC). Caution 2 Suspension 6-Jan-16 Julia (Securities A Exchange Commission (SEC). Caution 2 Suspension 6-Jan-16 Julia (Securities A Exchange Commission (SEC). Caution 2 Suspension 6-Jan-16 Julia (Securities A Exchange Commission (SEC). Caution 2 Suspension 6-Jan-16 Julia (Securities A Exchange Commission (SEC). Caution 2 Suspension 6-Jan-16 Julia (Securities A Exchange Commission (SEC). Caution 2 Susp	20	Mayfield Investment Limited	Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
Securities Sec	21	Milestone Capital Management Limited	Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
Securities & Exchange Commission (SEC) Suspension 6-Jan-16	22	Options Securities Limited	Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
Securities & Instrument Securities & Exchange Commission (SEC). Rowet Capital Management Limited Suspension From Inhas not compiled with the minimum capital requirement of The Suspension From Inhas not compiled with the minimum capital requirement of The Suspension From Inhas not compiled with the minimum capital requirement of The Suspension From Inhas not compiled with the minimum capital requirement of The Suspension From Inhas not compiled with the minimum capital requirement of The Suspension From Inhas not compiled with the minimum capital requirement of The Suspension From Inhas not compiled with the minimum capital requirement of The Suspension From Inhas not compiled with the minimum capital requirement of The Suspension From Inhas not compiled with the minimum capital requirement of The Suspension From Inhas not compiled with the minimum capital requirement of The Suspension From Inhas not compiled with the minimum capital requirement of The Suspension From Inhas not compiled with the minimum capital requirement of The Suspension From Inhas not compiled with the minimum capital requirement of The Suspension From Inhas not compiled with the minimum capital requirement of The Suspension From Inhas not compiled with the minimum capital requirement of The Suspension From Inhas not compiled with the minimum capital requirement of The Suspension From Inhas not compiled with the minimum capital requirement of The Suspension From Inhas not compiled with the minimum capital requirement of The Suspension From Inhas not compiled with the minimum capital requirement of The Suspension From Inhas not compiled with the minimum capital requirement of The Suspension From Inhas not compiled with the minimum capital requirement of The Suspension From Inhas not compiled with the minimum capital requirement of The Suspension From Inhas not compiled with the minimum capital requirement of The Suspension From Inhas not compiled with the minimum capital requirement of The Suspension From Inhas not	23	Perfecta Investment Trust Limited	Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
Securities & Exchange Commission (SEC). Suspension 6-Jan-16 Royal Crest Finance Limited The firm has not complied with the minimum capital requirement of The Suspension 6-Jan-16 The firm has not complied with the minimum capital requirement of The Suspension 6-Jan-16 WCM Capital Limited The firm has not complied with the minimum capital requirement of The Suspension 6-Jan-16 WCM Capital Limited The firm has not complied with the minimum capital requirement of The Suspension 6-Jan-16 WCM Capital Limited The firm has not complied with the minimum capital requirement of The Suspension 6-Jan-16 Suspension 6-Jan-16 Suspension 7-Jan-16 WCM Capital Limited Rule 10.7 Rule 6.11 Suspension 7-Jan-16 Suspension 8-Jan-16 Suspension 8-Jan-16 Suspension 7-Jan-16 Accurate Suspension 7-Jan-16 Ac	24	Resort Securities & Trust Limited	Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
Sequrities & Exchange Commission (SEC). The firm has not compiled with the minimum capital requirement of The Suspension Pan-16 WCM Capital Limited The Securities & Exchange Commission (SEC). RVM Capital Limited Suspension Pan-16 WCM Capital Limited Rule 10.7 Rule 10.7 Rule 10.1 Rule 10.1 Rule 10.1 Rule 6.11 Rule 6.13 Rule 6.13 Rule 6.13 Rule 6.13 Rule 6.13 Rule 6.14 Rule 6.14 Rule 6.15 Rule 6.16 Rule 6.16 Rule 6.17 Rule 6.17 Rule 6.17 Rule 6.18 Rule 6.19 Rule 6.19 Rule 6.10 Rule 6.11 Rule 7.4 Suspension 17-Feb-16 Rule 7.4 Rule 7.4 Rule 7.4 Suspension 17-Feb-16 Rule 7.4 Suspension 17-Feb-	25	Rowet Capital Management Limited	Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
Securities & Exchange Commission (SEC). Suspension 6-Jan-16	26	Royal Crest Finance Limited	Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
Securities & Exchange Commission (SEC). Suppersion 6-Jan-1b			Securities & Exchange Commission (SEC).	·	
Sell Securities Limited		•	Securities & Exchange Commission (SEC).	·	
Securities Limited Rule 6.11 Suspension 5-Feb-16					
Transworld Investment & Securities Limited The firm does not have an authorized clerk. Suspension 8-Feb-16 Suspension 17-Feb-16 Suspension 17-Feb	31	BGL Securities Limited	Rule 6.11		
34 Cadington Securities Limited 35 Adamawa Securities Limited 36 Carne Securities Limited 37 Resort Securities Limited 38 Mainland Trust Limited 39 Shalom Investment & Financial Services Limited 40 ECL Asset Management Limited 41 Finmal Finance Services Limited 42 Tower Asset Management Limited 43 Aims Asset Management Limited 44 Amyn Investment Limited 55 Bauchi Investment Corp. Sec Limited 56 Rule 7.4 57 CEB Securities Limited 57 Resort Securities Securities Asset Management Limited 58 Rule 7.4 50 Suspension 50 17-Feb-16 51 Gombe Securities Limited 51 Gombe Securities Limited 52 Kakawa Asset Management Limited 53 Rule 7.4 50 Suspension 50 17-Feb-16 51 Gombe Securities Limited 53 Rule 7.4 50 Suspension 50 17-Feb-16 51 Gombe Securities Limited 53 Rule 7.4 50 Suspension 50 17-Feb-16 51 Gombe Securities Limited 53 Rule 7.4 50 Suspension 50 17-Feb-16 51 Gombe Securities Limited 53 Rule 7.4 50 Suspension 50 17-Feb-16 51 Gombe Securities Limited 51 Rule 7.4 50 Suspension 50 17-Feb-16 51 Gombe Securities Limited 51 Rule 7.4 50 Suspension 50 17-Feb-16 51 Gombe Securities Limited 51 Rule 7.4 50 Suspension 50 17-Feb-16 51 Suspension 50 Feb-16 51 Rule 7.4 50 Suspension 50 Feb-16 51 Rule 7.4 50 Suspension 50 Feb-16 51 Suspension 50 Feb-16 51 Rule 7.4 50 Suspension 50 Feb-16 51 Suspension 50 F					
Suspension 17-Feb-16					
36 Crane Securities Limited Rule 7.4 Suspension 17-Feb-16 37 Resort Securities & Trust Limited Rule 7.4 Suspension 17-Feb-16 38 Mainland Trust Limited Rule 7.4 Suspension 17-Feb-16 39 Shalom Investment & Financial Services Limited Rule 7.4 Suspension 17-Feb-16 40 ECL Asset Management Limited Rule 7.4 Suspension 17-Feb-16 41 Finnal Finance Services Limited Rule 7.4 Suspension 17-Feb-16 42 Tower Asset Management Limited Rule 7.4 Suspension 17-Feb-16 43 Aims Asset Management Limited Rule 7.4 Suspension 17-Feb-16 44 Amyn Investment Limited Rule 7.4 Suspension 17-Feb-16 45 Bauchi Investment Limited Rule 7.4 Suspension 17-Feb-16 46 Cadington Securities Limited Rule 7.4 Suspension 17-Feb-16 47 CEB Securities Limited Rule 7.4 Suspension 17-Feb-16 48 Covenant Securities Limited Rule 7.4 Suspension 17-Feb-16 49 Excel Securities Limited Rule 7.4 Suspension<				•	
37 Resort Securities & Trust Limited 38 Mainland Trust Limited 39 Shalom Investment & Financial Services Limited 39 Shalom Investment & Financial Services Limited 40 ECL Asset Management Limited 41 Finmal Finance Services Limited 42 Tower Asset Management Limited 43 Aims Asset Management Limited 44 Amyn Investment Limited 45 Bauchi Investment Corp. Sec Limited 46 Rule 7.4 4 Amyn Investment Limited 46 Cadington Securities Limited 47 CEB Securities Limited 48 Rule 7.4 49 Covenant Securities Limited 49 Covenant Securities Limited 40 Cadington Securities Limited 41 Suspension 42 Tower Asset Management Limited 43 Aims Asset Management Limited 44 Amyn Investment Corp. Sec Limited 45 Bauchi Investment Corp. Sec Limited 46 Cadington Securities Limited 47 CEB Securities Limited 48 Covenant Securities Limited 49 Excel Securities Limited 50 GMT Securities & Asset Management Limited 51 Gombe Securities Limited 52 Kakawa Asset Management Limited 53 Mat Securities Limited 54 Rule 7.4 55 Suspension 56 Amerov Securities Limited 57 Rule 7.4 58 Suspension 58 Rule 7.4 58 Suspension 59 GMT Securities Limited 50 GMT Securities Limited 51 Gombe Securities Limited 52 Kakawa Asset Management Limited 53 Mat Securities Limited 54 Mercov Securities Limited 55 Rule 7.4 55 Suspension 56 Suspension 57 Feb-16 58 Amerov Securities Limited 59 Rule 7.4 50 Suspension 50 Suspension 51 Feb-16 52 Kakawa Suspension 51 Feb-16 53 Mat Securities Limited 54 Mercov Securities Limited 55 Rule 7.4 55 Suspension 57 Feb-16 58 Suspension 57 Feb-16 59 Mercov Securities Limited 50 Suspension 57 Feb-16 50 Suspension 57 Feb-16 58 Suspension 57 Feb-16 59 Mercov Securities Limited 50 Suspension 57 Feb-16 50 Suspension 57 Feb-16 58 Suspension 57 Feb-16 59 Mercov Securities Limited 50 Suspension 57 Feb-16 50 Suspension 57 Feb-16 58 Suspension 57 Feb-16 59 Suspension 57 Feb-16 50 Suspension 57 Feb-16 58 Suspension 57 Feb-16 59 Mercov Securities Limited 50 Suspension 57 Feb-16 50 Suspension 57 Feb-16 58 Suspension 57 Feb-16 59 Suspension 57 Feb-16 59 Suspension 57 Feb-					
39 Shalom Investment & Financial Services Limited 40 ECL Asset Management Limited 41 Finand Finance Services Limited 42 Tower Asset Management Limited 43 Aims Asset Management Limited 44 Amyn Investment Limited 45 Bauchi Investment Corp. Sec Limited 46 Cadington Securities Limited 47 CEB Securities Limited 48 Covenant Securities Limited 49 Excel Securities Limited 40 ECL Asset Management Limited 50 GMT Securities & Asset Management Limited 61 Rule 7.4 62 Suspension 63 Suspension 64 Suspension 65 GMT Securities Limited 66 Rule 7.4 67 CEB Securities Limited 67 Suspension 68 Suspension 77-Feb-16 79 Excel Securities Limited 70 Suspension 77-Feb-16 70 GMT Securities & Asset Management Limited 70 Rule 7.4 71 Suspension 71 Feb-16 72 Suspension 73 Feb-16 74 Suspension 74 Feb-16 75 GMT Securities Limited 75 Suspension 75 Feb-16 76 Suspension 77 Feb-16 77 Feb-16 78 Suspension 77 Feb-16 78 Suspension 77 Feb-16 79 Suspension 77 Feb-16 79 Suspension 77 Feb-16 79 Suspension 77 Feb-16 79 Suspension 77 Feb-16 70 GMT Securities Wasset Management Limited 70 Suspension 77 Feb-16 71 Suspension 77 Feb-16 72 Kakawa Asset Management Limited 73 Matc Securities Limited 74 Suspension 77 Feb-16 75 Mercov Securities Limited 75 Suspension 77 Feb-16 78 Mercov Securities Limited 79 Suspension 77 Feb-16 79 Mercov Securities Limited 70 Suspension 77 Feb-16 70 Mercov Securities Limited 70 Suspension 71 Feb-16 71 Suspension 71 Feb-16 72 Mercov Securities Limited 73 Matc Securities Limited 74 Suspension 77 Feb-16 78 Mercov Securities Limited 79 Suspension 71 Feb-16 70 Suspension 71 Feb-16 71 Suspension 71 Feb-16 72 Suspension 71 Feb-16 73 Mercov Securities Limited 74 Suspension 71 Feb-16 72 Suspension 71 Feb-16 73 Mercov Securities Limited 74 Suspension 71 Feb-16 72 Suspen					
40 ECL Asset Management Limited Rule 7.4 Suspension 17-Feb-16 41 Finmal Finance Services Limited Rule 7.4 Suspension 17-Feb-16 42 Tower Asset Management Limited Rule 7.4 Suspension 17-Feb-16 43 Aims Asset Management Limited Rule 7.4 Suspension 17-Feb-16 44 Amyn Investment Limited Rule 7.4 Suspension 17-Feb-16 45 Bauchi Investment Corp. Sec Limited Rule 7.4 Suspension 17-Feb-16 46 Cadington Securities Limited Rule 7.4 Suspension 17-Feb-16 47 CEB Securities Limited Rule 7.4 Suspension 17-Feb-16 48 Covenant Securities Limited Rule 7.4 Suspension 17-Feb-16 49 Excel Securities Limited Rule 7.4 Suspension 17-Feb-16 49 Excel Securities Limited Rule 7.4 Suspension 17-Feb-16 50 GMT Securities & Asset Management Limited Rule 7.4 Suspension 17-Feb-16 51 Gombe Securities Limited Rule 7.4 Suspension 17-Feb-16 52 Kakawa Asset Management Limited Rule 7.4 Suspension 17-Feb-16 53 Mact Securities Limited				•	
41 Finnal Finance Services Limited Rule 7.4 Suspension 17-Feb-16 42 Tower Asset Management Limited Rule 7.4 Suspension 17-Feb-16 43 Aims Asset Management Limited Rule 7.4 Suspension 17-Feb-16 44 Amyn Investment Limited Rule 7.4 Suspension 17-Feb-16 45 Bauchi Investment Corp. Sec Limited Rule 7.4 Suspension 17-Feb-16 46 Cadington Securities Limited Rule 7.4 Suspension 17-Feb-16 47 CEB Securities Limited Rule 7.4 Suspension 17-Feb-16 48 Covenant Securities & Asset Management Limited Rule 7.4 Suspension 17-Feb-16 49 Excel Securities Limited Rule 7.4 Suspension 17-Feb-16 50 GMT Securities & Asset Management Limited Rule 7.4 Suspension 17-Feb-16 51 Gombe Securities Management Limited Rule 7.4 Suspension 17-Feb-16 52 Kakawa Asset Management Limited Rule 7.4 Suspension 17-Feb-16 53 Mact Securities Limited Rule 7.4 Suspension 17-Feb-16 54 Mercov Securities Limited Rule 7.4 Suspension 17-Feb-16					
42 Tower Asset Management Limited Rule 7.4 Suspension 17-Feb-16 43 Aims Asset Management Limited Rule 7.4 Mmyn Investment Limited Rule 7.4 Suspension 17-Feb-16 45 Bauchi Investment Corp. Sec Limited Rule 7.4 Suspension 17-Feb-16 46 Cadington Securities Limited Rule 7.4 Suspension 17-Feb-16 47 CEB Securities Limited Rule 7.4 Suspension 17-Feb-16 48 Covenant Securities & Asset Management Limited Rule 7.4 Suspension 17-Feb-16 49 Excel Securities Limited Rule 7.4 Suspension 17-Feb-16		•			
44 Amyn Investment Limited Rule 7.4 Suspension 17-Feb-16 45 Bauchi Investment Corp. Sec Limited Rule 7.4 Suspension 17-Feb-16 46 Cadington Securities Limited Rule 7.4 Suspension 17-Feb-16 47 CEB Securities Limited Rule 7.4 Suspension 17-Feb-16 48 Covenant Securities Limited Rule 7.4 Suspension 17-Feb-16 49 Excel Securities Limited Rule 7.4 Suspension 17-Feb-16 50 GMT Securities & Asset Management Limited Rule 7.4 Suspension 17-Feb-16 51 Gombe Securities Limited Rule 7.4 Suspension 17-Feb-16 52 Kakawa Asset Management Limited Rule 7.4 Suspension 17-Feb-16 53 Mact Securities Limited Rule 7.4 Suspension 17-Feb-16 54 Mercov Securities Limited Rule 7.4 Suspension 17-Feb-16					
45 Bauchi Investment Corp. Sec Limited Rule 7.4 Suspension 17-Feb-16 46 Cadington Securities Limited Rule 7.4 Suspension 17-Feb-16 47 CEB Securities Limited Rule 7.4 Suspension 17-Feb-16 48 Coverant Securities & Asset Management Limited Rule 7.4 Suspension 17-Feb-16 49 Excel Securities Limited Rule 7.4 Suspension 17-Feb-16 50 GMT Securities & Asset Management Limited Rule 7.4 Suspension 17-Feb-16 51 Gombe Securities Limited Rule 7.4 Suspension 17-Feb-16 52 Kakawa Asset Management Limited Rule 7.4 Suspension 17-Feb-16 53 Mact Securities Limited Rule 7.4 Suspension 17-Feb-16 54 Mercov Securities Limited Rule 7.4 Suspension 17-Feb-16					
46 Cadington Securities Limited Rule 7.4 CEB Securities Limited Rule 7.4 Rule 7.4 Suspension 17-Feb-16 Rule 7.4 Suspension 17-Feb-16 Rule 7.4 Suspension 17-Feb-16 Rule 7.4 Suspension 17-Feb-16 Suspension 17-Feb-16 Suspension 17-Feb-16 Suspension 17-Feb-16 Rule 7.4 Suspension 17-Feb-16 Suspension 17-Feb-16 Suspension 17-Feb-16 Suspension 17-Feb-16 Suspension 17-Feb-16 Suspension 17-Feb-16		·			
47 CEB Securities Limited Rule 7.4 Supension 17-Feb-16 48 Covenant Securities & Asset Management Limited Rule 7.4 Suspension 17-Feb-16 49 Excel Securities Limited Rule 7.4 Suspension 17-Feb-16 Aut Suspension 17-Feb-16 Suspension 17-Feb-16 Rule 7.4 Suspension 17-Feb-16 Suspension 17-Feb-16 Suspension 17-Feb-16 Aut Securities Limited Rule 7.4 Suspension 17-Feb-16 Suspension 17-Feb-16 Suspension 17-Feb-16		·			
48 Covenant Securities & Asset Management Limited 49 Excel Securities Limited 50 GMT Securities & Asset Management Limited 51 Gombe Securities Limited 52 Kakawa Asset Management Limited 53 Mact Securities Limited 54 Mercov Securities Limited 55 Rule 7.4 56 Suspension 57-Feb-16 58 Suspension 59 Suspension 50 Suspension 50 Suspension 50 Suspension 51 Feb-16 52 Rule 7.4 53 Mact Securities Limited 54 Mercov Securities Limited 55 Rule 7.4 56 Suspension 57 Feb-16 58 Suspension 59 Suspension 50 Suspension 50 Suspension 50 Suspension 51 Feb-16 52 Macrov Securities Limited 53 Macrov Securities Limited 54 Mercov Securities Limited 55 Suspension 56 Suspension 57 Feb-16 58 Suspension 58 Suspension 59 Suspension 59 Suspension 50 Suspension 50 Suspension 50 Suspension 50 Suspension 50 Suspension 51 Feb-16				•	
49 Excel Securities Limited Rule 7.4 Suspension 17-Feb-16 50 GMT Securities & Asset Mangement Limited Rule 7.4 Suspension 17-Feb-16 51 Gombe Securities Limited Rule 7.4 Suspension 17-Feb-16 52 Kakawa Asset Management Limited Rule 7.4 Suspension 17-Feb-16 53 Mact Securities Limited Rule 7.4 Suspension 17-Feb-16 54 Mercov Securities Limited Rule 7.4 Suspension 17-Feb-16					
51 Gombe Securities Limited Rule 7.4 Suspension 17-Feb-16 52 Kakawa Asset Management Limited Rule 7.4 Suspension 17-Feb-16 53 Mact Securities Limited Rule 7.4 Suspension 17-Feb-16 54 Mercov Securities Limited Rule 7.4 Suspension 17-Feb-16 55 Mercov Securities Limited Rule 7.4 Suspension 17-Feb-16		•	Rule 7.4		17-Feb-16
52Kakawa Asset Management LimitedRule 7.4Suspension17-Feb-1653Mact Securities LimitedRule 7.4Suspension17-Feb-1654Mercov Securities LimitedRule 7.4Suspension17-Feb-16				•	
53 Mact Securities Limited Rule 7.4 Suspension 17-Feb-16 54 Mercov Securities Limited Rule 7.4 Suspension 17-Feb-16					
54 Mercov Securities Limited Rule 7.4 Suspension 17-Feb-16					

= 0		la		47.51.46
	ML Securities Limited	Rule 7.4	Suspension	17-Feb-16
57 P	Profund Securities Limited	Rule 7.4	Suspension	17-Feb-16
58 R	Regency Finance Limited	Rule 7.4	Suspension	17-Feb-16
-	Stanwal Securities Limited	Rule 7.4	Suspension	17-Feb-16
	/ision Trust & Investment Limited	Rule 7.4	Suspension	17-Feb-16
61 V	Vaila Securities and Funds Limited	Rule 7.4	Suspension	17-Feb-16
62 V	Nema Asset Management Limited	Rule 7.4	Suspension	17-Feb-16
-	•	Rule 7.4		17-Feb-16
	Sytofel Trust & Securities Limited		Suspension	
64 LI	B Securities Limited	Rule 7.4	Suspension	17-Feb-16
65 L	.MB Stockbrokers Limited	Rule 7.4	Suspension	17-Feb-16
66 R	Redasel Investments Limited	Rule 7.4	Suspension	17-Feb-16
-	JIDC Securities Limited	Rule 7.4	Suspension	17-Feb-16
68 F	First Alstate Securities Limited	Rule 7.4	Suspension	17-Feb-16
69 S	Supra Commercial Trust Company Limited	Rule 7.4	Suspension	17-Feb-16
	Heritage Capital Markets Limited	Rule 15.3	Suspension	17-Feb-16
-	•			
	orte Financial Limited	Rule 15.3	Suspension	7-Mar-16
72 F	orte Financial Limited	Rule 15.3	Caution	10-Mar-16
		The firm has not complied with the minimum capital requirement of The		
73 D	Delords Securities Limited	Securities & Exchange Commission (SEC).	Suspension	29-Mar-16
74 G	Gruene Capital Limited	The firm has not complied with the minimum capital requirement of The	Suspension	30-Mar-16
,	Statile dapital Elimited	Securities & Exchange Commission (SEC).	Suspension	50 11101 20
		The firm has not complied with the minimum capital requirement of The		
75 P	Prominent Securities Limited	Securities & Exchange Commission (SEC).	Suspension	30-Mar-16
76.5	signet Investment & Securities Limited	The firm has not complied with the minimum capital requirement of The	Suspension	30-Mar-16
70 3	ignet investment & securities Elimited	Securities & Exchange Commission (SEC).	Suspension	30 Widi 10
		The firm has not complied with the minimum capital requirement of The		
77 S	standard Union Securities Limited	·	Suspension	30-Mar-16
$\vdash \vdash$		Securities & Exchange Commission (SEC).		
79 W	NCM Capital Limited	The firm has not complied with the minimum capital requirement of The	Suspension	30-Mar-16
, , , ,	Tom capital Ellinca	Securities & Exchange Commission (SEC).	Suspension	30 Ividi *10
79 D	Partnership Securities Limited	Rule 10.7	500,000.00	18-Apr-16
	Royal Crest Finance Limited	Rule 10.7	500,000.00	18-Apr-16
81 S	Shalom Investment & Financial Services Limited	Rule 10.7	500,000.00	18-Apr-16
-	Morgan Capital Securities Limited	Rule 17.16 (b)	Caution	28-Jul-16
83 E	CL Asset Management Limited	Rule 7.4	Suspension	12-Aug-16
84 T	ransafrica Financial Services Limited	Rule 7.4	Suspension	24-Aug-16
	ighthouse Asset Management Limited	Failure to restitute client	Suspension	25-Aug-16
-				
86 A	Amyn Investment Limited	Failure to restitute client	Suspension	29-Aug-16
87 N	Mutual Alliance Investment & Securities Limited	Failure buy back clients shares.	Suspension	5-Sep-16
	Partnership Securities Limited	Rule 19.12	Suspension	18-Oct-16
	nvestment One Stockbrokers International Limited	Rule 6.11	100,000.00	20-Oct-16
90 N	MorganCapital Securities Limited	Rule 19.5	Suspension	21-Oct-16
-	CL Asset Management Limited	Rule 8.9 (b)	500,000.00	16-Nov-16
	CL Asset Management Limited	Rule 11.6	500,000.00	25-Nov-16
93 A	Amyn Investment Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
-	ntegrated Trust & Invests Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
-	Clearview Investments & Securities Ltd	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
96 N	Maven Asset Management Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
97 R	Best link Investment Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
-	Cadington Securities Limited			28-Nov-16
		Failure to comply with the Minimum Operating Standards (MOS)	Suspension	
99 G	GMT Securities & Asset Management Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
100 N	Mercov Securities Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
101 R	Resano Securities Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
	stanwal Securities Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
103 T	ransafrica Financial Services Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
104 U	JIDC Securities Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
	Summa Guaranty & Trust Co. Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
106 Y	'uderb Investments & Securities Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
l T				
107 T	Tower Asset Management Limited	The firm failed to submit requested documents in relation to its	Suspension	9-Dec-16
10/ 1	ower Asset Management Limited	connection in a charge of money laundering being prosecuted by the EFCC.	Suspension	2-DEC-10
l				
108 ^	APT Securites & Funds Limited	Rule 15.3	Suspension	22-Dec-16
A			Suspension	
109 H	Heritage Capital Markets Limited	This is a directive of The Securities & Exchange Commission (SEC)	Suspension	23-Dec-16
		2017		
L		2017		
		The firm has been deregistered by the Securities & Exchange Commission	Expulsion and revocation of its Dealing	-
1 A	Allbond Investment Limited	- · · · · · · · · · · · · · · · · · · ·	-	26-Jan-17
igsquare		(SEC) as a Capital Market Operator (CMO).	Member License	
3 0	Cancalidated Investment Limited	The firm has been deregistered by the Securities & Exchange Commission	Expulsion and revocation of its Dealing	26 lan 17
20	Consolidated Investment Limited	(SEC) as a Capital Market Operator (CMO).	Member License	26-Jan-17
\vdash		The firm has been deregistered by the Securities & Exchange Commission	Expulsion and revocation of its Dealing	
3 D	Dakal Services Limited	- · · · · · · · · · · · · · · · · · · ·	-	26-Jan-17
تلتط		(SEC) as a Capital Market Operator (CMO).	Member License	
4 E	ini Carital Bassassa Limita I	The firm has been deregistered by the Securities & Exchange Commission	Expulsion and revocation of its Dealing	26 1 47
$\vdash \vdash$	mi Capital Resources Limited	- · · · · · · · · · · · · · · · · · · ·	-	26-Jan-17
	Emi Capital Resources Limited	(SEC) as a Capital Market Operator (CMO).	Member License	26-Jan-17
5 Fi	•	(SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission	Member License Expulsion and revocation of its Dealing	26-Jan-17 26-Jan-17
5 F	imi Capital Resources Limited	(SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Member License Expulsion and revocation of its Dealing Member License	
	First Equity Securities Ltd	(SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission	Member License Expulsion and revocation of its Dealing	26-Jan-17
	•	(SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission	Member License Expulsion and revocation of its Dealing Member License Expulsion and revocation of its Dealing	
	First Equity Securities Ltd	(SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Member License Expulsion and revocation of its Dealing Member License Expulsion and revocation of its Dealing Member License	26-Jan-17
6 lc	First Equity Securities Ltd deal Securities Limited	(SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission	Member License Expulsion and revocation of its Dealing Member License Expulsion and revocation of its Dealing Member License Expulsion and revocation of its Dealing	26-Jan-17 26-Jan-17
6 lc	First Equity Securities Ltd	(SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Member License Expulsion and revocation of its Dealing Member License Expulsion and revocation of its Dealing Member License	26-Jan-17
6 lc	deal Securities Limited Maninvest Asset Management Plc.	(SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Member License Expulsion and revocation of its Dealing Member License Expulsion and revocation of its Dealing Member License Expulsion and revocation of its Dealing Member License	26-Jan-17 26-Jan-17 26-Jan-17
6 lc	First Equity Securities Ltd deal Securities Limited	(SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Member License Expulsion and revocation of its Dealing	26-Jan-17 26-Jan-17
6 lc	deal Securities Limited Maninvest Asset Management Plc.	(SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Member License Expulsion and revocation of its Dealing Member License	26-Jan-17 26-Jan-17 26-Jan-17
6 Ic	deal Securities Limited Maninvest Asset Management Plc. Metropolitan Trust Nigeria Limited	(SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Member License Expulsion and revocation of its Dealing	26-Jan-17 26-Jan-17 26-Jan-17 26-Jan-17
6 Ic	deal Securities Limited Maninvest Asset Management Plc.	(SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Member License Expulsion and revocation of its Dealing Member License	26-Jan-17 26-Jan-17 26-Jan-17
6 Ic	deal Securities Limited Maninvest Asset Management Plc. Metropolitan Trust Nigeria Limited	(SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Member License Expulsion and revocation of its Dealing Member License	26-Jan-17 26-Jan-17 26-Jan-17 26-Jan-17
6 Ic 7 M 8 M 9 O	deal Securities Limited Maninvest Asset Management Plc. Metropolitan Trust Nigeria Limited Omas Investment & Trust Company Limited	(SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Member License Expulsion and revocation of its Dealing	26-Jan-17 26-Jan-17 26-Jan-17 26-Jan-17
6 Ic 7 M 8 M 9 O	deal Securities Limited Maninvest Asset Management Plc. Metropolitan Trust Nigeria Limited	(SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Member License Expulsion and revocation of its Dealing Member License	26-Jan-17 26-Jan-17 26-Jan-17 26-Jan-17
6 lc 7 N 8 N 9 O	deal Securities Limited Maninvest Asset Management Plc. Metropolitan Trust Nigeria Limited Danas Investment & Trust Company Limited Pennisula Asset Management & Investment Company Limited	(SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Expulsion and revocation of its Dealing Member License	26-Jan-17 26-Jan-17 26-Jan-17 26-Jan-17 26-Jan-17
6 lc 7 N 8 N 9 O	deal Securities Limited Maninvest Asset Management Plc. Metropolitan Trust Nigeria Limited Omas Investment & Trust Company Limited	(SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Member License Expulsion and revocation of its Dealing	26-Jan-17 26-Jan-17 26-Jan-17 26-Jan-17 26-Jan-17

12	Securities Trading & Investments Limited	The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Expulsion and revocation of its Dealing Member License	26-Jan-17
13	Transglobe Investment & Finance Company Limited	The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Expulsion and revocation of its Dealing Member License	26-Jan-17
14	Tropics Securities Limited	The firm has been deregistered by the Securities & Exchange Commission	Expulsion and revocation of its Dealing	26-Jan-17
15	Wizetrade Capital & Asset Management Limited	(SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (FC) as Capital Market Operator (CMO).	Member License Expulsion and revocation of its Dealing	26-Jan-17
16	WT Securities Limited	(SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission (FC) as Capital Market Operator (CMO).	Member License Expulsion and revocation of its Dealing	26-Jan-17
17	Zuma Securities Limited	(SEC) as a Capital Market Operator (CMO). The firm has been deregistered by the Securities & Exchange Commission	Member License Expulsion and revocation of its Dealing	26-Jan-17
18	Bosson Capital Assets Limited	(SEC) as a Capital Market Operator (CMO). The firm has failed to activate its Dealing Member License.	Member License Expulsion and revocation of its Dealing	26-Jan-17
19	KFF Worldwide Solutions Limited	The firm has failed to activate its Dealing Member License.	Member License Expulsion and revocation of its Dealing Member License	26-Jan-17
20	Silver & Gold Securities Limited	The firm has failed to activate its Dealing Member License.	Expulsion and revocation of its Dealing Member License	26-Jan-17
21	First Alstate Securities Limited	Rule 11.9 and 11.10	Expulsion and revocation of its Dealing Member License	26-Jan-17
22	A.T.I.F Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
23	Abacus Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
24	ABC Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of	30-Mar-17
25	Akitorch Securities Limited	The license of the firm had previously been revoked by the Exchange.	The Exchange. Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
26	All Wealth Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
27	Apex Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
28	Asset Plus Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
29	Associated Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
30	Avon Finance and Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
31	Beachgroove Securities & Investments Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
32	Broadedge Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
33	Bullion Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
34	Cardinal Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
35	City Investment Management Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
36	Comment Finance & Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
37	Corporate Trust Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
38	Crown Merchant Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
39	Dalgo Investment & Trust Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
40	Devcom Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
41	Devserv Finance & Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
42	EBN Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
43	Equity securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
44	Farida Investment and Finance Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
45	Gilts and Hedge Finance Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
46	Global Investment & Sec Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
47	Goldworth Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
48	Haggai Investment & Trust Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
49	Halsec Finance Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
50	HP Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
51	Investicon Nigeria Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
52	Investment Resources Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
53	Island Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17

			Expelled as a Dealing Member Firm of	
54	Jenkins Investments Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
55	Kapital Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
56	Lozinger Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
57	M&M Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
58	M. J Securities & Investment Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
59	Majestic Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
60	Matrix Capital Management Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
61	MBA Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
62	MBCOM Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
63	Merchant Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
64	Metropolitan Trust Nigeria Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
65	MMB Securities & Trust Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
66	MMG Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
67	Nationwide Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
68	New Horizons Finance and Investment Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
69	Nigbel Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
70	Omega Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
71	Omnisource International Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
72	OpenGate Finance Company Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
73	Pacific Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
74	Pamal Finance Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
75	Peak Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
76	Prime Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of	30-Mar-17
77	Prudent Stockbrokers Limited	The license of the firm had previously been revoked by the Exchange.	The Exchange. Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
78	Royal Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
79	Source Finance and Trust Company Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
80	Supreme Finance & Investment Co. Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
81	Synergy and Assets Trust Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
82	Thomas Kinsley Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of	30-Mar-17
83	Tradestamp Securities Limited	The license of the firm had previously been revoked by the Exchange.	The Exchange. Expelled as a Dealing Member Firm of	30-Mar-17
	Trust Securities Limited	The license of the firm had previously been revoked by the Exchange.	The Exchange. Expelled as a Dealing Member Firm of	30-Mar-17
	Unit Trust Securities Limited	The license of the firm had previously been revoked by the Exchange.	The Exchange. Expelled as a Dealing Member Firm of	30-Mar-17
			The Exchange. Expelled as a Dealing Member Firm of	30-Mar-17
	Universal Securities Limited	The license of the firm had previously been revoked by the Exchange.	The Exchange. Expelled as a Dealing Member Firm of	
	Viva Securities Limited	The license of the firm had previously been revoked by the Exchange.	The Exchange. Expelled as a Dealing Member Firm of	30-Mar-17
	Wintrust Limited Cadington Securities Limited	The license of the firm had previously been revoked by the Exchange. Rule 11.1 and Rule 11.9	The Exchange. Caution	30-Mar-17 30-Mar-17
	TRW Stockbrokers Limited	Rule 11.1 and Rule 11.9 Rule 11.2	Caution	30-Mar-17
	Royal Crest Finance Limited	Failure to resolve a compliant	Suspension	6-Mar-17
	Mission Securities Limited Kofana Securities & Investment Limited	Rule 6.14 The firm has failed to comply with the minimum capital requirement of	100,000.00 Suspension	11-Apr-17 21-Apr-17
	PIPC Securities Limited	The Securities & Exchange Commission (SEC). The firm has failed to comply with the minimum capital requirement of	Suspension	21-Apr-17
	Maxifund Investment and Securities Plc	The Securities & Exchange Commission (SEC). The firm has failed to comply with the minimum capital requirement of The Societies & Eventuary Commission (SEC).	Suspension	21-Apr-17
	Adamawa Securities Limited	The Securities & Exchange Commission (SEC). Rule 8.9	500,000.00	8-May-17
	Bytofel Securities and Investment Limited	Rule 11.9 and 11.10	Expelled as a Dealing Member Firm of The Exchange and a fine of 582,365,000	25-May-17

	_			
98	PAC Securities Limited	Failure to provide material document for the merger between Standard	Caution	30-May-17
90	SFC Securities Limited	Alliance Insurance Plc and Standard Alliance Life Assurance Limited Rules 6.12(a)(2) and 6.14(c)	350,000.00	16-Jun-17
100	Marimpex Finance and Investment Company Limited	The firm is operating with only one (1) authorized clerk, Rule 8.9 and 6.11.	Suspension and 600,000.00	12-Sep-17
	Quantum Securities Limited	Rule 19.5	Suspension	15-Sep-17
102	Cordros Securities Limited	Rule 6.11 The firm has been deregistered by the Securities & Exchange Commission	100,000.00 Expulsion and revocation of its Dealing	18-Sep-17
103	Midland Capital Markets Limited	(SEC) as a Capital Market Operator (CMO).	Member License	19-Sep-17
104	Supra Commercial Trust Limited	Failure to comply with the directive at the All Parties Meeting (APM)	Suspension	16-Oct-17
105	Anchoria Investment and Securities Limited	Rule 6.12	250,000.00	7-Nov-17
106	Mission Securities Limited	Rule 6.11	Suspension and 100,000.00	23-Nov-17
		2018		
1	Standard Alliance Capital & Asset Management Limited	Rules 6.14 and 10.8	600,000.00	2-Jan-18
	Cashcraft Securities Limited	Rule 16.3 (f)	Caution	12-Jan-18
	Santrust Securities Limited	Rule 11.6	500,000.00	18-Jan-18
	Cashville Investments & Securities Ltd	Rule 11.6	500,000.00	19-Jan-18
	Midas Stockbrokers Limited	Rule 17.5(b)	Admonish	25-Jan-18 25-Jan-18
	Cadington Securities Limited Golden Securities Limited	Rules 13.1 and 19.2(q) Rule 8.9	Admonish 500,000.00	26-Jan-18
	Associated Asset Managers Limited	Rule 8.9	500,000.00	26-Jan-18
	Valueline Securities & Investments Limited	Rule 11.6 and Rule 6.12	750,000.00	1-Feb-18
10	Smadac Securities Limited	Rule 11.6	500,000.00	1-Feb-18
	FIS Securities Limited	KUIE 11.0 aliu Circular INO.INSE/LAND/BDN/CIN1/1//US/19.	750,000.00	1-Feb-18
	Security Swap Limited	Rule 11.6	500,000.00	2-Feb-18
	Standard Alliance Capital & Asset Management Limited Shelong Investment Limited	Rules 6.14 and 10.8 Rule 6.11(d)	Suspension 100,000.00	5-Feb-18 6-Feb-18
	Networth Securities & Finance Limited	Rule 11.6	500,000.00	9-Feb-18
	Fortress Capital Limited	Rule 11.6	500,000.00	14-Feb-18
17	Peace Capital Markets Limted	This is a directive from the Securities & Exchange Commission (SEC)	Suspension	22-Feb-18
	Adonai Stockbrokers Limited	Rule 7.4	5,000.00	23-Feb-18
	Falcon Securities Limited	Rule 7.4	5,000.00	23-Feb-18
	Primera Africa Securities Limited Traders Trust & Investment Co. Ltd	Rule 7.4 Rule 7.4	5,000.00 5,000.00	23-Feb-18 23-Feb-18
	Kedari Capital Limited	Rule 7.4	10,000.00	23-Feb-18
	Chapel Hill Denham Securities Limited	Rule 7.4	5,000.00	23-Feb-18
	Mainstreet Bank Securities Limited	Rule 7.4	30,000.00	23-Feb-18
	Heritage Capital Markets Limited Financial Trust Company Limited	Rule 7.4 Rule 7.4	30,000.00 30,000.00	23-Feb-18 23-Feb-18
	Morgan Capital Securities Limited	Rule 7.4	5,000.00	23-Feb-18
28	Newdevco Investment and Securities Limited	Rule 7.4	35,000.00	23-Feb-18
	GEM Assets Management Limited	Rule 7.4	10,000.00	23-Feb-18
	Falcon Securities Limited Fundvine Capital & Securities Limited	Rule 11.6 Rule 11.6	500,000.00 500,000.00	2-Mar-18 16-Mar-18
	Stanbic IBTC Stockbrokers Limited	Rule 15.38 (b)	Caution	19-Mar-18
	MBC Securities Limited	Rule 11.6	500,000.00	21-Mar-18
	Primera Africa Securities Limited	Rules 6.6 and 6.12	250,000.00	22-Mar-18
	Crossworld Securities Limited Solid Rock Securities & Invest. PLC	Rule 7.4 Rule 11.6	40,000.00 500,000.00	23-Mar-18 28-Mar-18
	Zion Stockbrokers & Securities Limited	Rule 11.6	500,000.00	
	TRW Stockbrokers Limited	Rule 11.6	500,000.00	3-Apr-18
39	Investment Shark & Asset Management Limited	Rule 6.14 and Rule 10.8	600,000.00	9-Apr-18
40	Rowet Capital Management Limited	The firm has failed to comply with the minimum capital requirement of	Suspension	10-Apr-18
		The Securities & Exchange Commission (SEC). The firm has failed to comply with the minimum capital requirement of		
41	Standard Alliance Capital & Asset Management Ltd	The Securities & Exchange Commission (SEC).	Suspension	10-Apr-18
42	Amyn Investments Limited	The firm was suspended based on findings from the RBS Inspections exercise and ongoing investigations being conducted on the firm by the Economic and Financial Crimes Commission (EFCC).	Suspension	11-Apr-18
43	Fundvine Capital & Securities Limited	Rule 6.14	100,000.00	16-Apr-18
44	Amyn Investments Limited	Rule 7.4	35,000.00	20-Apr-18
	Nova Finance & Securities Limited Pivot Capital Limited	Rule 7.4 Rule 11.6	10,000.00 500,000.00	20-Apr-18 24-Apr-18
	Amyn investments Limited	Rules 11.6 Rules 11.6 and 13.1d	550,000.00	24-Apr-18 24-Apr-18
	Resort Securities & Trust Limited	Rules 6.14, 10.7 and 10.8	600,000.00	4-May-18
	Investors & Trust Company Limited	Rule 7.4	135,000.00	4-May-18
	PSI Securities Limited	Rule 7.4	30,000.00	4-May-18
	Compass Investment & Securities Limited Regency Assets Management Limited	Rule 7.4 Rule 7.4	5,000.00 5,000.00	4-May-18 4-May-18
	Royal Crest Finance Limited	Rule 7.4	35,000.00	4-May-18
54	Royal Trust Securities Limited	Rule 7.4	70,000.00	4-May-18
	Sankore Securities Limited	Rule 7.4	135,000.00	4-May-18
	Heritage Capital Markets Limited Financial & Analytics Capital Limited	Rule 7.4 Rule 6.6	15,000.00 250,000.00	4-May-18 18-May-18
	Globalview Capital Limited	Rule 8.9	500,000.00	16-May-18
59	Investment One Stockbrokers International Limited	Rule 6.14	200, 000.00	25-May-18
	SFC Securities Limited	Rule 6.6 and Rule 6.9	200,000.00	19-Jun-18
	Rowet Capital Management Limited Cashcraft Securities Limited	Rule 11.6, 6.6 and 6.14 Rule 8.9	600,000.00 500,000.00	22-Jun-18 20-Jun-18
	Heritage Capital Markets Limited	Rule 8.9	500,000.00	23-Jun-18
64	Kundila Finance Services Limited	Rule 6.14	100,000.00	16-Jul-18
	Standard Union Securities Limited	Rule 6.6	100,000.00	16-Jul-18
	Lead Securities and Investment Limited Finmal Finance Services Limited	Rule 6.14 Rule 11.6	100,000.00 500,000.00	25-Jul-18 3-Aug-18
	Valmon Securities Limited	Rule 6.12	250,000.00	3-Aug-18 3-Aug-18

69 Topmost Securities Limited Rule 11.6 500,000.00 3-Aug-18				
70	Portfolio Advisers Limited	Rule 17.5(a) & (b)	1,000,000.00	24-Aug-18
	Capital Express Securities Limited Dominion Trust Limited	Rule 7.4 Rule 7.4	5,000.00	24-Aug-18 24-Aug-18
	Enterprise Stockbrokers Plc	Rule 7.4	5,000.00 5,000.00	24-Aug-18
	Adonai Stockbrokers Limited	Rule 7.4	20,000.00	24-Aug-18
	Helix Securities Limited Citi investment Capital Limited	Rule 7.4	15,000.00	24-Aug-18
	Resort Securities Limited	Rule 7.4 Rule 7.4	150,000.00 150,000.00	28-Aug-18 7-Sep-18
	Rencap Securities (Nig) Limited	Rule 7.4	5,000.00	12-Sep-18
	Quantum Zenith Securities & Investment Limited Kundila Fin Services Ltd	Rule 7.4	5,000.00	12-Sep-18
		Rule 7.4 The Firm is currently operating below the Minimum Capital Requirement	10,000.00	14-Sep-18
	Fundvine Capital & Securities Limited	for its licensed function (Broker Dealer).	Suspension	24-Sep-18
	Nova Finance & Securities Limited Nova Finance & Securities Limited	Rule 7.4 Rule 7.4	300,000.00 150,000.00	5-Oct-18 17-Oct-18
	Edgefield Capital Management	Rule 1.6 & Rule 17.5	1,500,000.00	2-Nov-18
84	City-Code Trust & Investment Limited	Rule 7.4	10,000.00	16-Nov-18
	First stockbrokers Limited Marimpex Finance & Investment Company Limited	Rule 7.4 Rule 7.4	10,000.00	16-Nov-18 16-Nov-18
	Kundila Finance Services Limited	Rule 7.4	140,000.00 5,000.00	16-Nov-18
88	Prime Wealth Capital Limited	Rule 7.4	5,000.00	16-Nov-18
	Royal Trust Securities Limited Traders Trust & Investment Co. Ltd	Rule 17.5 Rule 11.6	500, 000 500, 000	2-Nov-18 27-Dec-18
			The firm has been expelled as a Dealing	13-Dec-18
91	Andruche Investments Plc	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange.	13-Dec-18
	Angela Eccles Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	Associated Trust Investment & Finance Limited	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	Beaver Securities Limited	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	Betraco Securities Limited	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	Cobal Ventures Limited	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	Corporate Focus Securities Limited	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	Financial Intermediaries Limited	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	GF Securities Limited	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	IB Finance Limited	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	Integrated Securities Ltd	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	Integrated Ventures Nigeria Limited	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	Intercommerce and Consultant Limited	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	Investment & Capital Development Company Limited	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	Investment Trust Company Limited	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	Kamrash Securities Limited	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	Lakeside Asset Management Limited	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	M & F Investment & Securities Limited	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	Millonoium Investment Trust Limited	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	Millennium Investment Trust Limited Moji Securities & Investment Nigeria Limited	The license of the firm had previously been revoked by the Exchange. The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18 13-Dec-18
111	-	The license of the first had previously been revoked by the exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	12-060-10
112	Morgan Trust Asset Management Plc. (formerly known as IMB Morgan Plc and formerly known as IMB Securities Plc)	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	Multibank International Securities Limited	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	Nationwide Finance and International Securities Limited	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	Novelty Investment Limited	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	Optimus Finance and Securities Limited	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	Pabod Finance & Investment Company Limited	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	Pabofin Securities Limited	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	Path Securities & Investment Ltd	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	Shiroro Finance Ltd Tassal Finance & Investment Company	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	Tassel Finance & Investment Company Unique Securities & Finance Services Limited	The license of the firm had previously been revoked by the Exchange. The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18 13-Dec-18
	Upper Credit Securities and Investments Limited	The license of the firm had previously been revoked by the Exchange. The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	Wellsfargo Capital Limited	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
	Westland Investment Ltd	The license of the firm had previously been revoked by the Exchange.	Member firm of The Exchange. The firm has been expelled as a Dealing	13-Dec-18
123	Trestand investment Eta	The hourse of the firm had previously been revoked by the Exchange.	Member firm of The Exchange.	12 Dec-10

	Date to a constant of the cons	2019		46 1 15
1	Belfry Investments & Securities Limited	Default On Settlement Of Trade Obligations	Caution	11-Jan-19
2	Cordros Securities Limited	Submission of erroneous Monthly Stockbroking Transaction Reports for the periods ended 30 June, 31 July and 31 December 2018 respectively	Caution	18-Jan-19
3	Mercov Securities Limited	Failure to comply with the requirements of the Minimum Operating Standards (MOS) for Dealing Member Firms.	Revocation of Dealing license and expulsion as a Member of The Exchange.	31-Jan-19
4	Resano Securities Limited	Failure to comply with the requirements of the Minimum Operating Standards (MOS) for Dealing Member Firms.	Revocation of Dealing license and expulsion as a Member of The Exchange.	31-Jan-19
5	Transafrica Financial Services Limited	Failure to comply with the requirements of the Minimum Operating Standards (MOS) for Dealing Member Firms.	Revocation of Dealing license and expulsion as a Member of The Exchange.	31-Jan-19
6	TFS Securities & Investment Co Limited	Rule 7.4	Suspension	5-Feb-19
7	Skyview Capital Limited	Rule 11.6	500, 000	8-Feb-19
8	Kundila Finance Services Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	12-Feb-19
9	First Stockbrokers Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	12-Feb-19
10	Financial & Analytics Capital Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	12-Feb-19
11	GlobalView Capital Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	12-Feb-19
12	Primewealth Capital Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC). The firm has not complied with the minimum capital requirement of The	Suspension	12-Feb-19
	Nova Finance & Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	12-Feb-19 28-Feb-19
	ICMG Securities Limited	11.4(d)	500, 000	
	Heritage Capital Markets Ltd	Rule 11.6 The firm is apporting with only one (1) sutherized clark Rule 7.6, 0.3 (a) 8.	500, 000	1-Mar-19
	Marimpex Finance and Investment Company Limited MBL Financial Services Limited	The firm is operating with only one (1) authorized clerk, Rule 7.6, 9.3 (a) & The firm failed to notify The Exchange of the resignation of its Authorized Dealing Clerk, Rule 8.9, and Rule 6.14	Suspension Suspension	18-Apr-19 8-May-19
18	Premium Capital and Stockbrokers Limited	Rule 11.6	500, 000	10-May-19
19	Citi Investment Capital Limited	Rule 7.5	Suspension	13-May-19
	Growth & Development Asset Management Ltd (Formerly Express	Rule 7.5	Suspension	13-May-19
	Kinley Securities Limited Midas Stockbrokers Limited	Rule 7.5 Rule 7.5	Suspension Suspension	13-May-19 13-May-19
	Mission Securities Limited	Rule 7.5	Suspension	13-May-19
	Mayfield Investment Limited	Rule 7.4	Suspension	13-May-19
	Mainstreet Bank Securities Limited MBL Financial Services Limited	Rule 7.5 Rule 7.4, Rule7.5	Suspension Suspension	13-May-19 13-May-19
	TFS Securities & Investment Company Limited	Rule 7.4, Rule 7.5	Suspension	13-May-19
	Enterprise Stockbrokers Limited	Rule 7.4, Rule 7.5	Suspension	13-May-19
	Mainstreet Bank Securities Limited Nigerian International Securities Limited	Rule 11.6 Rule 11.6	500,000 500,000.00	24-May-19 28-May-19
	Mayfield Investment Limited	This a directive from The Securities & Exchange Commission (SEC) to suspend the firm for failing to comply with the Commission's directive regarding unauthorized sale of shares.	Suspension	
32	Bestworth Assets & Trust Limited	Rule 6.1 (b) subsection 7 – General Requirement	Suspension	15-Aug-19
	Gruene Capital Limited	Rule 6.1 (b) subsection 7 – General Requirement	Suspension	15-Aug-19
34	Milestone Capital Management Limited	Rule 6.1 (b) subsection 7 – General Requirement	Suspension	15-Aug-19
35	Portfolio Advisers Limited	Rule 6.1 (b) subsection 7 – General Requirement	Suspension	15-Aug-19
36	TFS Securities & Investment Company Limited	Rule 6.1 (b) subsection 7 – General Requirement	Suspension	15-Aug-19
37	CSL Stockbrokers Limited	Rule 6.11(d)	100,000.00	21-Aug-19
38	Enterprise Stockbrokers Limited	The firm was suspended further to the directive received from the Securities & Exchange Commission (SEC) for failing to satisfy the minimum capital required for its licensed function.	Suspension	12-Sep-19
39	Financial and Analytics Capital Limited	The firm was suspended further to the directive received from the Securities & Exchange Commission (SEC) for failing to satisfy the minimum capital required for its licensed function.	Suspension	12-Sep-19
40	Kundila Finance Services Limited	The firm was suspended further to the directive received from the Securities & Exchange Commission (SEC) for failing to satisfy the minimum capital required for its licensed function.	Suspension	12-Sep-19
41	MBL Financial Services Limited	The firm was suspended further to the directive received from the Securities & Exchange Commission (SEC) for failing to satisfy the minimum capital required for its licensed function.	Suspension	12-Sep-19
42	Milestone Capital Management Limited	The firm was suspended further to the directive received from the Securities & Exchange Commission (SEC) for failing to satisfy the minimum capital required for its licensed function.	Suspension	12-Sep-19
43	Nova Finance and Securities Limited	The firm was suspended further to the directive received from the Securities & Exchange Commission (SEC) for failing to satisfy the minimum capital required for its licensed function.	Suspension	12-Sep-19
44	Portfolio Advisers Limited	The firm was suspended further to the directive received from the Securities & Exchange Commission (SEC) for failing to satisfy the minimum capital required for its licensed function.	Suspension	12-Sep-19
45	TFS Securities & Investment Company Limited	The firm was suspended further to the directive received from the Securities & Exchange Commission (SEC) for failing to satisfy the minimum capital required for its licensed function.	Suspension	12-Sep-19
	Sankore Securities Limited	Rule 6.14	100,000.00	30-Sep-19
	Kedari Capital Limited	Rule 11.6	500,000.00	30-Sep-19
48	PSI Securities Limited	Rule 7.4	5,000.00	31-Oct-19

		•		
49	Chapel Hill Denham Securities Limited	Rule 7.4	5,000.00	31-Oct-19
50	Coronation Securities Limited	Rule 7.4	5,000.00	31-Oct-19
51	FIS Securities Limited	Rule 7.4	5,000.00	31-Oct-19
	City Code Trust & Investment Company Limited	Rule 7.4	5,000.00	31-Oct-19
	Crane Securities Limited	Rule 7.4	5,000.00	31-Oct-19
			,	
	Spring Trust & Securities Limited	Rule 7.4	5,000.00	31-Oct-19
	Dunn Loren Merrifield Securities Limited	Rule 7.4	5,000.00	31-Oct-19
56	Cowry Securities Limited	Rule 7.4	5,000.00	31-Oct-19
57	Kedari Capital Limited	Rule 7.4	5,000.00	31-Oct-19
	Networth Securities & Finance Limited	Rule 7.4	5,000.00	31-Oct-19
	Core Securities Limited	Rule 7.4	5,000.00	31-Oct-19
	Integrated Trust & Investment Limited	Rule 7.4		
			5,000.00	31-Oct-19
	Tomil Trust Limited	Rule 7.4	5,000.00	31-Oct-19
62	Maxifund Investment & Securities Plc	Rule 7.4	10,000.00	31-Oct-19
63	Milestone Capital Management Limited	Rule 7.4	5,000.00	31-Oct-19
64	Crane Securities Limited	The firm violated the following Rules as stated in the Rulebook of The Exchange, 2015 (Dealing Members' Rules): a) Rule 17.4: Zero-Tolerance Policy; b) Rule 19.12: Professional Misconduct; c) Rule 6.14: Notification of Change of Approved Persons; d) Rule 13.1: Record of Transactions and Right of Inspection; e) Rule 2.2: Annual Subscription and Fees; and f) Non-Compliance with the Minimum Operating Standards of The Exchange.	Suspension	1-Nov-19
65	PSI Securities Limited	Rule 7.4	5,000.00	1-Nov-19
	Chapel Hill Denham Securities Limited	Rule 7.4	5,000.00	1-Nov-19
	Coronation Securities Limited	Rule 7.4	5,000.00	1-Nov-19
68	FIS Securities Limited	Rule 7.4	5,000.00	1-Nov-19
69	City Code Trust & Investment Company Limited	Rule 7.4	5,000.00	1-Nov-19
	Crane Securities Limited	Rule 7.4	5,000.00	1-Nov-19
	Spring Trust & Securities Limited	Rule 7.4	-,	
			5,000.00	1-Nov-19
	Dunn Loren Merrifield Securities Limited	Rule 7.4	5,000.00	1-Nov-19
73	Cowry Securities Limited	Rule 7.4	5,000.00	1-Nov-19
74	Kedari Capital Limited	Rule 7.4	5,000.00	1-Nov-19
	Networth Securities & Finance Limited	Rule 7.4	5,000.00	1-Nov-19
	Core Securities Limited	Rule 7.4	5,000.00	1-Nov-19
	Integrated Trust & Investment Limited	Rule 7.4	5,000.00	1-Nov-19
	Tomil Trust Limited	Rule 7.4	5,000.00	1-Nov-19
79	Maxifund Investment & Securities Plc	Rule 7.4	10,000.00	1-Nov-19
80	Milestone Capital Management Limited	Rule 7.4	5,000.00	1-Nov-19
		Rule 7.4		4-Nov-19
	Capital Express Securities Limited		10,000.00	
	Centre Point Investment Limited	Rule 7.4	10,000.00	4-Nov-19
83	ICMG securities Limited	Rule 7.4	25,000.00	4-Nov-19
84	Rostrum Investment and Sec Limited	Rule 7.4	30,000.00	6-Nov-19
		Rule 7.4	, , ,	
85	Rowet Capital Mgt Limited	Rule 7.4	30,000.00	6-Nov-19
85 86	Rowet Capital Mgt Limited Capital Express Securities Limited	Rule 7.4	30,000.00 5,000.00	6-Nov-19 13-Nov-19
85 86 87	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited	Rule 7.4 Rule 7.4	30,000.00 5,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19
85 86 87 88	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited	Rule 7.4 Rule 7.4 Rule 7.4	30,000.00 5,000.00 5,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19
85 86 87 88	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited	Rule 7.4 Rule 7.4	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19
85 86 87 88 89	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited	Rule 7.4 Rule 7.4 Rule 7.4	30,000.00 5,000.00 5,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19
85 86 87 88 89	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19
85 86 87 88 89 90	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 50,000.00 Suspension	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 2-Dec-19
85 86 87 88 89 90 91	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension Suspension	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19
85 86 87 88 89 90 91 92 93	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension Suspension 160,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19
85 86 87 88 89 90 91 92 93	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension Suspension 160,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 12-Dec-19
85 86 87 88 89 90 91 92 93	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension Suspension 160,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19
85 86 87 88 89 90 91 92 93	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension Suspension 160,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 12-Dec-19
85 86 87 88 89 90 91 92 93	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension Suspension 160,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 12-Dec-19
85 86 87 88 89 90 91 92 93 94 95	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 11.9	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 5,000.00 Suspension	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 12-Dec-19 27-Dec-19
85 86 87 88 89 90 91 92 93 94 95	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk.	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 5,000.00 Suspension	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 12-Dec-19 27-Dec-19
85 86 87 88 89 90 91 92 93 94 95	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Midarimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 17.6 (e)	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 5,000.00 Suspension 160,000.00 Suspension Caution	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 12-Dec-19 27-Dec-19 15-Jan-20 30-Jan-20
85 86 87 88 89 90 91 92 93 94 95	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 17.6 (e) Rules 9.1, 9.3 and 15.12	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 5,000.00 Suspension 160,000.00 Suspension Caution	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 12-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20
85 86 87 88 89 90 91 92 93 94 95	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 17.6 (e) Rules 9.1, 9.3 and 15.12 Rules 6.12 and 6.14	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 5,000.00 Suspension Caution Caution 350,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 27-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 30-Jan-20
85 86 87 88 89 90 91 92 93 94 95	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 17.6 (e) Rules 9.1, 9.3 and 15.12	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 5,000.00 Suspension 160,000.00 Suspension Caution	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 12-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20
85 86 87 88 89 90 91 92 93 94 95	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 17.6 (e) Rules 9.1, 9.3 and 15.12 Rules 6.12 and 6.14	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 5,000.00 Suspension Caution Caution 350,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 27-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 30-Jan-20
85 86 87 88 89 90 91 92 93 94 95	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited ARM Securities Limited Camry Securities Limited Camry Securities Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 17.6 (e) Rules 9.1, 9.3 and 15.12 Rules 6.12 and 6.14 Rule 7.4 Rule 7.4	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 5,000.00 Suspension Caution Caution Caution 350,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 27-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 31-Jan-20 31-Jan-20 31-Jan-20 31-Jan-20
85 86 87 88 89 90 91 1 92 93 94 95	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited Aram Securities Limited Camry Securities Limited Camry Securities Limited Mainstreet Bank Securities Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 17.6 (e) Rules 9.1, 9.3 and 15.12 Rules 6.12 and 6.14 Rule 7.4	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 5,000.00 Suspension Caution Caution Caution 350,000.00 5,000.00 5,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 27-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 31-Jan-20 31-Jan-20 31-Jan-20 31-Jan-20 31-Jan-20
85 86 87 88 89 90 91 92 93 94 95 1 1 2 3 4 5 6	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited ARM Securities Limited Camry Securities Limited Mainstreet Bank Securities Limited Mega Equities Limited Mega Equities Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 17.6 (e) Rules 9.1, 9.3 and 15.12 Rules 6.12 and 6.14 Rule 7.4	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 5,000.00 Suspension Caution Caution Caution 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 27-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 31-Jan-20 31-Jan-20 31-Jan-20 31-Jan-20 31-Jan-20
85 86 87 88 89 90 91 92 93 93 4 95	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited ARM Securities Limited ARM Securities Limited Manistreet Bank Securities Limited Mega Equities Limited Mega Equities Limited Nova Finance & Securities Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 17.6 (e) Rules 9.1, 9.3 and 15.12 Rules 6.12 and 6.14 Rule 7.4	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 Suspension Caution Caution Caution 350,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 27-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 31-Jan-20
85 86 87 88 89 90 91 92 93 94 1 1 2 3 4 5 6 7 8	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Moral Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited ARM Securities Limited Camry Securities Limited Mainstreet Bank Securities Limited Mainstreet Bank Securities Limited Nova Finance & Securities Limited Nova Finance & Securities Limited PSI Securities Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 17.6 (e) Rules 9.1, 9.3 and 15.12 Rules 6.12 and 6.14 Rule 7.4	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 Suspension Caution Caution Caution 350,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 12-Dec-19 30-Jan-20 30-Jan-20 31-Jan-20
85 86 87 87 89 90 91 92 93 94 95 1 1 2 3 4 5 6 7 8 9	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited ARM Securities Limited Camry Securities Limited Mainstreet Bank Securities Limited Mega Equities Limited Mega Equities Limited Nova Finance & Securities Limited Skyview Capital Ltd	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 17.6 (e) Rules 9.1, 9.3 and 15.12 Rules 6.12 and 6.14 Rule 7.4	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 5,000.00 Suspension Caution Caution 350,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 27-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 31-Jan-20
85 86 87 88 88 99 90 91 92 3 94 95 1 1 2 3 4 5 6 7 8 8	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited Arust Securities Limited Carmy Securities Limited Mainstreet Bank Securities Limited Mega Equities Limited Nova Finance & Securities Limited PSI Securities Limited Skyview Capital Ltd The Bridge Securities Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 17.6 (e) Rules 9.1, 9.3 and 15.12 Rules 6.12 and 6.14 Rule 7.4	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 5,000.00 Suspension Caution Caution Caution 350,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 27-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 31-Jan-20
85 86 87 88 88 99 90 91 92 3 94 95 1 1 2 3 4 5 6 7 8 8	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited ARM Securities Limited Camry Securities Limited Mainstreet Bank Securities Limited Mega Equities Limited Mega Equities Limited Nova Finance & Securities Limited Skyview Capital Ltd	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 17.6 (e) Rules 9.1, 9.3 and 15.12 Rules 6.12 and 6.14 Rule 7.4	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 5,000.00 Suspension Caution Caution 350,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 27-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 31-Jan-20
85 86 87 88 89 90 91 92 93 3 4 95 6 7 8 9 9 11 1 1 2 3	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited Arust Securities Limited Carmy Securities Limited Mainstreet Bank Securities Limited Mega Equities Limited Nova Finance & Securities Limited PSI Securities Limited Skyview Capital Ltd The Bridge Securities Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 17.6 (e) Rules 9.1, 9.3 and 15.12 Rules 6.12 and 6.14 Rule 7.4	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 5,000.00 Suspension Caution Caution Caution 350,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 27-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 31-Jan-20
85 86 87 88 89 90 91 92 93 3 4 95 1 1 2 3 4 5 6 7 8 8 9 9 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited ARM Securities Limited ARM Securities Limited Mainstreet Bank Securities Limited Mega Equities Limited Nova Finance & Securities Limited Skyview Capital Ltd The Bridge Securities Limited Traders Trust & Investment Co. Limited Kedari Capital Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 17.6 (e) Rules 9.1, 9.3 and 15.12 Rules 6.12 and 6.14 Rule 7.4 Rule 7.5	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 Suspension 160,000.00 Suspension Caution Caution Caution 350,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 27-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 31-Jan-20
85 86 87 88 88 89 90 91 92 1 1 2 3 4 5 6 7 8 8 9 9 1 1 1 2 1 1 1 1 1 1 1 1 1 1 1 1 1 1	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited ARM Securities Limited Aams Securities Limited Mainstreet Bank Securities Limited Mega Equities Limited Mova Finance & Securities Limited PSI Securities Limited Skyview Capital Ltd The Bridge Securities Limited Traders Trust & Investment Co. Limited Kedari Capital Limited Dunn Loren Merrifield Securities	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 17.6 (e) Rules 9.1, 9.3 and 15.12 Rules 9.1, 9.3 and 15.14 Rule 7.4 Rule 7.5 Rule 7.5 Rule 7.5 Rule 17.5 Rule 17.5 Rule 6.12	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 Suspension Caution Caution Caution 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 31-Jan-20 4-Feb-20
85 86 87 88 89 90 91 92 93 94 95 1 1 2 3 4 5 6 7 8 9 9 10 11 12 11 12 13 14 15	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Midarimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Crown Capital Limited ARM Securities Limited Carmy Securities Limited Mainstreet Bank Securities Limited Mega Equities Limited Mova Finance & Securities Limited Skyview Capital Ltd The Bridge Securities Limited Traders Trust & Investment Co. Limited Kedari Capital Limited Dunn Loren Merrifield Securities Bestworth Assets & Trust Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 17.6 (e) Rules 9.1, 9.3 and 15.12 Rules 6.12 and 6.14 Rule 7.4 Rule 7.5 Rule 7.5 Rule 7.6 Rule 7.7 Rule 7.7 Rule 7.7 Rule 7.8 Rule 7.8 Rule 7.9 Rule 7.1	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 5,000.00 Suspension Caution Caution 350,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 12-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 31-Jan-20
85 86 87 88 89 90 91 92 3 94 95 1 1 1 2 3 4 5 6 7 8 8 9 90 1 1 1 1 2 1 1 1 1 1 1 1 1 1 1 1 1 1 1	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited Acamy Securities Limited Mainstreet Bank Securities Limited Mega Equities Limited Mova Finance & Securities Limited PSI Securities Limited Skyview Capital Ltd The Bridge Securities Limited Traders Trust & Investment Co. Limited Kedari Capital Limited Dunn Loren Merrifield Securities Bestworth Assets & Trust Limited ICMG Securities Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 17.6 (e) Rules 9.1, 9.3 and 15.12 Rules 6.12 and 6.14 Rule 7.4 Rule 7.5 Rule 7.6 Rule 17.5 Rule 17.5 Rule 6.12 Rule 6.12 Rule 11.6 Rule 7.4	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 5uspension 160,000.00 5,000.00 5uspension Caution Caution Caution 350,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 27-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 31-Jan-20
85 86 87 88 89 90 91 92 93 3 4 95 1 1 1 2 3 4 5 6 7 8 8 9 9 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited ARM Securities Limited ARM Securities Limited Mainstreet Bank Securities Limited Mega Equities Limited Nova Finance & Securities Limited PSI Securities Limited The Bridge Securities Limited Traders Trust & Investment Co. Limited Kedari Capital Limited Dunn Loren Merrifield Securities Bestworth Assets & Trust Limited Rowet Capital Management Ltd	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 (e) Rules 9.1, 9.3 and 15.12 Rules 6.12 and 6.14 Rule 7.4 Rule 7.5 Rule 6.12 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.5 Rule 6.12 Rule 17.5 Rule 6.12 Rule 11.6 Rule 17.4 Rule 7.4 Rule 7.4 Rule 7.7 Rule 7.4 Rule 7.5 Rule 6.12 Rule 11.6 Rule 7.4 Rule 7.4 Rule 7.4	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 5,000.00 Suspension Caution Caution Caution Caution 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 27-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 31-Jan-20
85 86 87 88 89 90 91 92 93 3 4 95 1 1 1 2 3 4 5 6 7 8 8 9 9 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited Acamy Securities Limited Mainstreet Bank Securities Limited Mega Equities Limited Mova Finance & Securities Limited PSI Securities Limited Skyview Capital Ltd The Bridge Securities Limited Traders Trust & Investment Co. Limited Kedari Capital Limited Dunn Loren Merrifield Securities Bestworth Assets & Trust Limited ICMG Securities Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 17.6 (e) Rules 9.1, 9.3 and 15.12 Rules 6.12 and 6.14 Rule 7.4 Rule 7.5 Rule 6.12 Rule 11.6 Rule 7.6 Rule 7.6 Rule 7.7 Rule 17.5 Rule 6.12 Rule 11.6 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 17.5 Rule 6.12 Rule 11.6 Rule 7.4	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 5uspension 160,000.00 5,000.00 5uspension Caution Caution Caution 350,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 12-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 31-Jan-20
85 86 87 88 89 90 91 92 93 3 4 95 1 1 2 3 4 5 6 7 8 8 9 9 1 1 1 2 1 1 1 1 1 1 1 1 1 1 1 1 1 1	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited ARM Securities Limited ARM Securities Limited Mainstreet Bank Securities Limited Mega Equities Limited Nova Finance & Securities Limited PSI Securities Limited The Bridge Securities Limited Traders Trust & Investment Co. Limited Kedari Capital Limited Dunn Loren Merrifield Securities Bestworth Assets & Trust Limited Rowet Capital Management Ltd	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 (e) Rules 9.1, 9.3 and 15.12 Rules 6.12 and 6.14 Rule 7.4 Rule 7.5 Rule 6.12 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.5 Rule 6.12 Rule 17.5 Rule 6.12 Rule 11.6 Rule 17.4 Rule 7.4 Rule 7.4 Rule 7.7 Rule 7.4 Rule 7.5 Rule 6.12 Rule 11.6 Rule 7.4 Rule 7.4 Rule 7.4	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 5,000.00 Suspension Caution Caution Caution Caution 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 27-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 31-Jan-20
85 86 87 88 89 90 91 92 1 1 2 3 3 4 5 6 7 7 8 9 9 10 11 12 11 12 13 14 15 16 17 18 18 18 18 18 18 18 18 18 18 18 18 18	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited ARM Securities Limited Aminstreet Bank Securities Limited Mainstreet Bank Securities Limited Mega Equities Limited Skyview Capital Ltd The Bridge Securities Limited Traders Trust & Investment Co. Limited Kedari Capital Limited Dunn Loren Merrifield Securities Limited Skyview Capital Ltd The Bridge Securities Limited Dunn Loren Merrifield Securities Bestworth Assets & Trust Limited CMG Securities Limited Royal Trust Securities Limited Royal Trust Securities Limited Royal Trust Securities Limited Arthur Stevens Asset Mgt Ltd	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 17.6 (e) Rules 9.1, 9.3 and 15.12 Rules 6.12 and 6.14 Rule 7.4 Rule 7.5 Rule 7.5 Rule 17.5 Rule 17.5 Rule 17.5 Rule 6.12 Rule 17.5 Rule 17.6 Rule 7.4 Rule 7.5 Rule 6.12 Rule 17.5 Rule 6.12 Rule 17.5 Rule 7.4 Rule 7.5 Rule 17.5 Rule 17.5	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 Suspension Caution Caution Caution 350,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 12-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 31-Jan-20 4-Feb-20 6-Feb-20 6-Feb-20 6-Feb-20 10-Feb-20
85 86 87 89 90 91 92 3 4 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited ARM Securities Limited Carny Securities Limited Mega Equities Limited Mova Finance & Securities Limited Mova Finance & Securities Limited Skyview Capital Ltd The Bridge Securities Limited Traders Trust & Investment Co. Limited Kedari Capital Limited Dunn Loren Merrifield Securities Bestworth Assets & Trust Limited ICMG Securities Limited Royal Trust Securities Limited Arthur Stevens Asset Mgt Ltd Heritage Capital Markets Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 17.6 (e) Rules 9.1, 9.3 and 15.12 Rules 9.1, 9.3 and 15.12 Rules 6.12 and 6.14 Rule 7.4 Rule 7.5 Rule 6.12 Rule 11.6 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 17.5 Rule 11.6 Rule 7.4 Rule 7.5 Rule 6.12 Rule 11.6 Rule 7.4 Rule 7.5 Rule 11.5	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 5,000.00 Suspension Caution Caution Caution 350,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 12-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 31-Jan-20
85 86 87 88 89 90 91 1 1 2 3 4 5 6 7 8 8 9 10 11 12 13 14 15 16 17 18 19 19 10 10 10 10 10 10 10 10 10 10 10 10 10	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited ARM Securities Limited Camry Securities Limited Mainstreet Bank Securities Limited Mega Equities Limited Nova Finance & Securities Limited PSI Securities Limited Skyview Capital Ltd The Bridge Securities Limited Traders Trust & Investment Co. Limited Kedari Capital Limited Dunn Loren Merrifield Securities Bestworth Assets & Trust Limited ICMG Securities Limited Royal Trust Securities Limited Arthur Stevens Asset Mgt Ltd Heritage Capital Management Ltd Royal Trust Securities Limited Magnartis Finance & Investment Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 17.6 (e) Rules 9.1, 9.3 and 15.12 Rules 9.1, 9.3 and 15.12 Rules 6.12 and 6.14 Rule 7.4 Rule 7.5 Rule 17.5 Rule 6.12 Rule 11.6 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 17.5	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 5uspension 160,000.00 5,000.00 5uspension Caution Caution Caution Caution 5,000.00 500,000.00 500,000.00 500,000.00 500,000.00 500,000.00 500,000.00 500,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 27-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 31-Jan-20
85 86 87 88 89 90 91 1 1 2 3 4 5 6 7 8 8 9 91 1 1 1 1 2 1 3 4 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited ARM Securities Limited Carny Securities Limited Mega Equities Limited Mova Finance & Securities Limited Mova Finance & Securities Limited Skyview Capital Ltd The Bridge Securities Limited Traders Trust & Investment Co. Limited Kedari Capital Limited Dunn Loren Merrifield Securities Bestworth Assets & Trust Limited ICMG Securities Limited Royal Trust Securities Limited Arthur Stevens Asset Mgt Ltd Heritage Capital Markets Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 7.4 Rule 9.1, 9.3 and 15.12 Rules 9.1, 9.3 and 15.12 Rule 7.4 Rule 7.5 Rule 6.12 Rule 7.4 Rule 7.5 Rule 6.12 Rule 17.5 Rule 6.12 Rule 17.5 Rule 16.6 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.5 Rule 6.12 Rule 17.5 Rule 18.6 Rule 7.4 Rule 7.5 Rule 17.5 Rule	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 5,000.00 Suspension Caution Caution Caution 350,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 12-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 31-Jan-20
85 86 87 88 88 89 90 91 1 2 2 3 3 4 5 6 6 7 8 8 9 9 1 1 1 2 1 1 1 1 1 1 1 1 1 1 1 1 1 1	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited ARM Securities Limited Camry Securities Limited Mainstreet Bank Securities Limited Mega Equities Limited Nova Finance & Securities Limited PSI Securities Limited Skyview Capital Ltd The Bridge Securities Limited Traders Trust & Investment Co. Limited Kedari Capital Limited Dunn Loren Merrifield Securities Bestworth Assets & Trust Limited ICMG Securities Limited Royal Trust Securities Limited Arthur Stevens Asset Mgt Ltd Heritage Capital Management Ltd Royal Trust Securities Limited Magnartis Finance & Investment Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 17.6 (e) Rules 9.1, 9.3 and 15.12 Rules 6.12 and 6.14 Rule 7.4 Rule 7.5 Rule 6.12 Rule 11.6 Rule 7.7 Rule 1.5 Rule 11.6 Rule 7.7 Rule 6.12 Rule 17.5 Rule 17.	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 5uspension 160,000.00 5,000.00 5uspension Caution Caution Caution Caution 5,000.00 500,000.00 500,000.00 500,000.00 500,000.00 500,000.00 500,000.00 500,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 27-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 31-Jan-20
85 86 87 89 90 91 1 1 2 3 4 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Mirimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited ARM Securities Limited Camry Securities Limited Mega Equities Limited Mova Finance & Securities Limited Mova Finance & Securities Limited PSI Securities Limited Skyview Capital Ltd The Bridge Securities Limited Traders Trust & Investment Co. Limited Kedari Capital Limited Dunn Loren Merrifield Securities Bestworth Assets & Trust Limited ICMG Securities Limited Royal Trust Securities Limited Royal Trust Securities Limited Arthur Stevens Asset Mgt Ltd Heritage Capital Management Ltd Royal Trust Securities Limited Magnartis Finance & Investment Limited Rowet Capital Management Limited Rowet Capital Management Limited Rowet Capital Management Limited Rowet Capital Management Limited Midas Stockbrokers Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 11.9 2020 Rules 9.1, 9.3 and 15.12 Rules 9.1, 9.3 and 15.12 Rules 6.12 and 6.14 Rule 7.4 Rule 7.5 Rule 17.5 Rule 6.12 Rule 11.6 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.5 Rule 11.6 Rule 7.5 Rule 11.6 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.5 Rule 11.6 Rule 7.4 Rule 7.5 Rule 11.6 Rule 7.4 Rule 7.7 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.5 Rule 11.6 Rule 7.4 Rule 7.7 Rule 7.8 Rule 7.8 Rule 7.9 Rule 11.6 Rule 7.7 Rule 7.8 Rule 7.9 Rule 11.6 Rule 7.7 Rule 11.8 Rule 6.12 & 6.14 Rule 7.7 Rule 11.8 Rule 6.12 & 6.14 Rule 7.4 Rule 7.4 Rule 7.5 Rule 11.5 Rule 11.6 Rule 6.12 & 6.14 Rule 7.4 Rule 7.4 Rule 7.5 Rule 11.6 Rule 6.12 & 6.14 Rule 7.4 Rule 6.12 & 6.14 Rule 7.4 Rule 7.4 Rule 7.4 Rule 6.12 & 6.14 Rule 7.4 Rule 7.4 Rule 6.12 & 6.14 Rule 7.4 Rule 6.12 & 6.14 Rule 7.4 Rule 7.4 Rule 7.5 Rule 11.6 Rule 7.6 Rule 7.6 Rule 7.6 Rule 7.7 Rule 7.7 Rule 7.8 Rule 7.9 Ru	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 500,000 500,000 500,000 500,000 500,000 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 12-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 31-Jan-20
85 86 87 88 89 90 91 1 1 2 3 4 5 6 7 8 8 9 9 1 1 1 1 2 1 3 4 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Royal Trust Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited ARM Securities Limited Camry Securities Limited Mainstreet Bank Securities Limited Mega Equities Limited Nova Finance & Securities Limited PSI Securities Limited Skyview Capital Ltd The Bridge Securities Limited Traders Trust & Investment Co. Limited Kedari Capital Limited Dunn Loren Merrifield Securities Bestworth Assets & Trust Limited CMG Securities Limited Royal Trust Securities Limited Royal Trust Securities Limited Arthur Stevens Asset Mgt Ltd Heritage Capital Management Ltd Royal Trust Securities Limited Magnartis Finance & Investment Limited Magnartis Finance & Investment Limited Midas Stockbrokers Limited Midas Stockbrokers Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 17.6 (e) Rules 9.1, 9.3 and 15.12 Rules 6.12 and 6.14 Rule 7.4 Rule 7.5 Rule 6.12 Rule 17.5 Rule 6.12 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.5 Rule 6.12 Rule 17.5 Rule 6.12 Rule 17.5 R	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 5,000.00 Suspension Caution Caution Caution 350,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 12-Dec-19 27-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 31-Jan-20
85 86 87 88 89 90 91 92 93 3 4 95 1 1 1 2 3 4 5 6 7 8 8 9 9 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Morimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited ARM Securities Limited Mainstreet Bank Securities Limited Mega Equities Limited Moya Finance & Securities Limited PSI Securities Limited Traders Trust Limited Traders Trust & Investment Co. Limited Redari Capital Limited Dunn Loren Merrifield Securities Bestworth Assets & Trust Limited Rowet Capital Management Ltd Royal Trust Securities Limited Rowet Capital Management Ltd Royal Trust Securities Limited Arthur Stevens Asset Mgt Ltd Heritage Capital Management Limited Magnartis Finance & Investment Limited Rowet Capital Management Limited Magnarits Finance & Investment Limited Midas Stockbrokers Limited Meristem Securities Limited Midas Stockbrokers Limited Meristem Securities Limited Lighthouse Asset Management Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.9 Rule 9.1, 9.3 and 15.12 Rules 6.12 and 6.14 Rule 7.4 Rule 7.5 Rule 6.12 Rule 17.5 Rule 6.12 Rule 17.5 Rule 6.12 Rule 17.6 Rule 17.6 Rule 17.6 Rule 17.6 Rule 7.7 Rule 7.7 Rule 7.8 Rule 7.8 Rule 7.9 Rule 17.5 Rule 6.12 Rule 17.6 Rule 7.7 Rule 7.8 Rule 7.8 Rule 7.8 Rule 7.8 Rule 7.9 R	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 5,000.00 Suspension Caution Caution Caution 350,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 27-Dec-19 27-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 31-Jan-20
85 86 87 88 89 90 91 92 93 3 4 95 1 1 1 2 3 4 5 6 7 8 8 9 9 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1 1	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Royal Trust Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited ARM Securities Limited Camry Securities Limited Mainstreet Bank Securities Limited Mega Equities Limited Nova Finance & Securities Limited PSI Securities Limited Skyview Capital Ltd The Bridge Securities Limited Traders Trust & Investment Co. Limited Kedari Capital Limited Dunn Loren Merrifield Securities Bestworth Assets & Trust Limited CMG Securities Limited Royal Trust Securities Limited Royal Trust Securities Limited Arthur Stevens Asset Mgt Ltd Heritage Capital Management Ltd Royal Trust Securities Limited Magnartis Finance & Investment Limited Magnartis Finance & Investment Limited Midas Stockbrokers Limited Midas Stockbrokers Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 17.6 (e) Rules 9.1, 9.3 and 15.12 Rules 6.12 and 6.14 Rule 7.4 Rule 7.5 Rule 6.12 Rule 17.5 Rule 6.12 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.5 Rule 6.12 Rule 17.5 Rule 6.12 Rule 17.5 R	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 5,000.00 Suspension Caution Caution Caution 350,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 27-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 31-Jan-20
85 86 87 87 88 89 90 91 1 2 3 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Morimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited ARM Securities Limited Mainstreet Bank Securities Limited Mega Equities Limited Moya Finance & Securities Limited PSI Securities Limited Traders Trust Limited Traders Trust & Investment Co. Limited Redari Capital Limited Dunn Loren Merrifield Securities Bestworth Assets & Trust Limited Rowet Capital Management Ltd Royal Trust Securities Limited Rowet Capital Management Ltd Royal Trust Securities Limited Arthur Stevens Asset Mgt Ltd Heritage Capital Management Limited Magnartis Finance & Investment Limited Rowet Capital Management Limited Magnarits Finance & Investment Limited Midas Stockbrokers Limited Meristem Securities Limited Midas Stockbrokers Limited Meristem Securities Limited Lighthouse Asset Management Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.9 Rule 9.1, 9.3 and 15.12 Rules 6.12 and 6.14 Rule 7.4 Rule 7.5 Rule 6.12 Rule 17.5 Rule 6.12 Rule 17.5 Rule 6.12 Rule 17.6 Rule 17.6 Rule 17.6 Rule 17.6 Rule 7.7 Rule 7.7 Rule 7.8 Rule 7.8 Rule 7.9 Rule 17.5 Rule 6.12 Rule 17.6 Rule 7.7 Rule 7.8 Rule 7.8 Rule 7.8 Rule 7.8 Rule 7.9 R	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 Suspension Caution Caution 350,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 20-Nov-19 2-Dec-19 2-Dec-19 12-Dec-19 27-Dec-19 27-Dec-19 30-Jan-20 30-Jan-20 31-Jan-20
85 86 87 89 90 91 1 2 3 4 5 6 7 7 8 8 9 10 11 12 11 12 13 14 15 16 17 18 19 20 21 22 22 23	Rowet Capital Mgt Limited Capital Express Securities Limited Interstate Securities Limited Molten Trust Limited Kundila Finance Services Limited Bestworth Assets & Trust Limited Kinley Securities Limited Midas Stockbrokers Limited Midas Stockbrokers Limited Marimpex Finance & Investment Company Limited FIS Securities Limited Royal Trust Securities Limited Dunn Loren Merrifield Securities Limited FSDH Securities Limited Royal Guaranty & Trust Limited Crown Capital Limited ARM Securities Limited Aminstreet Bank Securities Limited Mega Equities Limited Mega Equities Limited Mova Finance & Securities Limited Skyview Capital Ltd The Bridge Securities Limited Traders Trust & Investment Co. Limited Edari Capital Limited Dunn Loren Merrifield Securities Bestworth Assets & Trust Limited Compact Securities Limited Dunn Loren Merrifield Securities Bestworth Assets & Trust Limited Royal Trust Securities Limited Royal Trust Securities Limited Royal Trust Securities Limited Arthur Stevens Asset Mgt Ltd Heritage Capital Management Ltd Rowet Capital Management Limited Magnartis Finance & Investment Limited Magnartis Finance & Investment Limited Mowet Capital Management Limited Midas Stockbrokers Limited Meristem Securities Limited Lighthouse Asset Management Limited TrustBanc Capital Management Limited TrustBanc Capital Management Limited TrustBanc Capital Management Limited TrustBanc Capital Management Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.6 Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 6.1 (b) subsection 7 – General Requirement Rule 7.4 Rule 7.4 Rule 11.9 2020 The firm does not have an Authorized Dealing Clerk. Rule 17.6 (e) Rules 9.1, 9.3 and 15.12 Rules 6.12 and 6.14 Rule 7.4 Rule 17.5 Rule 6.12 Rule 11.6 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.5 Rule 6.12 Rule 11.6 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.5 Rule 6.12 Rule 11.6 Rule 7.4 Rule 7.4 Rule 7.5 Rule 6.12 Rule 11.6 Rule 7.4 Rule 7.5 Rule 6.12 Rule 11.6 Rule 7.4 Rule 7.5 Rule 6.12 Rule 11.6 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.5 Rule 6.12 & 6.14 Rule 7.5 Rule 6.12 & 6.14 Rule 7.4 Rule 7.5 Rule 6.15 Rule 6.16 Rule 7.6 Rule 7.6 Rule 7.7 Rule 6.17 Rule 6.18 Rule 6.19 Rule 6.19 Rule 6.10 Rule 6.10 Rule 6.10 Rule 6.11 Rule 6.12 Rule 6.12 Rule 6.12 Rule 6.13 Rule 6.14 Rule 6.15 Rule 6.15 Rule 6.15 Rule 6.16 Rule 6.16 Rule 6.16 Rule 6.17 Rule 6.18 Rule	30,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 500,000.00 Suspension 160,000.00 5,000.00 Suspension Caution Caution Caution 350,000.00 5,000.00	6-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 13-Nov-19 20-Nov-19 20-Nov-19 20-Ec-19 20-Ec-19 12-Dec-19 12-Dec-19 27-Dec-19 15-Jan-20 30-Jan-20 30-Jan-20 31-Jan-20

29		1 1		
	Citi Investment Capital Limited	Rule 7.4	5,000.00	7-Aug-20
	Forte Financial Limited	Rule 7.4	5,000.00	7-Aug-20
	Maxifund Investment & Securities Plc	Rule 7.4	5,000.00	7-Aug-20
_	Portfolio Advisers Limited	Rule 7.4	5,000.00	7-Aug-20
	PSI Securities Limited	Rule 7.4	5,000.00	7-Aug-20
	Gidauniya Investment and Securities Limited	Rule 7.4	10,000.00	7-Aug-20
	Securities and Capital Management Company Limited	Rule 7.4	10,000.00	7-Aug-20
	Dunn Loren Merrifield Securities Limited	Rule 7.4	10,000.00	7-Aug-20
	DSU Brokerage Services Limited	Rule 7.4	15,000.00	7-Aug-20
	ICMG securities Limited	Rule 7.4	15,000.00	7-Aug-20
	PSI Securities Limited	Rule 6.11(d) & 8.9	600,000.00	10-Aug-20
	Heritage Capital Markets Ltd	Rule 7.4	5,000.00	12-Aug-20
	DSU Brokerage Services Limited	Rule 7.4	5,000.00	12-Aug-20
	Dunn Loren Merrifield Securities Limited	Rule 7.4	5,000.00	12-Aug-20
	FSDH Securities Limited	Rule 7.4	5,000.00	12-Aug-20
44	PAC Securities Limited	Rule 7.4	10,000.00	12-Aug-20
45	Harmony Securities Limited	Rule 7.4	15,000.00	13-Aug-20
46	Forte Financial Limited	Rule 7.4	15,000.00	13-Aug-20
47	Securities and Capital Management Company Limited	Rule 7.4	15,000.00	14-Aug-20
48	Peace Capital Market Limited	The firm requested to be voluntarily suspended from carrying out capital m	Suspension	18-Aug-20
49	MBL Financial Services Limited	Rule 7.4	715,000.00	4-Sep-20
50	DLM Securities Limited	Rules 6.7, 6.10 and 6.13	250,000.00	14-Oct-20
51	Nova Finance and Securities Limited	Rule 7.4	5,000.00	16-Oct-20
52	MBL Financial Services Limited	Rule 7.4	150,000.00	16-Oct-20
53	Nigerian International Securities Ltd	Rule 7.4	5,000.00	13-Nov-20
54	Nova Finance & Securities Limited	Rule 7.4	5,000.00	13-Nov-20
	CDL Capital Markets Limited	Rule 7.4	5,000.00	13-Nov-20
	Tower Securities & Investment Company Limited	Rule 7.4	5,000.00	13-Nov-20
	Midas Stockbrokers Limited	Rule 7.4	10,000.00	13-Nov-20
	Primewealth Capital Limited	Rule 6.15	100,000.00	17-Nov-20
	Maxifund Investment & Securities Plc	Rule 11.6	500,000.00	27-Nov-20
	Readings Investments Limited	Rule 11.6	500,000.00	1-Dec-20
	Elixir Securities Limited	Rule 7.4	5,000.00	11-Dec-20
	Futureview Securities Limited	Rule 7.4	5,000.00	11-Dec-20
	Forte Financial Limited	Rule 7.4 Rule 7.4	35,000.00 35,000.00	11-Dec-20 17-Dec-20
	Molten Trust Limited	Rule 7.4	35,000.00	17-Dec-20
65	MBC Securities Limited	Rule 11.6	500,000.00	22-Dec-20
		2021		
	Greenwich Securities Limited	Rule 6.15	100,000.00	4-Jan-21
2	FSDH Capital Limited	Rule 6.14 and 6.15	300,000.00	6-Jan-21
3	Marimpex Finance & Investment Company Limited	Rule 7.4	5,000.00	15-Jan-21
4	Maxifund Investment & Securities Plc	Rule 7.4	10,000.00	15-Jan-21
5	Nova Finance & Securities Limited	Rule 7.4	5,000.00	15-Jan-21
6	Primewealth Capital Limited	Rule 7.4	15,000.00	15-Jan-21
7	Traders Trust & Investment Co. Limited	Rule 7.4	5,000.00	15-Jan-21
8	Trust Yield Securities Limited	Rule 7.4	5,000.00	15-Jan-21
			,	
9	Coronation Securities Limited	Rule 6.15	200,000.00	3-Feb-21
	Coronation Securities Limited ICMG securities Limited	Rule 6.15 Rule 7.4	200,000.00	3-Feb-21 4-Feb-21
10	ICMG securities Limited	Rule 7.4	15,000.00	4-Feb-21
10 11	ICMG securities Limited Deep Trust Investment Limited	Rule 7.4 Rule 7.4	15,000.00 15,000.00	4-Feb-21 4-Feb-21
10 11 12	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited	Rule 7.4 Rule 7.4 Rule 7.4	15,000.00 15,000.00 20,000.00	4-Feb-21 4-Feb-21 4-Feb-21
10 11 12 13	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4	15,000.00 15,000.00 20,000.00 15,000.00	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21
10 11 12 13 14	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21
10 11 12 13 14 15	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited	Rule 7.4	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21
10 11 12 13 14 15 16	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities PIc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited	Rule 7.4	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21
10 11 12 13 14 15 16 17	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities PIc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited	Rule 7.4	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21
10 11 12 13 14 15 16 17	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited	Rule 7.4	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21
10 11 12 13 14 15 16 17 18	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited	Rule 7.4	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21
10 11 12 13 14 15 16 17 18 19	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited Financial Trust Company Limited	Rule 7.4	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21
10 11 12 13 14 15 16 17 18 19 20	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited Financial Trust Company Limited Networth Securities & Finance Limited	Rule 7.4	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21
10 11 12 13 14 15 16 17 18 19 20 21	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities PIC Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited Financial Trust Company Limited Networth Securities & Finance Limited Solid Rock Securities & Investment PIC	Rule 7.4	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21
10 11 12 13 14 15 16 17 18 19 20 21 22 23	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities PIc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited Financial Trust Company Limited Networth Securities & Finance Limited Solid Rock Securities & Investment PIc Tomil Trust Limited	Rule 7.4	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21
10 11 12 13 14 15 16 17 18 19 20 21 22 23 24	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maind Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited Financial Trust Company Limited Networth Securities & Finance Limited Solid Rock Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited	Rule 7.4	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 13-Feb-21 13-Feb-21
10 11 12 13 14 15 16 17 18 19 20 21 22 23 24	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities PIc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited Financial Trust Company Limited Networth Securities & Finance Limited Solid Rock Securities & Investment PIc Tomil Trust Limited	Rule 7.4 Rule 6.15 and 10.6	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21
10 11 12 13 14 15 16 17 18 19 20 21 22 23 24	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited Financial Trust Company Limited Networth Securities & Finance Limited Solid Rock Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited Elixir Securities Mgt Limited	Rule 7.4 Rule 5.4 Rule 7.4 Rule 7.5 Rule 7.4 Rule 7.4 Rule 8.15 and 10.6 The suspension of the firm is a preventive measure to ensure the	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 11-Feb-21 11-Feb-21 11-Feb-21 11-Feb-21
10 11 12 13 14 15 16 17 18 19 20 21 22 23 24	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maind Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited Financial Trust Company Limited Networth Securities & Finance Limited Solid Rock Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited	Rule 7.4 Rule 6.15 and 10.6 The suspension of the firm is a preventive measure to ensure the settlement of the firm's trades are not impacted as a result of the CBN	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 13-Feb-21 13-Feb-21
10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maind Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited Citi Investment Capital Limited Financial Trust Company Limited Networth Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited Elixir Securities Limited Capital Bancorp Plc	Rule 7.4 Rule 7.6 Rul	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 5uspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 Suspension	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 13-Feb-21 13-Feb-21 15-Feb-21 15-Feb-21 15-Feb-21
10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Mainstreet & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities Limited Grital Mgt Limited Citi Investment Capital Limited Financial Trust Company Limited Solid Rock Securities & Finance Limited Solid Rock Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited Elixir Securities Limited Capital Bancorp Plc City Code Trust and Investment Company Limited	Rule 7.4 Rule 7.6 Rul	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 13-Feb-21
10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maind Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited Citi Investment Capital Limited Financial Trust Company Limited Networth Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited Elixir Securities Limited Capital Bancorp Plc	Rule 7.4 Rule 7.6 Rule 7.6 Rule 7.6 Rule 7.6 Rule 7.6 Rule 7.8	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 5uspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 Suspension	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 13-Feb-21 13-Feb-21 15-Feb-21 15-Feb-21 15-Feb-21
10 11 12 13 14 15 16 17 18 19 20 21 22 22 23 24 25 26	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited Financial Trust Company Limited Networth Securities & Finance Limited Solid Rock Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited Elixir Securities Limited Capital Bancorp Plc City Code Trust and Investment Company Limited Peace Capital Markets Ltd	Rule 7.4 Rule 7.5 Rule 7.4 Rule 7.5 Rule 7.4	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 13-Feb-21
10 11 12 13 14 15 16 17 18 19 20 21 22 22 23 24 25 26	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Mainstreet & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities Limited Grital Mgt Limited Citi Investment Capital Limited Financial Trust Company Limited Solid Rock Securities & Finance Limited Solid Rock Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited Elixir Securities Limited Capital Bancorp Plc City Code Trust and Investment Company Limited	Rule 7.4 Rule 7.6 Rule 7.6 Rule 7.6 Rule 7.6 Rule 7.6 Rule 7.8	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 13-Feb-21
10 11 12 13 14 15 16 17 18 19 20 21 22 22 23 24 25 26	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited Financial Trust Company Limited Networth Securities & Finance Limited Solid Rock Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited Elixir Securities Limited Capital Bancorp Plc City Code Trust and Investment Company Limited Peace Capital Markets Ltd	Rule 7.4 Rule 7.5 Rule 7.4 Rule 7.5 Rule 7.4	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 11-Feb-21 11-Mar-21 15-Mar-21 18-Mar-21
10 11 12 13 14 15 16 17 18 19 20 21 22 22 23 24 25 26	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited Financial Trust Company Limited Networth Securities & Finance Limited Solid Rock Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited Elixir Securities Limited Capital Bancorp Plc City Code Trust and Investment Company Limited Peace Capital Markets Ltd	Rule 7.4 Rule 7.5 Rule 7.4 Rule 7.5 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.5 Rule 7.4 Rule 7.5 Rule 7.4 Rule 7.5 Rule 7.6 Rule 7.6 Rule 7.7 Rule 7.7 Rule 7.8 Rul	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 11-Feb-21 11-Mar-21 15-Mar-21 18-Mar-21
10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited Financial Trust Company Limited Networth Securities & Finance Limited Solid Rock Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited Elixir Securities Limited Capital Bancorp Plc City Code Trust and Investment Company Limited Peace Capital Markets Ltd	Rule 7.4 Rule 7.5 Rule 7.4 Rule 7.5 Rule 7.6 Rule 7.6 Rule 7.7 Rule 7.7 Rule 7.7 Rule 7.8 Rule 7.7 Rule 7.8 Rule 7.4 Rul	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 11-Feb-21 11-Mar-21 15-Mar-21 18-Mar-21
10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited Financial Trust Company Limited Networth Securities & Finance Limited Solid Rock Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited Elixir Securities Limited Capital Bancorp Plc City Code Trust and Investment Company Limited Peace Capital Markets Ltd Crossworld Securities Limited	Rule 7.4 Rul	15,000.00 15,000.00 20,000.00 20,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 Suspension Suspension	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 13-Feb-21 13-Feb-21 13-Feb-21 14-Feb-21 15-Mar-21 15-Mar-21 6-Apr-21
10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited Financial Trust Company Limited Networth Securities & Finance Limited Solid Rock Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited Elixir Securities Limited Capital Bancorp Plc City Code Trust and Investment Company Limited Peace Capital Markets Ltd Crossworld Securities Limited	Rule 7.4 Rule 7.5 Rule 7.4 Rule 7.5 Rule 7.6 Rule 7.6 The suspension of the firm is a preventive measure to ensure the settlement of the firm's trades are not impacted as a result of the CBN directive to settlement Banks. Rule 7.4 Rule 7.4 The directive to suspend the firm for failing to satisfy the minimum capital required for its licensed function was received from the Securities & Exchange Commission (SEC).	15,000.00 15,000.00 20,000.00 20,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 Suspension Suspension	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 13-Feb-21 13-Feb-21 13-Feb-21 14-Feb-21 15-Mar-21 15-Mar-21 18-Mar-21 6-Apr-21
10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited Financial Trust Company Limited Networth Securities & Finance Limited Solid Rock Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited Elixir Securities Limited Capital Bancorp Plc City Code Trust and Investment Company Limited Peace Capital Markets Ltd Crossworld Securities Limited Gidauniya Investment and Securities Limited	Rule 7.4 Rule 7.5 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.5 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.5 Rule 7.4 Rule 7.5 Rule 7.5 Rule 7.6 Rul	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 55,000.00 50,000.00 Suspension	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 13-Feb-21 13-Feb-21 13-Feb-21 14-Feb-21 15-Mar-21 15-Mar-21 6-Apr-21
10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited Financial Trust Company Limited Networth Securities & Finance Limited Solid Rock Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited Elixir Securities Limited Capital Bancorp Plc City Code Trust and Investment Company Limited Peace Capital Markets Ltd Crossworld Securities Limited	Rule 7.4 Rule 7.5 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.5 Rule 7.6 Rule 7.6 Rule 7.6 Rule 7.7 Rule 7.7 Rule 7.7 Rule 7.8 Rule 7.8 Rule 7.9 Rul	15,000.00 15,000.00 20,000.00 20,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 Suspension Suspension	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 13-Feb-21 13-Feb-21 13-Feb-21 14-Feb-21 15-Mar-21 15-Mar-21 6-Apr-21
10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited Financial Trust Company Limited Networth Securities & Finance Limited Solid Rock Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited Elixir Securities Limited Capital Bancorp Plc City Code Trust and Investment Company Limited Peace Capital Markets Ltd Crossworld Securities Limited Gidauniya Investment and Securities Limited	Rule 7.4 Rule 7.5 Rule 7.4 Rule 7.4 Rule 7.6 Rule 7.7 Rule 7.6 Rule 7.7 Rule 7.6 Rule 7.7 Rule 7.6 Rule 7.6 Rule 7.7 Rule 7.6 Rule 7.7 Rule 7.7 Rule 7.7 Rule 7.6 Rule 7.7 Rul	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 55,000.00 50,000.00 Suspension	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 13-Feb-21 13-Feb-21 13-Feb-21 14-Feb-21 15-Mar-21 15-Mar-21 6-Apr-21
10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 29	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited Financial Trust Company Limited Networth Securities & Finance Limited Solid Rock Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited Elixir Securities Limited Capital Bancorp Plc City Code Trust and Investment Company Limited Peace Capital Markets Ltd Crossworld Securities Limited Gidauniya Investment and Securities Limited Kofana Securities & Investment Limited	Rule 7.4 Rule 7.5 Rule 7.4 Rule 7.6 Rule 7.7 Rule 7.6 Rule 7.6 Rule 7.7 Rule 7.6 Rul	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 Suspension Suspension Suspension Suspension Suspension Suspension	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 13-Feb-21 13-Feb-21 13-Feb-21 15-Mar-21 18-Mar-21 6-Apr-21
10 11 12 13 14 15 16 17 18 19 20 21 22 22 23 24 25 26 29	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited Financial Trust Company Limited Networth Securities & Finance Limited Solid Rock Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited Elixir Securities Limited Capital Bancorp Plc City Code Trust and Investment Company Limited Peace Capital Markets Ltd Crossworld Securities Limited Gidauniya Investment and Securities Limited	Rule 7.4 Rule 7.5 Rule 7.4 Rule 7.4 Rule 7.5 Rule 7.6 Rule 7.6 Rule 7.6 Rule 7.7 Rule 7.7 Rule 7.7 Rule 7.7 Rule 7.8 Rule 7.9 Rule 7.9 Rule 7.1 Rul	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 55,000.00 50,000.00 Suspension	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 13-Feb-21 13-Feb-21 13-Feb-21 14-Feb-21 15-Mar-21 15-Mar-21 6-Apr-21
10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited Financial Trust Company Limited Networth Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited Elixir Securities & Investment Plc Tomil Trust Limited Capital Bancorp Plc City Code Trust and Investment Company Limited Peace Capital Markets Ltd Crossworld Securities Limited Gidauniya Investment and Securities Limited Kofana Securities & Investment Limited Trust Yield Securities Limited	Rule 7.4 Rule 7.6 Rule 7.8 Rule 7.8 Rule 7.8 Rule 7.8 Rule 7.9 Rule 7.9 Rule 7.9 Rule 7.1 Rule 7.1 Rule 7.1 Rule 7.1 Rule 7.1 Rule 7.1 Rule 7.2 Rule 7.2 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.5 Rule 7.6 Rule 7.6 Rule 7.6 Rule 7.7 Rule 7.6 Rule 7.7 Rule 7.8 Rule 7.8 Rule 7.9 Rule 7.9 Rule 7.9 Rule 7.1 Rule 7.1 Rule 7.1 Rule 7.1 Rule 7.1 Rule 7.2 Rule 7.2 Rule 7.1 Rule 7.2 Rule 7.3 Rule 7.4 Rule 7.4 Rule 7.5 Rule 7.5 Rule 7.6 Rule 7.6 Rule 7.6 Rule 7.6 Rule 7.7 Rule 7.7 Rule 7.8 Rule 7.8 Rule 7.9 Rul	15,000.00 15,000.00 20,000.00 20,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 Suspension Suspension Suspension Suspension Suspension Suspension Suspension	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 13-Feb-21 13-Feb-21 14-Feb-21 15-Mar-21 18-Mar-21 6-Apr-21 6-Apr-21
10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited Financial Trust Company Limited Networth Securities & Finance Limited Solid Rock Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited Elixir Securities Limited Capital Bancorp Plc City Code Trust and Investment Company Limited Peace Capital Markets Ltd Crossworld Securities Limited Gidauniya Investment and Securities Limited Kofana Securities & Investment Limited Trust Yield Securities Limited Afrinvest Securities Limited	Rule 7.4 Rule 7.5 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.5 Rule 7.6 Rule 7.7 Rule 7.6 Rule 7.7 Rule 7.6 Rule 7.7 Rule 7.7 Rule 7.8 Rule 7.8 Rule 7.8 Rule 7.9 Rul	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 Suspension Suspension Suspension Suspension Suspension Suspension	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 13-Feb-21 13-Feb-21 13-Feb-21 13-Feb-21 15-Mar-21 16-Apr-21 6-Apr-21 6-Apr-21
10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited Financial Trust Company Limited Networth Securities & Finance Limited Solid Rock Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited Elixir Securities Limited Capital Bancorp Plc City Code Trust and Investment Company Limited Peace Capital Markets Ltd Crossworld Securities Limited Kofana Securities & Investment Limited Kofana Securities & Investment Limited Financial Trust Company Limited Capital Bancorp Plc City Code Trust and Investment Company Limited Peace Capital Markets Ltd Crossworld Securities Limited Kofana Securities Limited Financial Trust Yield Securities Limited Afrinvest Securities Limited Financial Trust Vield Securities Limited	Rule 7.4 Rule 7.5 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.5 Rule 7.6 Rule 7.7 Rule 7.7 Rule 7.7 Rule 7.8 Rule 7.8 Rule 7.8 Rule 7.9 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 Suspension Suspension Suspension Suspension Suspension Suspension Suspension	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 13-Feb-21 13-Feb-21 13-Feb-21 14-Feb-21 15-Mar-21 15-Mar-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21
10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited Financial Trust Company Limited Networth Securities & Finance Limited Solid Rock Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited Elixir Securities Limited Capital Bancorp Plc City Code Trust and Investment Company Limited Peace Capital Markets Ltd Crossworld Securities Limited Kofana Securities & Investment Limited Kofana Securities & Investment Limited Trust Yield Securities Limited Afrinvest Securities Limited FSL Securities Limited FSL Securities Limited FSL Securities Limited FSL Securities Limited FINANCE SECURITIES FOR SEC	Rule 7.4 Rule 7.5 Rule 7.6 The suspension of the firm is a preventive measure to ensure the settlement of the firm's trades are not impacted as a result of the CBN directive to settlement Banks. Rule 7.4 Rule 7.4 The directive to suspend the firm for failing to satisfy the minimum capital required for its licensed function was received from the Securities & Exchange Commission (SEC). The directive to suspend the firm for failing to satisfy the minimum capital required for its licensed function was received from the Securities & Exchange Commission (SEC). The directive to suspend the firm for failing to satisfy the minimum capital required for its licensed function was received from the Securities & Exchange Commission (SEC). The directive to suspend the firm for failing to satisfy the minimum capital required for its licensed function was received from the Securities & Exchange Commission (SEC). The directive to suspend the firm for failing to satisfy the minimum capital required for its licensed function was received from the Securities & Exchange Commission (SEC). The directive to suspend the firm for failing to satisfy the minimum capital required for its licensed function was received from the Securities & Exchange Commission (SEC).	15,000.00 15,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 15,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 Suspension	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 13-Feb-21 13-Feb-21 13-Feb-21 14-Feb-21 15-Mar-21 15-Mar-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21
10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 29 30 31	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Git Investment Capital Limited Financial Trust Company Limited Networth Securities & Finance Limited Solid Rock Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited Elixir Securities Limited Capital Bancorp Plc City Code Trust and Investment Company Limited Peace Capital Markets Ltd Crossworld Securities Limited Kofana Securities Limited Trust Yield Securities Limited Afrinvest Securities Limited Afrinvest Securities Limited FSL Securities Limited FSL Securities Limited FSL Securities Limited Follows Markix and Assets Mgt Limited Funds Markix and Assets Mgt Limited ICMG securities Limited	Rule 7.4 Rule 7.5 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.5 Rule 7.6 The suspension of the firm is a preventive measure to ensure the settlement of the firm's trades are not impacted as a result of the CBN directive to settlement Banks. Rule 7.4 Rule 7.4 The directive to suspend the firm for failing to satisfy the minimum capital required for its licensed function was received from the Securities & Exchange Commission (SEC). The directive to suspend the firm for failing to satisfy the minimum capital required for its licensed function was received from the Securities & Exchange Commission (SEC). The directive to suspend the firm for failing to satisfy the minimum capital required for its licensed function was received from the Securities & Exchange Commission (SEC). The directive to suspend the firm for failing to satisfy the minimum capital required for its licensed function was received from the Securities & Exchange Commission (SEC). The directive to suspend the firm for failing to satisfy the minimum capital required for its licensed function was received from the Securities & Exchange Commission (SEC). Rule 7.4	15,000.00 15,000.00 20,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00 Suspension	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 13-Feb-21 13-Feb-21 13-Feb-21 14-Feb-21 15-Mar-21 15-Mar-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21
10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 31 32 33 34 35 36 37	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Governous Limited Citi Investment Capital Limited Citi Investment Capital Limited Citi Investment Capital Limited Financial Trust Company Limited Networth Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited Elixir Securities Limited Capital Bancorp Plc City Code Trust and Investment Company Limited Peace Capital Markets Ltd Crossworld Securities Limited Kofana Securities Limited Kofana Securities Limited Afrinvest Securities Limited FSL Securities Limited Rowet Capital Matrix and Assets Mgt Limited ICMG securities Limited Rowet Capital Mgt Limited Rowet Capital Mgt Limited	Rule 7.4 Rule 7.5 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.5 Rule 7.5 Rule 7.6 Rule 7.6 Rule 7.6 Rule 7.6 Rule 7.7 Rule 7.6 Rule 7.7 Rule 7.7 Rule 7.8 Rule 7.8 Rule 7.9	15,000.00 15,000.00 20,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00 Suspension	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 13-Feb-21 13-Feb-21 13-Feb-21 14-Feb-21 15-Mar-21 15-Mar-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21
10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 31 32 33 34 35 36 37	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Git Investment Capital Limited Financial Trust Company Limited Networth Securities & Finance Limited Solid Rock Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited Elixir Securities Limited Capital Bancorp Plc City Code Trust and Investment Company Limited Peace Capital Markets Ltd Crossworld Securities Limited Kofana Securities Limited Trust Yield Securities Limited Afrinvest Securities Limited Afrinvest Securities Limited FSL Securities Limited FSL Securities Limited FSL Securities Limited Follows Markix and Assets Mgt Limited Funds Markix and Assets Mgt Limited ICMG securities Limited	Rule 7.4 Rule 7.5 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.5 Rule 7.6 The suspension of the firm is a preventive measure to ensure the settlement of the firm's trades are not impacted as a result of the CBN directive to settlement Banks. Rule 7.4 Rule 7.4 The directive to suspend the firm for failing to satisfy the minimum capital required for its licensed function was received from the Securities & Exchange Commission (SEC). The directive to suspend the firm for failing to satisfy the minimum capital required for its licensed function was received from the Securities & Exchange Commission (SEC). The directive to suspend the firm for failing to satisfy the minimum capital required for its licensed function was received from the Securities & Exchange Commission (SEC). The directive to suspend the firm for failing to satisfy the minimum capital required for its licensed function was received from the Securities & Exchange Commission (SEC). The directive to suspend the firm for failing to satisfy the minimum capital required for its licensed function was received from the Securities & Exchange Commission (SEC). Rule 7.4	15,000.00 15,000.00 20,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00 Suspension	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 13-Feb-21 13-Feb-21 13-Feb-21 14-Feb-21 15-Mar-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21
10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 31 32 33 34 35 36 37	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Governous Limited Citi Investment Capital Limited Citi Investment Capital Limited Citi Investment Capital Limited Financial Trust Company Limited Networth Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited Elixir Securities Limited Capital Bancorp Plc City Code Trust and Investment Company Limited Peace Capital Markets Ltd Crossworld Securities Limited Kofana Securities Limited Kofana Securities Limited Afrinvest Securities Limited FSL Securities Limited Rowet Capital Matrix and Assets Mgt Limited ICMG securities Limited Rowet Capital Mgt Limited Rowet Capital Mgt Limited	Rule 7.4 Rule 7.5 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.5 Rule 7.5 Rule 7.6 Rule 7.6 Rule 7.6 Rule 7.6 Rule 7.7 Rule 7.6 Rule 7.7 Rule 7.7 Rule 7.8 Rule 7.8 Rule 7.9	15,000.00 15,000.00 20,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00 Suspension	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 13-Feb-21 13-Feb-21 13-Feb-21 14-Feb-21 15-Mar-21 15-Mar-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21
10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26 27 28 29 30 31 31 32 33 34 35 36 37 38 39 39	ICMG securities Limited Deep Trust Investment Limited Mainstreet Bank Securities Limited Maxifund Investment & Securities Plc Primewealth Capital Limited Security Swaps Limited UIDC Securities Limited Hedge Securities & Investment Limited Rowet Capital Mgt Limited Citi Investment Capital Limited Financial Trust Company Limited Solid Rock Securities & Finance Limited Solid Rock Securities & Investment Plc Tomil Trust Limited Rowet Capital Mgt Limited Elixir Securities Limited Capital Bancorp Plc City Code Trust and Investment Company Limited Peace Capital Markets Ltd Crossworld Securities Limited Gidauniya Investment and Securities Limited Kofana Securities Limited Trust Yield Securities Limited FILS Securities Lim	Rule 7.4 Rule 7.5 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.5 Rule 7.6 Rule 7.6 Rule 7.6 Rule 7.6 Rule 7.7 Rule 7.7 Rule 7.7 Rule 7.7 Rule 7.8 Rule 7.8 Rule 7.9 Rule 7.9 Rule 7.9 Rule 7.9 Rule 7.1 Rule 7.1 Rule 7.1 Rule 7.1 Rule 7.2 Rule 7.2 Rule 7.3 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.5 Rule 7.6 Rule 7.6 Rule 7.6 Rule 7.7 Rule 7.7 Rule 7.8	15,000.00 15,000.00 20,000.00 20,000.00 15,000.00 15,000.00 15,000.00 15,000.00 Suspension Suspension 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 Suspension Suspension Suspension Suspension Suspension Suspension Suspension	4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 4-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 12-Feb-21 13-Feb-21 13-Feb-21 13-Feb-21 14-Feb-21 15-Mar-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21 6-Apr-21

41	Forta Financial Limited	D. J. 7.4	10,000,00	12 Apr 21
	Forte Financial Limited GlobalView Capital Limited	Rule 7.4 Rule 7.4	10,000.00 10,000.00	13-Apr-21 13-Apr-21
	Kapital Care Trust and Securities Limited	Rule 7.4	10,000.00	13-Apr-21
	Nova Finance and Securities Limited			13-Apr-21
	Premium Capital and Stockbrokers Limited	Rule 7.4 Rule 7.4	10,000.00 10,000.00	13-Apr-21
		Rule 7.4	10,000.00	
_	Royal Crest Finance Limited			13-Apr-21
	TrustBanc Capital Management Limited	Rule 7.4	10,000.00	13-Apr-21
48	UCML Capital Limited	Rule 7.4	10,000.00	13-Apr-21
	Milestone Capital Management Limited	Rule 7.4	10,000.00	13-Apr-21
50	Trust Yield Securities Limited	Rule 7.4	20,000.00	14-Apr-21
		This is a directive from the Securities and Exchange Commission (SEC)		
		based on the decision of the Administrative Proceedings Committee (APC)		
51	Cashcraft Securities Limited	to suspend the Trading License Holder for violating the Investment and	Suspension	15-Apr-21
		Securities Act (ISA) as well as the Rules and Regulations of the SEC.		
		Securities her (15/1) as well as the hales and hegalations of the see.		
52	Dominion Trust Limited	Rule 6.13	250,000.00	19-Apr-21
53	Fundvine Capital and Securities Limited	Rule 7.4	75,000.00	21-Apr-21
54	Mainstreet Bank Securities Limited	Rule 6.15	100,000.00	22-Apr-21
55	Sankore Securities Limited	Rule 7.4	105,000.00	23-Apr-21
56	Fundvine Capital and Securities Limited	Rule 11.6	500,000.00	4-May-21
57	Portfolio Advisers Limited	Rule 7.4	5,000.00	4-May-21
	Cardinal Stone Securities Ltd	Rule 7.4	5,000.00	4-May-21
59	Sankore Securities Limited	Rule 7.4	5,000.00	4-May-21
	Maxifund Investment and Securities Plc	Rule 7.4	20,000.00	4-May-21
	PAC Securities Limited	Rule 7.4	20,000.00	4-May-21
	FSDH Capital Limited	Rule 7.4	20,000.00	4-May-21
	Belfry Investment and Securities Limited	Rule 7.4	20,000.00	4-May-21
	Traders Trust and Investment Co. Limited			4-May-21 5-May-21
		Rule 7.4	20,000.00	
	UIDC Securities Limited	Rule 7.4	25,000.00	5-May-21
	Investment Shark and Asset Mgt Ltd	Rule 7.4	25,000.00	5-May-21
	Portfolio Advisers Limited	Rule 7.4	150,000.00	6-May-21
	Magnartis Finance and Investment Limited	Rule 7.4	115,000.00	6-May-21
	Santrust Securities Limited	Rule 7.4	150,000.00	7-May-21
	Trust Yield Securities Limited	Rule 7.4	Suspension	10-May-21
71	ICMG securities Limited	Rule 7.4	45,000.00	10-May-21
72	Camry Securities Limited	Rule 7.4	5,000.00	11-May-21
73	Growth & Development Asset Management Limited	Rule 7.4	5,000.00	11-May-21
74	Meristem Stockbrokers Limited	Rule 7.4	5,000.00	11-May-21
	Newdevco Investments and Securities Limited	Rule 7.4	5,000.00	11-May-21
	Premium Capital and Stockbrokers Limited	Rule 7.4	5,000.00	11-May-21
	Securities and Capital Management Company Limited	Rule 7.4	5,000.00	11-May-21
78	Lighthouse Capital Limited	Rule 7.4	50,000.00	11-May-21
_	-	Rule 7.4	45,000.00	11-May-21
	Nova Finance and Securities Limited			
	Primewealth Capital Limited	Rule 7.4	35,000.00	17-May-21
	PAC Securities Limited	Rule 7.4	55,000.00	17-May-21
	UIDC Securities Limited	Rule 7.4	150,000.00	27-May-21
	Anchoria Investment and Securities Limited	Rule 7.4	135,000.00	28-May-21
84	Elixir Securities Limited	Rule 7.4	130,000.00	31-May-21
	Transworld Investment & Securities Limited	Rule 7.4	140,000.00	31-May-21
86	Morgan Capital Securities Limited	Rule 11.6	500,000.00	4-Jun-21
87	Cashcraft Securities Limited	Rule 7.4	5,000.00	17-Jun-21
88	Financial Trust Company Nigeria Limited	Rules 1.14, 6.7, 6.10 and 6.13	250,000.00	1-Jul-21
89	Mountain Investment and Securities Limited	Rule 7.4	150,000.00	7-Jul-21
90	UCML Capital Limited	Rule 7.4	15,000.00	16-Jul-21
91	Maxifund Investment and Securities Plc	Rule 7.4	5,000.00	16-Jul-21
92	Cashcraft Securities Limited	Rule 7.4	150,000.00	16-Jul-21
93	Dominion Trust Limited	Rule 7.6	500,000.00	26-Jul-21
	Elixir Securities Limited	Rules 7.6 and 11.6	1,000,000.00	26-Jul-21
	DLM Securities Limited	Rule 7.4	150,000.00	27-Jul-21
	Deep Trust Investment Limited	Rule 6.1	Suspension	29-Jul-21
	Elixir Securities Limited	Rule 7.4	15,000.00	5-Aug-21
	FIS Securities Limited	Rule 7.4	15,000.00	5-Aug-21
	ICMG securities Limited	Rule 7.4	15,000.00	5-Aug-21
	Marimpex Finance & Investment Company Limited	Rule 7.4	15,000.00	5-Aug-21 5-Aug-21
	Security Swaps Limited	Rule 7.4	20,000.00	5-Aug-21 5-Aug-21
	Tower Securities & Investment Company Limited	Rule 7.4 Rule 7.4	20,000.00	5-Aug-21 5-Aug-21
	Mainstreet Bank Securities Limited			5-Aug-21 5-Aug-21
		Rule 7.4	Suspension	
	Mainstreet Bank Securities Limited	Rule 7.4	30,000.00 Suspension	12-Aug-21
	Forte Financial Limited	Rule 11.9 and 13.2	Suspension	22-Sep-21
	CDL Capital Markets Limited	Rule 6.13	250,000.00	11-Oct-21
	Crane Securities Limited	Rule 7.4	5,000.00	14-Oct-21
	Peace Capital Markets Ltd	Rule 7.4	10,000.00	14-Oct-21
	Royal Crest Finance Limited	Rule 7.4	5,000.00	14-Oct-21
	UCML Capital Limited	Rule 11.8	Warning	26-Oct-21
	UCML Capital Limited	Rule 11.14	250,000.00	28-Oct-21
	Trustbanc Capital Management Limited	Rule 11.8	Warning	28-Oct-21
113	ICMG Securities Limited	Rule 11.8	Warning	29-Oct-21
114	ICMG Securities Limited	Rule 6.15	100,000.00	1-Nov-21
115	City Code Trust & Investment Company Limited	Rule 7.4	15,000.00	5-Nov-21
	Elixir Securities Limited	Rule 7.4	25,000.00	5-Nov-21
	Mainstreet Bank Securities Limited	Rule 7.4	Suspension	9-Nov-21
	Primewealth Capital Limited	The firm does not have an Authorized Dealing Clerk, Rule 7.4	Suspension	9-Nov-21
	Tower Securities and Investment Company Limited	Rule 11.8	Warning	16-Nov-21
				17-Nov-21
	NOVAMBL Securities Limited	Rule 6.15	100,000.00	
121	Dunbell Securities Limited	Rule 6.15 This is a directive from the Securities and Evolution Commission (SEC) to	200,000.00	22-Nov-21
400	Maidea Chealdean Limited	This is a directive from the Securities and Exchange Commission (SEC) to	2	22.41. 24
122	Midas Stockbrokers Limited	suspend the Trading License Holder for refusal to transfer an investor's	Suspension	23-Nov-21
<u> </u>		account.		
123	Lighthouse Capital Limited	Rule 11.8	Warning	1-Dec-21

		L		
	Spring Trust & Securities Limited	Rule 13.1	50,000.00	6-Dec-21
	Trustbanc Capital Management Limited	Rule 6.15	200,000.00	7-Dec-21
	Trustbanc Capital Management Limited	Rule 11.14	250,000.00	13-Dec-21
	Crane Securities Limited	Rule 7.4	10,000.00	15-Dec-21
	Nova Finance & Securities Limited	Rule 7.4	5,000.00	15-Dec-21
	Tower Securities and Investment Company Limited	Rule 11.14	250,000.00	20-Dec-21
	Traders Trust and Investment Co. Limited	Rule 11.6 & 11.8	500,000.00	21-Dec-21
	Peace Capital Markets Limited	The firm does not have an Authorized Dealing Clerk	Suspension	21-Dec-21
132	Investment Shark & Asset Management Limited	Rule 6.15	300,000.00	22-Dec-21
		2022		
_	Cit. Code Tour 9 Investment Comment Limited		F 000 00	12-Jan-22
	City Code Trust & Investment Company Limited Maxifund Investment & Securities Plc	Rule 7.4	5,000.00	
		Rule 7.4	10,000.00	12-Jan-22 19-Jan-22
	Mainstreet Bank Securities Limited	Rule 7.4 Rule 17.5	300,000.00	24-Jan-22
5	Regency Assets Management Limited ICMG securities Limited	Rule 17.5	500,000.00	4-Feb-22
	Kundila Finance Services Limited	Rule 7.4	15,000.00 20,000.00	4-Feb-22
	Maxifund Investment & Securities Plc	Rule 7.4	10,000.00	4-Feb-22
8	Nova Finance & Securities Limited	Rule 7.4	15,000.00	4-Feb-22
	City Code Trust & Investment Company Limited	Rule 7.4	50,000.00	11-Feb-22
	Trust Yield Securities Limited	Rule 7.4	95,000.00	25-Feb-22
	Planet Capital Limited	Rule 6.15	100,000.00	28-Feb-22
	Atlass Portfolio Limited	Rule 6.15	500,000.00	3-Mar-22
	Topmost Securities Limited	Rule 11.8	500,000.00	15-Mar-22
	Belfry Investment and Securities Limited	Rule 7.4	30,000.00	17-Mar-22
	CLG Stockbrokers Limited	Rule 7.4	10,000.00	17-Mar-22
	De-lords Securities Limited	Rule 7.4	5,000.00	17-Mar-22
	City-Code Trust and Investment Company Limited	Rule 7.4	5,000.00	21-Apr-22
	Enterprise Stockbrokers Limited	Rule 7.4	30,000.00	21-Apr-22
	Harmony Securities Limited	Rule 7.4	5,000.00	21-Apr-22
	Magnartis Finance and Investment Limited	Rule 7.4	45,000.00	21-Apr-22
	Maxifund Investment & Securities Plc	Rule 7.4	40,000.00	21-Apr-22
22	Tower Securities & Investment Company Limited	Rule 7.4	5,000.00	21-Apr-22
	Tyndale Securities Limited	Rule 7.4	5,000.00	21-Apr-22
	UIDC Securities Limited	Rule 7.4	5,000.00	21-Apr-22
	City-Code Trust and Investment Company Limited	Rule 7.4	5,000.00	27-Apr-22
	Enterprise Stockbrokers Limited	Rule 7.4	65,000.00	27-Apr-22
	Security Swaps Limited	Rule 7.4	20,000.00	27-Apr-22
	Trust Yield Securities Limited	Rule 7.4	90,000.00	29-Apr-22
	Anchoria Investment and Securities Limited	Rule 7.4	5,000.00	6-May-22
	Elixir Securities Limited	Rule 7.4	25,000.00	6-May-22
	Lighthouse Asset Management Limited	Rule 7.4	150,000.00	6-May-22
	Calyx Securities Limited	Rule 7.4	60,000.00	12-May-22
	FBC Trust and Securities Limited	Rule 7.4	20,000.00	12-May-22
	ICMG securities Limited	Rule 7.4	45,000.00	12-May-22
35	Maxifund Investment and Securities Plc	Rule 7.4	60,000.00	12-May-22
36	Meristem Stockbrokers Limited	Rule 7.4	20,000.00	12-May-22
37	Trust Yield Securities Limited	Rule 7.4	30,000.00	12-May-22
38	Santrust Securities Limited	Rule 7.4	55,000.00	12-May-22
39	Portfolio Advisers Limited	Rule 7.4	15,000.00	12-May-22
40	Milestone Capital Management Limited	Rule 7.4	5,000.00	12-May-22
41	Nova Finance and Securities Limited	Rule 7.4	5,000.00	12-May-22
	CLG Stockbrokers Limited	Rule 7.4	5,000.00	12-May-22
	Elixir Securities Limited	Rule 7.4	Suspension	17-May-22
44	Magnartis Finance & Investment Limited	Rule 7.4	Suspension	17-May-22
	Nova Finance and Securities Limited	Rule 7.4	Suspension	17-May-22
	Elixir Securities Limited	Rule 7.4	90,000.00	18-May-22
	Magnartis Finance & Investment Limited	Rule 7.4	150,000.00	18-May-22
	Maxifund Investment and Securities Plc	Rule 7.4	150,000.00	18-May-22
	Nova Finance and Securities Limited	Rule 7.4	240,000.00	18-May-22
	PAC Securities Limited	Rule 7.4	65,000.00	19-May-22
	Foresight Securities & Investment Limited	Rule 7.4	30,000.00	19-May-22
	Pyramid Securities Limited	Rule 7.4	30,000.00	19-May-22
	Traders Trust & Investment Co. Limited	Rule 7.4	15,000.00	19-May-22
	Hedge Securities & Investment Limited	Rule 7.4	115,000.00	23-May-22
	DLM Securities Limited	Rule 7.4	150,000.00	31-May-22
	Sankore Securities Limited	Rule 7.4	150,000.00	1-Jun-22
	Elixir Securities Limited	Rule 7.4	5,000.00	17-Jun-22
	Maxifund Investment & Securities Plc	Rule 7.4	30,000.00	17-Jun-22
	Maxifund Investment & Securities Plc	Rule 7.4	50,000.00	28-Jul-22
	Maxifund Investment and Securities Plc.	Rule 7.4	15,000.00	2-Aug-22
	Premium Capital and Stockbrokers Limited	Rule 7.4	5,000.00	2-Aug-22
	Santrust Securities Limited Transported Investment Limited	Rule 7.4	5,000.00	2-Aug-22
	Transworld Investment Limited	Rule 7.4	10,000.00	2-Aug-22
	Trust Yield Securities Limited	Rule 7.4	5,000.00	2-Aug-22 3-Aug-22
	ICMG Securities Limited Elixir Securities Limited	Rule 7.4	15,000.00	3-Aug-22 12-Aug-22
		Rule 7.4	5,000.00	
	Milestone Capital Management Limited	Rule 7.4	5,000.00	12-Aug-22
	NOVAMBL Securities Limited Polifix Investment and Securities Limited	Rule 7.4	5,000.00	12-Aug-22
	Belfry Investment and Securities Limited	Rule 7.4	10,000.00	18-Aug-22
	Calyx Securities Limited	Rule 7.4	25,000.00	16-Sep-22
	City-Code Trust and Investment Company Limited	Rule 7.4	10,000.00 10,000.00	16-Sep-22
	Integrated Trust and Investment Limited	Rule 7.4		16-Sep-22
	Primewealth Capital Limited	Rule 7.4	15,000.00	16-Sep-22
	Calyx Securities Limited	Rule 1.14	Suspension	26-Sep-22
	Elixir Securities Limited	Rule 11.10 & 16.3 The firm was suspended for operating without a Managing Director	Suspension	26-Sep-22
	Nigerian International Securities Limited Dynamic Portfolio Limited	The firm was suspended for operating without a Managing Director. Rule 7.4	Suspension 5,000.00	5-Oct-22 13-Oct-22
	Fidelity Finance Company Limited	Rule 7.4	5,000.00	13-Oct-22
	Forte Financial Limited	Rule 7.4	5,000.00	13-Oct-22
19	. o. teundur Enniteu	prode 7.7	5,000.00	13 .001-77

81 82	Golden Securities Limited	Rule 7.4	5,000.00	13-Oct-22
82		Rule 7.4	5,000.00	
-	Milestone Capital Management Limited			13-Oct-22
83	Mountain Investment and Securities Limited	Rule 7.4	5,000.00	13-Oct-22
	Solid Rock Securities and Investment Plc	Rule 7.4	10,000.00	13-Oct-22
84	Topmost Securities Limited	Rule 7.4	5,000.00	13-Oct-22
85	Maxifund Investment and Securities Plc	Rule 7.4	15,000.00	14-Oct-22
	City-Code Trust and Investment Company Limited	Rule 7.4	5,000.00	19-Oct-22
87	FSL Securities Limited	Rule 7.4	5,000.00	19-Oct-22
-	Futureview Securities Limited	Rule 7.4	10,000.00	19-Oct-22
	Networth Securities and Finance Limited		1	19-Oct-22
		Rule 7.4	10,000.00	
	Securities and Capital Management Company Limited	Rule 7.4	5,000.00	19-Oct-22
91	The Bridge Securities Limited	Rule 7.4	10,000.00	20-Oct-22
92	Cowry Securities Limited	Rule 7.4	55,000.00	21-Oct-22
93	Anchoria Investment and Securities Limited	Rule 7.4	10,000.00	26-Oct-22
	Heritage Capital Markets Limited	Rule 7.4	10,000.00	26-Oct-22
	ICMG securities Limited	Rule 7.4	5,000.00	26-Oct-22
	Lambeth Capital Limited	Rule 7.4	5,000.00	26-Oct-22
97	Mega Equities Limited	Rule 7.4	5,000.00	26-Oct-22
98	Newdevco Investments and Securities Limited	Rule 7.4	25,000.00	26-Oct-22
99	PIPC Securities Limited	Rule 7.4	5,000.00	26-Oct-22
100	Traders Trust and Investment Co. Limited	Rule 7.4	5,000.00	26-Oct-22
	Zion Stockbrokers and Securities Limited	Rule 7.4	5,000.00	26-Oct-22
	Anchoria Investment and Securities Limited	Rule 7.4	5,000.00	8-Nov-22
	Falcon Securities Limited	Rule 7.4	5,000.00	8-Nov-22
104	FIS Securities Limited	Rule 7.4	5,000.00	8-Nov-22
105	ICMG securities Limited	Rule 7.4	10,000.00	8-Nov-22
_	Maxifund Investment and Securities Plc	Rule 7.4	15,000.00	8-Nov-22
	MBC Securities Limited	Rule 7.4	5,000.00	8-Nov-22
				8-Nov-22
-	Newdevco Investments and Securities Limited	Rule 7.4	10,000.00	
	Nova Finance and Securities Limited	Rule 7.4	20,000.00	8-Nov-22
110	Sankore Securities Limited	Rule 7.4	10,000.00	8-Nov-22
111	Securities and Capital Management Company Limited	Rule 7.4	5,000.00	8-Nov-22
	Security Swaps Limited	Rule 7.4	5,000.00	8-Nov-22
	Shalom Investment and Financial Services Limited	Rule 7.4	5,000.00	8-Nov-22
-			5,000.00	
	Skyview Capital Limited	Rule 7.4	, , , , , , , , , , , , , , , , , , , ,	8-Nov-22
	Springboard Trust and Investment Limited	Rule 7.4	5,000.00	8-Nov-22
116	Topmost Securities Limited	Rule 7.4	5,000.00	8-Nov-22
117	Trust Yield Securities Limited	Rule 7.4	5,000.00	8-Nov-22
	UCML Capital Limited	Rule 7.4	10,000.00	8-Nov-22
	Chapel Hill Denham Securities Limited	Rule 7.4	5,000.00	7-Dec-22
	City Code Trust and Investment Company Limited	Rule 7.4	15,000.00	7-Dec-22
	Cowry Securities Limited	Rule 7.4	5,000.00	7-Dec-22
122	CSL Stockbrokers Limited	Rule 7.4	5,000.00	7-Dec-22
123	Falcon Securities Limited	Rule 7.4	5,000.00	7-Dec-22
	Foresight Securities and Investment Limited	Rule 7.4	5,000.00	7-Dec-22
	Kundila Finance Services Limited	Rule 7.4	10,000.00	7-Dec-22
-				
	Newdevco Investments and Securities Limited	Rule 7.4	5,000.00	7-Dec-22
	Nova Finance and Securities Limited	Rule 7.4	10,000.00	7-Dec-22
128	Shelong Investments Limited	Rule 7.4	5,000.00	7-Dec-22
129	Topmost Securities Limited	Rule 7.4	10,000.00	7-Dec-22
130	Calyx Securities Limited	Rule 7.4	5,000.00	20-Dec-22
	Capital Trust Brokers Limited	Rule 7.4	10,000.00	20-Dec-22
	Cowry Securities Limited			
		Rule 7.4	15,000.00	20-Dec-22
	EDC Securities Limited	Rule 7.4	5,000.00	20-Dec-22
134	Fidelity Finance Company Limited	Rule 7.4	5,000.00	20-Dec-22
425	Harmony Securities Limited	Rule 7.4	5,000.00	20-Dec-22
135		Rule 7.4		
	Newdevco Investments and Securties Limited	INUIE 7.4	25,000.00	
136	Newdevco Investments and Securties Limited Nova Finance and Securities Limited	Rule 7.4	25,000.00 15.000.00	20-Dec-22 20-Dec-22
136 137	Nova Finance and Securities Limited	Rule 7.4	15,000.00	20-Dec-22 20-Dec-22
136 137 138	Nova Finance and Securities Limited Portfolio Advisers Limited	Rule 7.4 Rule 7.4	15,000.00 5,000.00	20-Dec-22 20-Dec-22 20-Dec-22
136 137 138	Nova Finance and Securities Limited	Rule 7.4	15,000.00	20-Dec-22 20-Dec-22
136 137 138	Nova Finance and Securities Limited Portfolio Advisers Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4	15,000.00 5,000.00	20-Dec-22 20-Dec-22 20-Dec-22
136 137 138 139	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4	15,000.00 5,000.00 110,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22
136 137 138 139	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4	15,000.00 5,000.00 110,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 18-Jan-23
136 137 138 139	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4	15,000.00 5,000.00 110,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22
136 137 138 139 139	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4	15,000.00 5,000.00 110,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 18-Jan-23
136 137 138 139 1 1 2 3	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Networth Securities and Finance Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4	15,000.00 5,000.00 110,000.00 40,000.00 30,000.00 30,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 18-Jan-23 18-Jan-23 18-Jan-23
136 137 138 139 1 1 2 3 4	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Networth Securities and Finance Limited Trust Yield Securities Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4	15,000.00 5,000.00 110,000.00 40,000.00 30,000.00 30,000.00 40,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 18-Jan-23 18-Jan-23 18-Jan-23 18-Jan-23
136 137 138 139 1 1 2 3 4 5	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Networth Securities and Finance Limited Trust Yield Securities Limited Nova Finance & Securities Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 1.4 Rule 1.6 (b)	15,000.00 5,000.00 110,000.00 40,000.00 30,000.00 40,000.00 500,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 18-Jan-23 18-Jan-23 18-Jan-23 18-Jan-23 24-Jan-23
136 137 138 139 1 1 2 3 4 5 6	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Networth Securities and Finance Limited Trust Yield Securities Limited Nova Finance & Securities Limited Cardinal Stone Securities Limited Cardinal Stone Securities Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 11.6 (b) Rule 7.4	15,000.00 5,000.00 110,000.00 40,000.00 30,000.00 40,000.00 40,000.00 500,000.00 5,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 18-Jan-23 18-Jan-23 18-Jan-23 24-Jan-23 2-Feb-23
136 137 138 139 1 2 3 4 5 6	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Networth Securities and Finance Limited Trust Yield Securities Limited Nova Finance & Securities Limited Cardinal Stone Securities Limited De-Lords Securities Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 1.6 (b) Rule 7.4 Rule 7.4 Rule 7.4	15,000.00 5,000.00 110,000.00 40,000.00 30,000.00 40,000.00 40,000.00 500,000.00 5,000.00 5,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 18-Jan-23 18-Jan-23 18-Jan-23 24-Jan-23 24-Jan-23 2-Feb-23
136 137 138 139 1 2 3 4 5 6 7	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Networth Securities and Finance Limited Trust Yield Securities Limited Nova Finance & Securities Limited Cardinal Stone Securities Limited De-Lords Securities Limited Financial and Analytics Capital Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 1.6 (b) Rule 11.6 (b) Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4	15,000.00 5,000.00 110,000.00 40,000.00 30,000.00 40,000.00 500,000.00 5,000.00 5,000.00 5,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 18-Jan-23 18-Jan-23 18-Jan-23 24-Jan-23 24-Jan-23 2-Feb-23 2-Feb-23
136 137 138 139 1 2 3 4 5 6 7	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Networth Securities and Finance Limited Trust Yield Securities Limited Nova Finance & Securities Limited Cardinal Stone Securities Limited De-Lords Securities Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 1.6 (b) Rule 7.4 Rule 7.4 Rule 7.4	15,000.00 5,000.00 110,000.00 40,000.00 30,000.00 40,000.00 40,000.00 500,000.00 5,000.00 5,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 18-Jan-23 18-Jan-23 18-Jan-23 24-Jan-23 24-Jan-23 2-Feb-23
136 137 138 139 1 2 3 4 5 6 7 8	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Networth Securities and Finance Limited Trust Yield Securities Limited Nova Finance & Securities Limited Cardinal Stone Securities Limited De-Lords Securities Limited Financial and Analytics Capital Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 1.6 (b) Rule 11.6 (b) Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4	15,000.00 5,000.00 110,000.00 40,000.00 30,000.00 40,000.00 500,000.00 5,000.00 5,000.00 5,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 18-Jan-23 18-Jan-23 18-Jan-23 24-Jan-23 24-Jan-23 2-Feb-23 2-Feb-23
136 137 138 139 1 2 3 4 5 6 7 8 9	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Networth Securities and Finance Limited Trust Yield Securities Limited Nova Finance & Securities Limited Cardinal Stone Securities Limited De-Lords Securities Limited Dinance & Securities Limited Financial and Analytics Capital Limited Financial Finance Services Limited Funds Matrix and Assets Mgt Limited Funds Matrix and Assets Mgt Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 11.6 (b) Rule 7.4	15,000.00 5,000.00 110,000.00 40,000.00 30,000.00 40,000.00 500,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 18-Jan-23 18-Jan-23 18-Jan-23 24-Jan-23 24-Jan-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23
136 137 138 139 1 2 3 4 5 6 7 8 9 10	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Networth Securities and Finance Limited Trust Yield Securities Limited Nova Finance & Securities Limited Cardinal Stone Securities Limited De-Lords Securities Limited Financial and Analytics Capital Limited Financial Finance Services Limited Founds Matrix and Assets Mgt Limited Funds Matrix and Assets Mgt Limited Futureview Securities Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 11.6 (b) Rule 7.4	15,000.00 5,000.00 110,000.00 40,000.00 30,000.00 30,000.00 40,000.00 500,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 18-Jan-23 18-Jan-23 18-Jan-23 24-Jan-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23
136 137 138 139 1 2 3 4 5 6 7 8 9 10 11	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Networth Securities and Finance Limited Trust Yield Securities Limited Nova Finance & Securities Limited Cardinal Stone Securities Limited De-Lords Securities Limited Financial and Analytics Capital Limited Finance Services Limited Finand Finance Services Limited Finds Matrix and Assets Mgt Limited Futureview Securities Limited Gidauniya Investment and Securities Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 1.6 (b) Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.7 Rule 7.4	15,000.00 5,000.00 110,000.00 110,000.00 30,000.00 30,000.00 40,000.00 500,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 18-Jan-23 18-Jan-23 18-Jan-23 24-Jan-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23
136 137 138 139 1 2 3 4 5 6 7 8 9 10 11 12 13	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Networth Securities and Finance Limited Trust Yield Securities Limited Nova Finance & Securities Limited Cardinal Stone Securities Limited De-Lords Securities Limited Financial and Analytics Capital Limited Financial Finance Services Limited Funds Matrix and Assets Mgt Limited Futureview Securities Limited Gidauniya Investment and Securities Limited Global Asset Management (Nig) Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 11.6 (b) Rule 7.4	15,000.00 5,000.00 110,000.00 110,000.00 30,000.00 30,000.00 40,000.00 50,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 18-Jan-23 18-Jan-23 18-Jan-23 24-Jan-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23
136 137 138 139 1 2 3 4 5 6 7 8 9 10 11 12 13 14	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Nova Finance Limited Nova Finance & Securities Limited Cardinal Stone Securities Limited De-Lords Securities Limited Financial and Analytics Capital Limited Financial Finance Services Limited Financial Finance Financial	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 11.6 (b) Rule 7.4	15,000.00 5,000.00 110,000.00 30,000.00 30,000.00 40,000.00 500,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 18-Jan-23 18-Jan-23 18-Jan-23 24-Jan-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23
136 137 138 139 1 2 3 4 5 6 7 8 9 10 11 12 13 14	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Networth Securities and Finance Limited Trust Yield Securities Limited Nova Finance & Securities Limited Cardinal Stone Securities Limited De-Lords Securities Limited Financial and Analytics Capital Limited Financial Finance Services Limited Funds Matrix and Assets Mgt Limited Futureview Securities Limited Gidauniya Investment and Securities Limited Global Asset Management (Nig) Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 11.6 (b) Rule 7.4	15,000.00 5,000.00 110,000.00 110,000.00 30,000.00 30,000.00 40,000.00 500,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 18-Jan-23 18-Jan-23 18-Jan-23 24-Jan-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23
136 137 138 139 1 2 3 4 5 6 7 8 9 10 11 12 13 14	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Nova Finance Limited Nova Finance & Securities Limited Cardinal Stone Securities Limited De-Lords Securities Limited Financial and Analytics Capital Limited Financial Finance Services Limited Financial Finance Financial	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 11.6 (b) Rule 7.4	15,000.00 5,000.00 110,000.00 30,000.00 30,000.00 40,000.00 500,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 18-Jan-23 18-Jan-23 18-Jan-23 24-Jan-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23
136 137 138 139 1 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Networth Securities and Finance Limited Trust Yield Securities Limited Nova Finance & Securities Limited Cardinal Stone Securities Limited De-Lords Securities Limited De-Lords Securities Limited Financial and Analytics Capital Limited Financial Finance Services Limited Funds Matrix and Assets Mgt Limited Futureview Securities Limited Gidauniya Investment and Securities Limited Gidauniya Investment (Nig) Limited Kedari Capital Limited Kundila Finance Services Limited Kundila Finance Services Limited Magnartis Finance and Investment Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 11.6 (b) Rule 7.4	15,000.00 5,000.00 110,000.00 110,000.00 30,000.00 30,000.00 30,000.00 500,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 18-Jan-23 18-Jan-23 18-Jan-23 24-Jan-23 24-Jan-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23
136 137 138 139 1 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Networth Securities and Finance Limited Trust Yield Securities Limited Nova Finance & Securities Limited Cardinal Stone Securities Limited De-Lords Securities Limited De-Lords Securities Limited Financial and Analytics Capital Limited Financial Finance Services Limited Finant Finance Services Limited Finds Matrix and Assets Mgt Limited Futureview Securities Limited Gidauniya Investment and Securities Limited Gidauniya Investment and Securities Limited Kedari Capital Limited Kedari Capital Limited Magnartis Finance Services Limited Magnartis Finance and Investment Limited Marimpex Finance and Investment Company Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 11.6 (b) Rule 7.4	15,000.00 5,000.00 110,000.00 110,000.00 30,000.00 30,000.00 40,000.00 500,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 18-Jan-23 18-Jan-23 18-Jan-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23 2-Feb-23
136 137 138 139 14 5 6 7 8 9 10 11 12 13 14 15 16 17 18	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Networth Securities and Finance Limited Trust Yield Securities Limited Nova Finance & Securities Limited Cardinal Stone Securities Limited De-Lords Securities Limited Financial and Analytics Capital Limited Financial Finance Services Limited Finant Finance Services Limited Find Matrix and Assets Mgt Limited Futureview Securities Limited Gidauniya Investment and Securities Limited Global Asset Management (Nig) Limited Kedari Capital Limited Kundila Finance Services Limited Magnartis Finance and Investment Limited Marimpex Finance and Investment Company Limited MBC Securities Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 11.6 (b) Rule 7.4	15,000.00 5,000.00 110,000.00 110,000.00 110,000.00 30,000.00 30,000.00 40,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00 5,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 3 18-Jan-23 18-Jan-23 24-Jan-23 2-Feb-23
136 137 138 139 1 1 2 3 4 5 6 6 7 8 9 10 11 12 13 14 15 16 17 18	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Nova Finance & Securities Limited Nova Finance & Securities Limited Cardinal Stone Securities Limited De-Lords Securities Limited De-Lords Securities Limited Financial and Analytics Capital Limited Financial and Analytics Capital Limited Financial Finance Services Limited Gidauniya Investment and Securities Limited Gidauniya Investment and Securities Limited Giobal Asset Management (Nig) Limited Kedari Capital Limited Kedari Capital Limited Magnartis Finance and Investment Limited Marimpex Finance and Investment Limited Marimpex Finance and Investment Company Limited MBC Securities Limited Milestone Capital Management Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 11.6 (b) Rule 7.4	15,000.00 5,000.00 110,000.00 110,000.00 30,000.00 30,000.00 40,000.00 5,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 18-Jan-23 18-Jan-23 18-Jan-23 24-Jan-23 24-Jan-23 2-Feb-23
136 137 138 139 1 1 2 3 4 5 6 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Nova Finance Ascurities and Finance Limited Trust Yield Securities Limited Nova Finance & Securities Limited Cardinal Stone Securities Limited De-Lords Securities Limited De-Lords Securities Limited Financial and Analytics Capital Limited Financial and Analytics Capital Limited Financial Analytics Limited Financial Analytics Capital Limited Financial Analytics Capital Limited Financial Analytics Capital Limited Financial Assets Mgt Limited Financial Assets Mgt Limited Gidauniya Investment and Securities Limited Global Asset Management (Nig) Limited Kedari Capital Limited Kundila Finance Services Limited Magnartis Finance and Investment Limited Marimpex Finance and Investment Company Limited MBC Securities Limited Milestone Capital Management Limited Portfolio Advisers Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 11.6 (b) Rule 7.4	15,000.00 5,000.00 110,000.00 110,000.00 30,000.00 30,000.00 40,000.00 500,000.00 5,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 18-Jan-23 18-Jan-23 18-Jan-23 24-Jan-23 2-Feb-23
136 137 138 139 1 1 2 3 4 5 6 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Nova Finance & Securities Limited Nova Finance & Securities Limited Cardinal Stone Securities Limited De-Lords Securities Limited De-Lords Securities Limited Financial and Analytics Capital Limited Financial and Analytics Capital Limited Financial Finance Services Limited Gidauniya Investment and Securities Limited Gidauniya Investment and Securities Limited Giobal Asset Management (Nig) Limited Kedari Capital Limited Kedari Capital Limited Magnartis Finance and Investment Limited Marimpex Finance and Investment Limited Marimpex Finance and Investment Company Limited MBC Securities Limited Milestone Capital Management Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 11.6 (b) Rule 7.4	15,000.00 5,000.00 110,000.00 110,000.00 30,000.00 30,000.00 40,000.00 5,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 18-Jan-23 18-Jan-23 18-Jan-23 24-Jan-23 24-Jan-23 2-Feb-23
136 137 138 139 1 1 2 3 3 4 5 6 6 7 8 9 10 11 12 13 14 15 16 17 18 19 19 19 19 19 19 19 19 19 19 19 19 19	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Nova Finance Ascurities and Finance Limited Trust Yield Securities Limited Nova Finance & Securities Limited Cardinal Stone Securities Limited De-Lords Securities Limited De-Lords Securities Limited Financial and Analytics Capital Limited Financial and Analytics Capital Limited Financial Analytics Limited Financial Analytics Capital Limited Financial Analytics Capital Limited Financial Analytics Capital Limited Financial Assets Mgt Limited Financial Assets Mgt Limited Gidauniya Investment and Securities Limited Global Asset Management (Nig) Limited Kedari Capital Limited Kundila Finance Services Limited Magnartis Finance and Investment Limited Marimpex Finance and Investment Company Limited MBC Securities Limited Milestone Capital Management Limited Portfolio Advisers Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 11.6 (b) Rule 7.4	15,000.00 5,000.00 110,000.00 110,000.00 30,000.00 30,000.00 40,000.00 500,000.00 5,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 18-Jan-23 18-Jan-23 18-Jan-23 24-Jan-23 2-Feb-23
136 137 138 139 14 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 20 21 22	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Networth Securities and Finance Limited Trust Yield Securities Limited Nova Finance & Securities Limited Cardinal Stone Securities Limited De-Lords Securities Limited De-Lords Securities Limited Financial and Analytics Capital Limited Financial Finance Services Limited Finands Matrix and Assets Mgt Limited Funds Matrix and Assets Mgt Limited Futureview Securities Limited Gidauniya Investment and Securities Limited Gidauniya Investment and Securities Limited Kedari Capital Limited Kundila Finance Services Limited Magnartis Finance and Investment Limited Marimpex Finance and Investment Company Limited MBC Securities Limited Milestone Capital Management Limited Portfolio Advisers Limited Sankore Securities Limited Sankore Securities Limited Sankore Securities Limited Security Swaps Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 11.6 (b) Rule 7.4	15,000.00 5,000.00 110,000.00 110,000.00 110,000.00 30,000.00 30,000.00 30,000.00 50,000.00 5,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 3 18-Jan-23 18-Jan-23 24-Jan-23 2-Feb-23
136 137 138 139 1 1 2 3 4 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Networth Securities and Finance Limited Trust Yield Securities Limited Nova Finance & Securities Limited Cardinal Stone Securities Limited De-Lords Securities Limited De-Lords Securities Limited Financial and Analytics Capital Limited Financial and Analytics Capital Limited Finands Finance Services Limited Finands Matrix and Assets Mgt Limited Futureview Securities Limited Gidauniya Investment and Securities Limited Global Asset Management (Nig) Limited Kedari Capital Limited Kundila Finance Services Limited Magnartis Finance and Investment Limited Marimpex Finance and Investment Company Limited MBC Securities Limited Milestone Capital Management Limited Portfolio Advisers Limited Sankore Securities Limited Sankore Securities Limited Spring Trust and Securities Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 11.6 (b) Rule 7.4	15,000.00 5,000.00 110,000.00 110,000.00 30,000.00 30,000.00 40,000.00 5,000.00	20-Dec-22 20-Dec-23 21-B-Jan-23 24-Jan-23 24-Jan-23 2-Feb-23
136 137 138 139 1 1 2 3 4 5 6 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Networth Securities and Finance Limited Trust Yield Securities Limited Nova Finance & Securities Limited Cardinal Stone Securities Limited De-Lords Securities Limited De-Lords Securities Limited Financial and Analytics Capital Limited Financial and Analytics Capital Limited Financial Finance Services Limited Finands Matrix and Assets Mgt Limited Futureview Securities Limited Gidauniya Investment and Securities Limited Global Asset Management (Nig) Limited Kedari Capital Limited Kedari Capital Limited Magnartis Finance and Investment Limited Magnartis Finance and Investment Limited Marimpex Finance and Investment Company Limited Milestone Capital Management Limited Milestone Capital Management Limited Sankore Securities Limited Sankore Securities Limited Spring Trust and Securities Limited Trust Yield Securities Limited Trust Yield Securities Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 11.6 (b) Rule 7.4	15,000.00 5,000.00 110,000.00 110,000.00 30,000.00 30,000.00 40,000.00 5,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 3 18-Jan-23 18-Jan-23 18-Jan-23 24-Jan-23 24-Jan-23 2-Feb-23
136 137 138 139 139 1 1 2 3 4 4 5 6 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 22 23 24 25	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Networth Securities and Finance Limited Trust Yield Securities Limited Nova Finance & Securities Limited Ova Finance & Securities Limited De-Lords Securities Limited Financial and Analytics Capital Limited Financial and Analytics Capital Limited Financial and Assets Mgt Limited Financial and Assets Mgt Limited Finds Matrix and Assets Mgt Limited Finds Matrix and Assets Mgt Limited Gidauniya Investment and Securities Limited Gidauniya Investment (Nig) Limited Kedari Capital Limited Kundila Finance Services Limited Magnartis Finance and Investment Limited Magnartis Finance and Investment Company Limited MMBC Securities Limited Milestone Capital Management Limited Portfolio Advisers Limited Sankore Securities Limited Security Swaps Limited Securities Trust Yield Securities Limited Trust Yield Securities Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 11.6 (b) Rule 7.4	15,000.00 5,000.00 110,000.00 110,000.00 30,000.00 30,000.00 30,000.00 50,000.00 5,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 18-Jan-23 18-Jan-23 18-Jan-23 24-Jan-23 2-Feb-23
136 137 138 139 14 5 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 23 24 25 26	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Networth Securities and Finance Limited Trust Yield Securities Limited Nova Finance & Securities Limited Cardinal Stone Securities Limited De-Lords Securities Limited De-Lords Securities Limited Financial and Analytics Capital Limited Financial Finance Services Limited Finands Matrix and Assets Mgt Limited Futureview Securities Limited Gidauniya Investment and Securities Limited Gidauniya Investment (Nig) Limited Kedari Capital Limited Kundila Finance Services Limited Magnartis Finance and Investment Limited Maringar Finance and Investment Company Limited MBC Securities Limited MBC Securities Limited Security Swaps Limited Security Swaps Limited Spring Trust and Securities Limited Trust Yield Securities Limited Maxifund Investment and Securities Plc	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 11.6 (b) Rule 7.4	15,000.00 5,000.00 110,000.00 110,000.00 30,000.00 30,000.00 30,000.00 30,000.00 50,000.00 5,000.00	20-Dec-22 20-Dec-23 21-23 21-23 22-24 22
136 137 138 139 139 1 1 2 3 3 4 5 6 6 7 8 9 10 11 12 13 14 15 16 17 18 19 20 21 22 22 23 24 25 26 26 27 27 28 29 20 20 20 20 20 20 20 20 20 20 20 20 20	Nova Finance and Securities Limited Portfolio Advisers Limited Resort Securities and Trust Limited Maxifund Investment and Securities Plc Midas Stockbrokers Limited Networth Securities and Finance Limited Trust Yield Securities Limited Nova Finance & Securities Limited Ova Finance & Securities Limited De-Lords Securities Limited Financial and Analytics Capital Limited Financial and Analytics Capital Limited Financial and Assets Mgt Limited Financial and Assets Mgt Limited Finds Matrix and Assets Mgt Limited Finds Matrix and Assets Mgt Limited Gidauniya Investment and Securities Limited Gidauniya Investment (Nig) Limited Kedari Capital Limited Kundila Finance Services Limited Magnartis Finance and Investment Limited Magnartis Finance and Investment Company Limited MMBC Securities Limited Milestone Capital Management Limited Portfolio Advisers Limited Sankore Securities Limited Security Swaps Limited Securities Trust Yield Securities Limited Trust Yield Securities Limited	Rule 7.4 Rule 7.4 Rule 6.15 & 7.4 2023 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 11.6 (b) Rule 7.4	15,000.00 5,000.00 110,000.00 110,000.00 30,000.00 30,000.00 30,000.00 50,000.00 5,000.00	20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 20-Dec-22 18-Jan-23 18-Jan-23 18-Jan-23 24-Jan-23 2-Feb-23

20 Control					
1. March Schoolfer Limited March 1 Mar					
1.00 New York Common Commo					
10 100					
18 Bare Societies Unified					
No.		·			
Both Price Securities Limited					
1.0 Per State Content Lumber 1.0 Content 1.0 Content					
10 10 10 10 10 10 10 10			Rule 7.4	20,000.00	
20 Part Pa	37	TRW Stockbrokers Limited	Rule 7.4		16-Feb-23
A	38	UIDC Securities Limited	Rule 7.4	5,000.00	16-Feb-23
Color Color Private of Importance Company United 60-7-2 4-7-2	39	Belfry Investment and Securities Limited	Rule 7.4	5,000.00	23-Feb-23
April Description Company Co	40	Capital Trust Brokers Limited	Rule 7.4	5,000.00	23-Feb-23
Oct Proceedings Company Comp	41	City Code Trust and Investment Company Limited	Rule 7.4	55,000.00	23-Feb-23
Mode Capital Institute Mode Park Mod	42	Core Securities Limited			23-Feb-23
Marchael Societate Standard 1,5,000 22 verb 22	43	WCM Capital Limited			
Beautiful content	44	Interstate Securities Limited			
Age Care Contract United Mule 5 8 615 50,000 (C) 2 3 7 6 7 7				-,	
April Comment Securities Limited Sept 7.4 Sept 7.5					
Begin					
deciding 100	_				
50 Cot of Final and Immensional Company Limited 646-7.4 5,000.001 2-Mar-23 2-Marriago Financia and Insersional Company Limited 646-7.4 1,000.001 2-Mar-23 2-Marriago Financia and Insersional Company Limited 646-7.4 1,000.001 2-Mar-23 2-Marriago Financia and Insersional Company Limited 646-7.4 1,000.001 2-Mar-23 2-Marriago Financia and Insersional Company Limited 646-7.4 1,000.001 2-Mar-23 2-Marriago Financia Limited 646-7.4 1,000.001 2-Mar-23 2-Mar-2	_	•			
Section Securities Limited		·			
1.5 Martines extinates and interestant Company (interest Neal + 2.4 5,000,00 2,446-7.3 2,546-7.5 2,5					
13 Novel Creat Privates Limited Nate 7.4 \$,000.00 2-Mar 2.3					
Securities and capital Mensagement Company Limited Sub 7.4 Sub 7.6					
Section Securities Limited Sub 7 A Sub00.00 2-Mar 23		,			
56					
17 Integrated Trust and Investment Lordinal 18,42 / 2.4. 5,000.00 10 Mode 2, 2.4.					
Section Sect					
Section Sect		-			
Col. Tools Securities Limited Null P 74 5,000.00 174 Mar 24 15,000.00 174 Mar 24 174					
Supplementaries Securities United 15,000.00 37-4/8-72 25 sinker in Securities United 15,000.00 37-4/8-72 3,000.00 34-4/		·			
Samtion Securities Umited					
City Code Trost and Investment Company Limited	61	Nova Finance & Securities Limited	Rule 7.4	15,000.00	17-Mar-23
City Code Trost and Investment Company Limited	62	Sankore Securities Limited	The firm was suspended for operating without an Authorized Dealing Clark	Suspension	20-Mar-23
64 Solid Rock Sequities and Investment Pic Rule 7.4 Supersion The rim was suspended for operating without an Authorized Dealing Clerk Supersion Supe	02	Sumore Securities Limited	the him was suspended for operating without an Authorized Dealing Clerk	Suspension	20°1VId1°23
Core Securities Limited	63	City Code Trust and Investment Company Limited	Rule 7.4	5,000.00	24-Mar-23
Fidelity Finance Company Limited	64	Solid Rock Securities and Investment Plc	Rule 7.4	5,000.00	24-Mar-23
Fidelity Finance Company Limited		Control Control Control			24 14 22
Fig. 19 19 19 19 19 19 19 1	65	Core Securities Limited	The firm was suspended for operating without an Authorized Dealing Clerk	Suspension	31-Mar-23
Fig. 19 19 19 19 19 19 19 1	66	Fidelity Finance Company Limited	Rule 7.4	5.000.00	31-Mar-23
68 Arthur Stevens Asset Management Limited Nule 7-4 10,000.00 6-Apr. 23					
69 Golden Securities Limited Nule 7.4 S.000.00 6.Apr.23 71 Parthain Securities and Finance Limited Rule 7.4 S.000.00 6.Apr.23 72 Parthain Securities Limited Rule 7.4 S.000.00 6.Apr.23 73 Parmium Capital Limited Rule 7.4 S.000.00 6.Apr.23 73 Parmium Capital Limited Rule 7.4 S.000.00 6.Apr.23 74 Parmium Capital Limited Rule 7.4 S.000.00 6.Apr.23 75 Tim Wiscotholews Limited Rule 7.4 S.000.00 6.Apr.23 75 Tim Wiscotholews Limited Rule 7.4 S.000.00 S.Apr.23 76 AAM Securities Limited Rule 7.4 S.000.00 S.Apr.23 77 DUM Securities Limited Rule 7.4 S.000.00 S.Apr.23 78 AAM Securities Limited Rule 7.4 S.000.00 S.Apr.23 79 Automatical Limited Rule 7.4 S.000.00 S.Apr.23 70 Automatical Limited Rule 7.4 S.000.00 S.Apr.23 71 Automatical Limited Rule 7.4 S.000.00 S.Apr.23 72 Automatical Limited Rule 7.4 S.000.00 S.Apr.23 73 Automatical Limited Rule 7.4 S.000.00 S.Apr.23 74 Automatical Limited Rule 7.4 S.000.00 S.Apr.23 75 Automatical Limited Rule 7.4 S.000.00 S.Apr.23 76 Rule Rational Limited Rule 7.4 S.000.00 S.Apr.23 76 Rule Rational Limited Rule 7.4 S.000.00 S.Apr.23 77 Rule Rational Limited Rule 7.4 S.000.00 S.Apr.23 78 Rule Rational Limited Rule 7.4 S.000.00 S.Apr.23 79 Rule Rational Limited Rule 7.4 S.000.00 S.Apr.23 70 Rule Rational Limited Rule 7.4 S.000.00 S.Apr.23 70 Rule Rational Rational Limited Rule 7.4 S.000.00 S.Apr.23 70 Rule Rational Limited Rule					
10 Networth Securities and Finance Limited Rule 7.4 5,000.00 6.Apr.23 27 Parkina Securities Limited Rule 7.4 5,000.00 6.Apr.23 27 Parkina Securities Limited Rule 7.4 5,000.00 6.Apr.23 28 Parkina Securities Limited Rule 7.4 5,000.00 6.Apr.23 29 Parkina Securities Limited Rule 7.4 5,000.00 6.Apr.23 20 Parkina Securities Limited Rule 7.4 5,000.00 6.Apr.23 21 Rank Securities Limited Rule 7.4 5,000.00 6.Apr.23 22 Rank Securities Limited Rule 7.4 5,000.00 13.Apr.23 23 Rank Securities Limited Rule 7.4 5,000.00 13.Apr.23 24 Rank Securities Limited Rule 7.4 5,000.00 13.Apr.23 25 Rank Securities Limited Rule 7.4 5,000.00 13.Apr.23 26 Rank Securities Limited Rule 7.4 5,000.00 13.Apr.23 27 Mission Securities Limited Rule 7.4 5,000.00 13.Apr.23 28 Rank Securities Limited Rule 7.4 5,000.00 13.Apr.23 29 Mission Securities Limited Rule 7.4 5,000.00 13.Apr.23 20 Rank Securities Limited Rule 7.4 5,000.00 13.Apr.23 20 Rank Securities Limited Rule 7.4 5,000.00 13.Apr.23 21 Rank Securities Limited Rule 7.4 5,000.00 13.Apr.23 22 Rank Securities Limited Rule 7.4 5,000.00 14.Apr.23 23 Rank Securities Limited Rule 7.4 5,000.00 14.Apr.23 24 Rank Securities Limited Rule 7.4 5,000.00 14.Apr.23 25 Rank Securities Limited Rule 7.4 5,000.00 15.Apr.23 26 Rank Securities Limited Rule 7.4 5,000.00 20.Apr.23 27 Rank Securities Limited Rule 7.4 5,000.00 20.Apr.23 28 Rank Securities Limited Rule 7.4 5,000.00 20.Apr.23 29 Rank Securities Limited Rule 7.4 5,000.00 20.Apr.23 20 Rank Securities Limited Rule 7.4 5,000.00 20.Apr.23 21					
17 Parthan Securities Limited					
22 Pinet Capital Limited Rule 7.4 5,000.00 6-Apr-23				,	
37 Primewalth Capital Limited Rule 7.4 10,000.00 6-Apr/3 Primewalth Capital Limited Rule 7.4 10,000.00 6-Apr/3 57 TMV Stockhorkers Limited Rule 7.4 5,000.00 13-Apr/3 58 AMN Securities Limited Rule 7.4 5,000.00 13-Apr/3 77 DM Securities Limited Rule 7.4 5,000.00 13-Apr/3 78 Investment One Stockhorkers International Limited Rule 7.4 5,000.00 13-Apr/3 13-Apr/3 Investment One Stockhorkers International Limited Rule 7.4 5,000.00 13-Apr/3 13-Apr/3 Investment One Stockhorkers International Limited Rule 7.4 5,000.00 13-Apr/3 13 Investment one Stockhorkers International Limited Rule 7.4 5,000.00 13-Apr/3 13 Investment and Securities International Limited Rule 7.4 10,000.00 14-Apr/3 13 Investment and Securities International Limited Rule 7.4 10,000.00 13-Apr/3 13 Investment and Securities IPIC Rule 7.4 10,000.00 13-Apr/3 13 Investment and Securities IPIC Rule 7.4 10,000.00 13-Apr/3 14 Investment and Securities IPIC Rule 7.4 10,000.00 13-Apr/3 15 Investment and Securities IPIC Rule 7.4 10,000.00 13-Apr/3 16 Investment and Securities Imited Rule 7.4 10,000.00 20-Apr/3 17 Investment and Securities Imited Rule 7.4 10,000.00 20-Apr/3 18 Investment and Securities Imited Rule 7.4 10,000.00 20-Apr/3 19 Investment and Securities Imited Rule 7.4 10,000.00 20-Apr/3 19 Investment and Securities Imited Rule 7.4 10,000.00 20-Apr/3 10 Investment and Securities Imited Rule 7.4 10,000.00 20-Apr/3 10 Investment All Securities Imited Rule 7.4 10,000.00 20-Apr/3 10 Investment Investment Imited Rule 7.4 10,000.00 20-Apr/3 10 Investment Investment Imited Rule 7.4 10,000.00 20-Apr/3 11 Investment Investment Imited Rule 7.4 10,000.00 20-Apr/3 12 Investment Investment Imited Rule 7.4 10,000.00 20-Apr/3 13 Investment Investment Imited R					
74 Primewealth Capital Limited Rule 7.4 5.000.00 6-Apr/33 5 TRM Stockhorles Limited Rule 7.4 5.000.00 13-Apr/32 76 ARM Securities Limited Rule 7.4 5.000.00 13-Apr/32 77 U.M Securities Limited Rule 7.4 5.000.00 13-Apr/32 78 Investment One Stockhorkers International Limited Rule 7.4 5.000.00 13-Apr/32 78 Mission Securities Limited Rule 7.4 5.000.00 13-Apr/32 79 Mission Securities Limited Rule 7.4 5.000.00 13-Apr/32 80 Capital Trust Brokers Limited Rule 7.4 10.000.00 14-Apr/32 80 Capital Trust Brokers Limited Rule 7.4 10.000.00 14-Apr/32 81 Forte Financial Limited Rule 7.4 10.000.00 13-Apr/32 82 Massirued Harden and Securities In Rule 7.4 30.000.00 13-Apr/32 83 Solid Rost Securities and Investment Pic Rule 7.4 25.000.00 13-Apr/32 84 Misc Securities Limited Rule 7.4 5.000.00 20-Apr/33 85 Forte Financial Limited Rule 7.4 5.000.00 20-Apr/33 86 Meristem Stockhorkers Limited Rule 7.4 5.000.00 20-Apr/33 87 Pemilum Capital Limited Rule 7.4 5.000.00 20-Apr/33 88 Allass Portfolio Limited Rule 7.4 5.000.00 20-Apr/33 88 Farts Stockhorkers Limited Rule 7.4 5.000.00 23-Apr/33 98 Farts Stockhorkers Limited Rule 7.4 5.000.00 23-Apr/33 99 Farts Mission Stockhorkers Limited Rule 7.4 5.000.00 23-Apr/33 90 Nove Finance and Securities Limited Rule 7.4 5.000.00 23-Apr/33 91 Parts Stockhorkers Limited Rule 7.4 5.000.00 5-May/33 91 Parts Stockhorkers Limited Rule 7.4 5.000.00 5-May/33 91 Parts Stockhorkers Limited Rule 7.4 5.000.00 5-May/33 91 Parts Stockhorkers Limited Rule					
The Note of the Control of the Con					
To Securities Limited					
Transmission Tran					
18					
199 Mission Securities United 8ule 7.4 10,000.00 13-Apr-23 10 Capital Trust Brokers Limited 8ule 7.4 10,000.00 14-Apr-23 10 Capital Trust Brokers Limited 8ule 7.4 10,000.00 14-Apr-23 12 Masfind Investment and Securities Pic Rule 7.4 30,000.00 15-Apr-23 180 Rule 7.4 10,000.00 14-Apr-23 180 Rule 7.4 10,000.00 15-Apr-23 180 Rule 7.4 10,000.00 14-Apr-23 180 Rule 7.4 10,000.00 19-Apr-23 180 Rule 7.4 19-Apr-24 19-Apr-24 19-Apr-24 19-Apr-24 19-Ap					
Social Capital Trust Brokers Limited					
Securities Sec					
22 Masfund Investment and Securities Pic Rule 7.4 25,000.00 19-Apr.23		•			
Salid Rock Securities and Investment Pic Rule 7.4 10,000.00 19-Apr-23 18.4 MRG Securities Limited Rule 7.4 10,000.00 20-Apr-23 18.5 Forte Financial Limited Rule 7.4 5,000.00 20-Apr-23 18.6 Meristem Stockbrokers Limited Rule 7.4 5,000.00 28-Apr-23 19.6 Mova Finance and Securities Limited Rule 7.4 5,000.00 28-Apr-23 19.6 Mova Finance and Securities Limited Rule 7.4 5,000.00 28-Apr-23 19.6 Mova Finance and Securities Limited Rule 7.4 5,000.00 28-Apr-23 19.6 Mova Finance Environmental Rule 7.4 5,000.00 28-Apr-23 19.6 Mova Finance and Securities Limited Rule 7.4 5,000.00 28-Apr-23 19.6 Mova Finance Environmental Rule 7.4 5,000.00 3-May-23 MRG Securities Limited Rule 7.4 5,000.00 5-May-23 MRG Securities Limited Rule 7.4 5,000.00 5-May-23 MRG Securities Inimited Rule 7.4 5,000.00 5-May-23 7.6 May Securities Limited Rule 7.4 5,000.00 5-May-23 7.6 May Securities Limited Rule 7.4 5,000.00 5-May-23 7.6 May Securities Limited Rule 7.4 5,000.00 5-May-23 7.6 Mova Finance and Securities Limited Rule 7.4 5,000.00 5-May-23 7.6 Mova Finance and Securities Limited Rule 7.4 5,000.00 5-May-23 7.6 May Securities Limited Rule 7.4 5,000					
BMC Securities Limited					
Section Sect					
Refinition Stockbrokers Limited				10,000.00	
Remium Capital Limited Rule 7.4 5,000.00 20-Apr-23					
88 Atlass Portfolio Umited Rule 7.4 5,000.00 28-Apr-23 99 Fundvine Capital and Securities Limited Rule 7.4 10,000.00 28-Apr-23 19 PAC Securities Limited Rule 7.4 10,000.00 28-Apr-23 19 PAC Securities Limited Rule 7.4 10,000.00 28-Apr-23 29 CKMG Securities Limited Rule 7.4 15,000.00 5-May-23 38 Kundila Finance Services Limited Rule 7.4 20,000.00 5-May-23 39 MBG Securities Limited Rule 7.4 15,000.00 5-May-23 39 Newforth Securities and Finance Limited Rule 7.4 15,000.00 5-May-23 30 Newdevoc Investments and Securities Limited Rule 7.4 5,000.00 5-May-23 39 Rostrum Investment and Securities Limited Rule 7.4 20,000.00 5-May-23 39 Rostrum Investment and Securities Limited Rule 7.4 20,000.00 5-May-23 30 Valueline Securities Limited Rule 7.4 5,000.00 5-May-23 30 Valueline Securities and Investment Limited Rule 7.4 5,000.00 5-May-23 30 Valueline Securities Limited Rule 7.4<	86	Meristem Stockbrokers Limited	Rule 7.4	5,000.00	20-Apr-23
89 Fundvine Capital and Securities Limited Rule 7.4 S,000.00 28-Apr-23 90 Nova Finance and Securities Limited Rule 7.4 10,000.00 28-Apr-23 91 PAC Securities Limited Rule 7.4 10,000.00 28-Apr-23 92 CIMG Securities Limited Rule 7.4 15,000.00 5-May-23 93 Kundilla Finance Services Limited Rule 7.4 20,000.00 5-May-23 94 MBC Securities Limited Rule 7.4 15,000.00 5-May-23 95 Networth Securities and Finance Limited Rule 7.4 15,000.00 5-May-23 96 Newdevoc Investments and Securities Limited Rule 7.4 15,000.00 5-May-23 97 Nova Finance and Securities Limited Rule 7.4 20,000.00 5-May-23 98 Nova Finance and Securities Limited Rule 7.4 20,000.00 5-May-23 99 UCML Capital Limited Rule 7.4 20,000.00 5-May-23 100 Valueline Securities and Investment Limited Rule 7.4 5,000.00 5-May-23 101 Core Securities Limited Rule 7.4 5,000.00 5-May-23 102 Magnartis Finance and Investment Limited Rule 7.4 5,000.00 5-May-23 103 Maxifund Investment and Securities PIC Rule 7.4 5,000.00 5-May-23 104 Page Capital Markets Lid Rule 7.4 5,000.00 5-May-23 105 Trust Yiled Securities Limited Rule 7.4 5,000.00 5-May-23 105 Maxifund Investment Associated Rule 7.4 5,000.00 5-May-23 106 Magnartis Finance and Investment Limited Rule 7.4 5,000.00 5-May-23 107 Page Capital Markets Lid Rule 7.4 5,000.00 5-May-23 108 Trust Yiled Securities Limited Rule 7.4 5,000.00 1-May-23 109 Page Capital Markets Lid Rule 7.4 5,000.00 1-May-23 109 Page Capital Markets Lid Rule 7.4 5,000.00 1-May-23 109 Page Capital Markets Lid Rule 7.4 5,000.00 1-May-23 100 Page Capital Markets Lid Rule 7.4 5,000.00 1-May-23 101 Page Capital Markets Lid Rule 7.4 5,000.00 1-May-23 102 Page Capital Markets Lid Rule 7.4 5,000.00 1-May-23 103 Page Capital Markets Lid Rule 7.4 5,000.00 1-May-23 104 Page Capital Markets Lid			Rule 7.4	5,000.00	20-Apr-23
88 Fundwine Capital and Securities Limited Rule 7.4 10,000.00 28-Apr-23 90 Nova Finance and Securities Limited Rule 7.4 10,000.00 28-Apr-23 91 PAC Securities Limited Rule 7.4 10,000.00 28-Apr-23 92 ICMG Securities Limited Rule 7.4 15,000.00 5-May-23 93 Kundila Finance Services Limited Rule 7.4 20,000.00 5-May-23 94 MBC Securities Limited Rule 7.4 15,000.00 5-May-23 95 Networth Securities and Finance Limited Rule 7.4 15,000.00 5-May-23 95 Networth Securities and Securities Limited Rule 7.4 15,000.00 5-May-23 96 Newdevoc Investments and Securities Limited Rule 7.4 20,000.00 5-May-23 97 Nova Finance and Securities Limited Rule 7.4 20,000.00 5-May-23 98 Rostrum Investment and Securities Imited Rule 7.4 20,000.00 5-May-23 99 UCML Capital Limited Rule 7.4 20,000.00 5-May-23 100 Valueline Securities and Investment Limited Rule 7.4 5,000.00 5-May-23 101 Core Securities Imited Rule 7.4 5,000.00 5-May-23 102 Magnartis Finance and Investment Limited Rule 7.4 5,000.00 5-May-23 103 Maxifund Investment and Securities Pic Rule 7.4 5,000.00 8-May-23 105 Maxifund Investment and Securities Pic Rule 7.4 5,000.00 8-May-23 106 Magnartis Finance and Investment Limited Rule 7.4 5,000.00 8-May-23 107 Maxifund Investment and Securities Pic Rule 7.4 5,000.00 1-May-23 108 Finance and Investment Culmited Rule 7.4 5,000.00 1-May-23 109 Magnartis Finance and Investment Culmited Rule 7.4 5,000.00 1-May-23 109 Finance Pickles Securities Limited Rule 7.4 5,000.00 1-May-23 109 Finance Pickles Securities Limited Rule 7.4 5,000.00 1-May-23 100 Finance Pickles Securities Limited Rule 7.4 5,000.00 1-May-23 101 Finance Pickles Securities Limited Rule 7.4 5,000.00 1-May-23 102 Finance Pickles Securities Limited Rule 7.4 5,000.00 1-May-23 103	88	Atlass Portfolio Limited	Rule 7.4	5,000.00	28-Apr-23
99 Nova Finance and Securities Limited Rule 7.4 10,000.00 28-Apr-23 91 PAC Securities Limited Rule 7.4 10,000.00 28-Apr-23 92 CIMG Securities Limited Rule 7.4 15,000.00 5-May-23 93 Kundila Finance Services Limited Rule 7.4 15,000.00 5-May-23 94 MBC Securities Limited Rule 7.4 15,000.00 5-May-23 95 Networth Securities and Finance Limited Rule 7.4 15,000.00 5-May-23 96 Newdevco Investments and Securities Limited Rule 7.4 15,000.00 5-May-23 97 Nova Finance and Securities Limited Rule 7.4 20,000.00 5-May-23 98 Rostrum Investment and Securities Limited Rule 7.4 20,000.00 5-May-23 99 UCML Capital Limited Rule 7.4 20,000.00 5-May-23 90 UCML Capital Limited Rule 7.4 20,000.00 5-May-23 100 Valueline Securities and Investment Limited Rule 7.4 5,000.00 5-May-23 101 Ovalueline Securities and Investment Limited Rule 7.4 5,000.00 5-May-23 102 Ragnartis Finance and Investment Limited Rule 7.4 5,000.00 5-May-23 103 Maximal Investment and Securities Pic Rule 7.4 5,000.00 8-May-23 104 Peace Capital Markets Ltd Suspension 8-May-23 105 Trust Yield Securities Limited Rule 7.4 5,000.00 1-May-23 106 Magnartis Finance and Investment Limited Rule 7.4 5,000.00 1-May-23 107 Maxifund Investment and Securities Pic Rule 7.4 5,000.00 1-May-23 108 Trust Yield Securities Limited Rule 7.4 5,000.00 1-May-23 109 Trust Yield Securities Limited Rule 7.4 5,000.00 1-May-23 109 Trust Yield Securities Limited Rule 7.4 5,000.00 1-May-23 109 Trust Yield Securities Limited Rule 7.4 5,000.00 1-May-23 109 Trust Yield Securities Limited Rule 7.4 5,000.00 1-May-23 100 Maximal Investment Co. Limited Rule 7.4 5,000.00 1-May-23 101 Trust Yield Securities Limited Rule 7.4 5,000.00 1-May-23 102 Trust Yield Securities Limited Rule 7.4 5,000.00 1-May-23 109 Trust Yield Securities Limited Rule 7.4	89	Fundvine Capital and Securities Limited	Rule 7.4	5,000.00	28-Apr-23
PAC Securities Limited	90	Nova Finance and Securities Limited	Rule 7.4	10,000.00	28-Apr-23
Securities Limited Rule 7.4 Suspension S-May-23	91	PAC Securities Limited	Rule 7.4	10,000.00	28-Apr-23
93 Kundila Finance Services Limited Rule 7.4 20,000.00 5-May-23 94 MBC Securities Limited Rule 7.4 15,000.00 5-May-23 96 Networth Securities and Finance Limited Rule 7.4 15,000.00 5-May-23 96 Newdevco Investments and Securities Limited Rule 7.4 5,000.00 5-May-23 97 Nova Finance and Securities Limited Rule 7.4 20,000.00 5-May-23 98 Rostrum Investment and Sec Limited Rule 7.4 20,000.00 5-May-23 99 UCML Capital Limited Rule 7.4 5,000.00 5-May-23 100 Valueline Securities and Investment Limited Rule 7.4 5,000.00 5-May-23 101 Core Securities Limited Rule 7.4 Suspension 8-May-23 102 Magnartis Finance and Investment Limited Rule 7.4 Suspension 8-May-23 103 Maxifund Investment and Securities Plc Rule 7.4 Suspension 8-May-23 104 Peace Capital Markets Ltd Rule 7.4 Suspension 8-May-23 105 Trust Yields Securities Limited	92	ICMG Securities Limited	Rule 7.4	15,000.00	5-May-23
94 MBC Securities Limited Rule 7.4 15,000.00 5-May-23 95 Networth Securities and Finance Limited Rule 7.4 15,000.00 5-May-23 96 Newdevo Investments and Securities Limited Rule 7.4 5,000.00 5-May-23 97 Nova Finance and Securities Limited Rule 7.4 20,000.00 5-May-23 98 Rostrum Investment and Sec Limited Rule 7.4 20,000.00 5-May-23 100 Valueline Securities and Investment Limited Rule 7.4 5,000.00 5-May-23 100 Valueline Securities Imited Rule 7.4 5,000.00 5-May-23 101 Core Securities Limited Rule 7.4 5,000.00 5-May-23 102 Magnartis Finance and Investment Limited Rule 7.4 5,000.00 5-May-23 103 Maxifund Investment and Securities Plc Rule 7.4 5,000.00 8-May-23 104 Peace Capital Markets Ltd Rule 7.4 5,000.00 8-May-23 105 Trust Vield Securities Limited Rule 7.4 5,000.00 11-May-23					
95 Networth Securities and Finance Limited Rule 7.4 15,000.00 5-May-23 96 Newdevco Investments and Securities Limited Rule 7.4 20,000.00 5-May-23 97 Nova Finance and Securities Limited Rule 7.4 20,000.00 5-May-23 98 Rostrum Investment and Sec Limited Rule 7.4 20,000.00 5-May-23 99 UCML Capital Limited Rule 7.4 5,000.00 5-May-23 100 Valueline Securities and Investment Limited Rule 7.4 5,000.00 5-May-23 100 Valueline Securities and Investment Limited Rule 7.4 5,000.00 5-May-23 100 Magnartis Finance and Investment Limited Rule 7.4 5,000.00 5-May-23 102 Magnartis Finance and Investment Limited Rule 7.4 5uspension 8-May-23 103 Maxifund Investment and Securities Plc Rule 7.4 5uspension 8-May-23 105 Trust Yield Securities Limited Rule 7.4 5uspension 8-May-23 105 Trust Yield Securities Limited Rule 7.4 50,000.00					
96 Newdevco Investments and Securities Limited Rule 7.4 5,000.00 5-May-23 97 Nova Finance and Securities Limited Rule 7.4 20,000.00 5-May-23 98 Rostrum Investment and Sec Limited Rule 7.4 20,000.00 5-May-23 99 UCML Capital Limited Rule 7.4 5,000.00 5-May-23 100 Valueline Securities and Investment Limited Rule 7.4 5,000.00 5-May-23 101 Core Securities Limited Rule 7.4 Suspension 8-May-23 102 Magnartis Finance and Investment Limited Rule 7.4 Suspension 8-May-23 103 Maxifund Investment and Securities Plc Rule 7.4 Suspension 8-May-23 104 Peace Capital Markets Ltd Rule 7.4 Suspension 8-May-23 105 Trust Yield Securities Limited Rule 7.4 Suspension 8-May-23 106 Magnartis Finance and Investment Limited Rule 7.4 Suspension 8-May-23 107 Maxifund Investment and Securities Plc Rule 7.4 Suspension 8-May-23					
97 Nova Finance and Securities Limited Rule 7.4 20,000.00 5-May-23 98 Rostrum Investment and Sec Limited Rule 7.4 20,000.00 5-May-23 100 Valueline Securities and Investment Limited Rule 7.4 5,000.00 5-May-23 101 Core Securities Limited Rule 7.4 Suspension 8-May-23 102 Magnartis Finance and Investment Limited Rule 7.4 Suspension 8-May-23 103 Maxifund Investment and Securities Plc Rule 7.4 Suspension 8-May-23 104 Peace Capital Markets Ltd Rule 7.4 Suspension 8-May-23 105 Trust Yield Securities Limited Rule 7.4 Suspension 8-May-23 106 Magnartis Finance and Investment Limited Rule 7.4 Suspension 8-May-23 106 Magnartis Finance and Investment Limited Rule 7.4 Suspension 8-May-23 107 Maxifund Investment and Securities Plc Rule 7.4 Suspension 8-May-23 108 Traders Trust and Investment Co. Limited Rule 7.4 Suspension					
98 Rostrum Investment and Sec Limited Rule 7.4 20,000.00 5-May-23 99 UCML Capital Limited Rule 7.4 5,000.00 5-May-23 100 Valueline Securities and Investment Limited Rule 7.4 5,000.00 5-May-23 101 Core Securities Limited Rule 7.4 Suspension 8-May-23 102 Magnartis Finance and Investment Limited Rule 7.4 Suspension 8-May-23 103 Maxifund Investment and Securities Plc Rule 7.4 Suspension 8-May-23 104 Peace Capital Markets Ltd Suspension 8-May-23 105 Trust Yield Securities Limited Rule 7.4 Suspension 8-May-23 105 Trust Yield Securities Limited Rule 7.4 Suspension 8-May-23 106 Magnartis Finance and Investment Limited Rule 7.4 Suspension 8-May-23 106 Magnartis Finance and Investment Limited Rule 7.4 Suspension 8-May-23 107 Maxifund Investment and Securities Plc Rule 7.4 Suspension 11-May-23 <t< td=""><td></td><td></td><td></td><td></td><td></td></t<>					
99 UCML Capital Limited 5,000.00 5-May-23 100 Valueline Securities and Investment Limited 8ule 7.4 5,000.00 5-May-23 101 Core Securities Limited 8ule 7.4 Suspension 8-May-23 102 Magnartis Finance and Investment Limited 8ule 7.4 Suspension 8-May-23 103 Maxifund Investment and Securities Plc Rule 7.4 Suspension 8-May-23 104 Peace Capital Markets Ltd Rule 7.4 Suspension 8-May-23 105 Trust Yield Securities Limited Rule 7.4 Suspension 8-May-23 105 Trust Yield Securities Limited Rule 7.4 Suspension 8-May-23 106 Magnartis Finance and Investment Limited Rule 7.4 Suspension 8-May-23 107 Maxifund Investment and Securities Limited Rule 7.4 50,000.00 11-May-23 107 Maxifund Investment and Securities Plc Rule 7.4 50,000.00 11-May-23 108 Traders Trust and Investment Co. Limited Rule 7.4 50,000.00 11-May-23					
100 Valueline Securities and Investment Limited Rule 7.4 5,000.00 5-May-23 101 Core Securities Limited Rule 7.4 Suspension 8-May-23 102 Magnartis Finance and Investment Limited Rule 7.4 Suspension 8-May-23 103 Maxifund Investment and Securities Plc Rule 7.4 Suspension 8-May-23 104 Peace Capital Markets Ltd Suspension 8-May-23 105 Trust Yield Securities Limited Rule 7.4 Suspension 8-May-23 106 Magnartis Finance and Investment Limited Rule 7.4 Suspension 8-May-23 106 Magnartis Finance and Investment Limited Rule 7.4 Suspension 8-May-23 106 Magnartis Finance and Investment Limited Rule 7.4 Suspension 8-May-23 107 Maxifund Investment and Securities Plc Rule 7.4 Suspension 8-May-23 108 Trust Yield Securities Plc Rule 7.4 Suspension 11-May-23 108 Trust Yield Securities Plc Rule 7.4 Suspension 11-May-23 109 Trust Yield Securities Limited Rule 7.4 Suspe					
101 Core Securities Limited Rule 7.4 Suspension 8-May-23 102 Magnartis Finance and Investment Limited Rule 7.4 Suspension 8-May-23 103 Maxifund Investment and Securities Plc Rule 7.4 Suspension 8-May-23 104 Peace Capital Markets Ltd Suspension 8-May-23 105 Trust Yield Securities Limited Rule 7.4 Suspension 8-May-23 106 Magnartis Finance and Investment Limited Rule 7.4 Suspension 8-May-23 106 Magnartis Finance and Investment Limited Rule 7.4 Suspension 8-May-23 107 Maxifund Investment and Securities Plc Rule 7.4 Suspension 11-May-23 108 Traders Trust and Investment Co. Limited Rule 7.4 Suppose Suspension 11-May-23 109 Trust Yields Securities Limited Rule 7.4 Suppose Suspension 11-May-23 110 AVA Securities Limited Rule 7.4 Suppose Suspension 11-May-23 111 Planet Capital Limited Rule 7.4 Suppose Suspension 12-May-23 <td></td> <td></td> <td></td> <td></td> <td></td>					
102 Magnartis Finance and Investment Limited Rule 7.4 Suspension 8-May-23 103 Maxifund Investment and Securities Plc Rule 7.4 Suspension 8-May-23 104 Peace Capital Markets Ltd Rule 7.4 Suspension 8-May-23 105 Trust Yield Securities Limited Rule 7.4 Suspension 8-May-23 106 Magnartis Finance and Investment Limited Rule 7.4 Suspension 8-May-23 107 Maxifund Investment and Securities Plc Rule 7.4 S0,000.00 11-May-23 108 Traders Trust and Investment Co. Limited Rule 7.4 S0,000.00 11-May-23 109 Trust Yields Securities Limited Rule 7.4 40,000.00 11-May-23 110 AVA Securities Limited Rule 7.4 5,000.00 12-May-23 111 Planet Capital Limited Rule 7.4 5,000.00 12-May-23 112 Calyx Securities Limited Rule 7.4 S0,000.00 12-May-23 113 Core Securities Limited Rule 7.4 T75,000.00 15-May-23 114 Forte Financial Limited Rule 7.4 75,000.00				,	
103 Maxifund Investment and Securities Plc Rule 7.4 Suspension 8-May-23 104 Peace Capital Markets Ltd Rule 7.4 Suspension 8-May-23 105 Trust Yield Securities Limited Rule 7.4 Suspension 8-May-23 106 Magnartis Finance and Investment Limited Rule 7.4 55,000.00 11-May-23 107 Maxifund Investment and Securities Plc Rule 7.4 50,000.00 11-May-23 108 Traders Trust and Investment Co. Limited Rule 7.4 50,000.00 11-May-23 109 Trust Yields Securities Limited Rule 7.4 40,000.00 11-May-23 110 AVA Securities Limited Rule 7.4 5,000.00 12-May-23 111 Planet Capital Limited Rule 7.4 5,000.00 12-May-23 112 Calyx Securities Limited Rule 16.3 Warning 12-May-23 113 Core Securities Limited Rule 7.4 75,000.00 15-May-23 114 Forte Financial Limited Rule 7.4 70,000.00 15-May-23 115 Gidauniya Investment and Securities Limited Rule 7.4 85,000.00 15-May-23					
104 Peace Capital Markets Ltd Rule 7.4 Suspension 8-May-23 105 Trust Yield Securities Limited Rule 7.4 Suspension 8-May-23 106 Magnartis Finance and Investment Limited Rule 7.4 55,000.00 11-May-23 107 Maxifund Investment and Securities Plc Rule 7.4 50,000.00 11-May-23 108 Traders Trust and Investment Co. Limited Rule 7.4 5,000.00 11-May-23 109 Trust Yields Securities Limited Rule 7.4 40,000.00 11-May-23 110 AVA Securities Limited Rule 7.4 5,000.00 12-May-23 111 Planet Capital Limited Rule 7.4 5,000.00 12-May-23 112 Calyx Securities Limited Rule 16.3 Warning 12-May-23 113 Core Securities Limited Rule 7.4 75,000.00 15-May-23 114 Forte Financial Limited Rule 7.4 70,000.00 15-May-23 115 Gidauniya Investment and Securities Limited Rule 7.4 85,000.00 15-May-23		•			
105 Trust Yield Securities Limited Rule 7.4 Suspension 8-May-23 106 Magnartis Finance and Investment Limited Rule 7.4 55,000.00 11-May-23 107 Maxifund Investment and Securities Plc Rule 7.4 50,000.00 11-May-23 108 Traders Trust and Investment Co. Limited Rule 7.4 5,000.00 11-May-23 109 Trust Yields Securities Limited Rule 7.4 40,000.00 11-May-23 110 AVA Securities Limited Rule 7.4 5,000.00 12-May-23 111 Planet Capital Limited Rule 7.4 5,000.00 12-May-23 112 Calyx Securities Limited Warning 12-May-23 113 Core Securities Limited Warning 12-May-23 114 Forte Financial Limited Rule 7.4 75,000.00 15-May-23 115 Gidauniya Investment and Securities Limited Rule 7.4 85,000.00 15-May-23					
106 Magnartis Finance and Investment Limited Rule 7.4 55,000.00 11-May-23 107 Maxifund Investment and Securities Plc Rule 7.4 50,000.00 11-May-23 108 Traders Trust and Investment Co. Limited Rule 7.4 5,000.00 11-May-23 109 Trust Yields Securities Limited Rule 7.4 40,000.00 11-May-23 110 AVA Securities Limited Rule 7.4 5,000.00 12-May-23 111 Planet Capital Limited Rule 7.4 5,000.00 12-May-23 112 Calyx Securities Limited Warning 12-May-23 113 Core Securities Limited Rule 7.4 75,000.00 15-May-23 114 Forte Financial Limited Rule 7.4 70,000.00 15-May-23 115 Gidauniya Investment and Securities Limited Rule 7.4 85,000.00 15-May-23					
107 Maxifund Investment and Securities Plc Rule 7.4 50,000.00 11-May-23 108 Traders Trust and Investment Co. Limited Rule 7.4 5,000.00 11-May-23 109 Trust Yields Securities Limited Rule 7.4 40,000.00 11-May-23 110 AVA Securities Limited Rule 7.4 5,000.00 12-May-23 111 Planet Capital Limited Rule 7.4 5,000.00 12-May-23 112 Calyx Securities Limited Warning 12-May-23 113 Core Securities Limited Rule 7.4 75,000.00 15-May-23 114 Forte Financial Limited Rule 7.4 70,000.00 15-May-23 115 Gidauniya Investment and Securities Limited Rule 7.4 85,000.00 15-May-23					
108 Traders Trust and Investment Co. Limited Rule 7.4 5,000.00 11-May-23 109 Trust Yields Securities Limited Rule 7.4 40,000.00 11-May-23 110 AVA Securities Limited 5,000.00 12-May-23 111 Planet Capital Limited 8ule 7.4 5,000.00 12-May-23 112 Calyx Securities Limited Warning 12-May-23 113 Core Securities Limited Rule 7.4 75,000.00 15-May-23 114 Forte Financial Limited Rule 7.4 70,000.00 15-May-23 115 Gidauniya Investment and Securities Limited Rule 7.4 85,000.00 15-May-23		-			
109 Trust Yields Securities Limited Rule 7.4 40,000.00 11-May-23 110 AVA Securities Limited Rule 7.4 5,000.00 12-May-23 111 Planet Capital Limited Rule 7.4 5,000.00 12-May-23 112 Calyx Securities Limited Rule 16.3 Warning 12-May-23 113 Core Securities Limited Rule 7.4 75,000.00 15-May-23 114 Forte Financial Limited Rule 7.4 70,000.00 15-May-23 115 Gidauniya Investment and Securities Limited Rule 7.4 85,000.00 15-May-23					
110 AVA Securities Limited \$0,000.00 12-May-23 111 Planet Capital Limited \$0,000.00 12-May-23 112 Calyx Securities Limited \$0,000.00 12-May-23 113 Core Securities Limited \$0,000.00 15-May-23 114 Forte Financial Limited \$0,000.00 15-May-23 115 Gidauniya Investment and Securities Limited \$0,000.00 15-May-23 115 Gidauniya Investment and Securities Limited \$0,000.00 15-May-23					
111 Planet Capital Limited 5,000.00 12-May-23 112 Calyx Securities Limited Rule 16.3 Warning 12-May-23 113 Core Securities Limited Rule 7.4 75,000.00 15-May-23 114 Forte Financial Limited Rule 7.4 70,000.00 15-May-23 115 Gidauniya Investment and Securities Limited Rule 7.4 85,000.00 15-May-23					
112 Calyx Securities Limited Rule 16.3 Warning 12-May-23 113 Core Securities Limited Rule 7.4 75,000.00 15-May-23 114 Forte Financial Limited Rule 7.4 70,000.00 15-May-23 115 Gidauniya Investment and Securities Limited Rule 7.4 85,000.00 15-May-23					
113 Core Securities Limited Rule 7.4 75,000.00 15-May-23 114 Forte Financial Limited Rule 7.4 70,000.00 15-May-23 115 Gidauniya Investment and Securities Limited Rule 7.4 85,000.00 15-May-23					
114 Forte Financial Limited Rule 7.4 70,000.00 15-May-23 115 Gidauniya Investment and Securities Limited Rule 7.4 85,000.00 15-May-23					
115 Gidauniya Investment and Securities Limited Rule 7.4 85,000.00 15-May-23					
116 Heritage Capital Markets Limited Rule 7.4 25,000.00 15-May-23					
	1 446	Heritage Capital Markets Limited	Rule 7.4	25,000.00	15-May-23

			,	
	Magnartis Finance and Investment Limited	Rule 7.4	90,000.00	15-May-23
_	MBC Securities Limited	Rule 7.4	150,000.00	15-May-23
	Peace Capital Markets Ltd	Rule 7.4	400,000.00	15-May-23
	Premium Capital and Stockbrokers Limited	Rule 7.4	25,000.00	15-May-23
_	Resort Securities and Trust Limited	Rule 7.4	140,000.00	15-May-23
122	Citi Investment Capital Limited	Rule 7.4	80,000.00	19-May-23
123	Nova Finance and Securities Limited	Rule 7.4	45,000.00	19-May-23
124	Peace Capital Markets Ltd	Rule 7.4	150,000.00	19-May-23
125	Trusthouse Investment Limited	Rule 7.4	5,000.00	19-May-23
126	Trust Yields Securities Limited	Rule 7.4	30,000.00	19-May-23
127	Heartbeat Investment Limited	Rule 6.7, 6.10 & 6.13	250,000.00	22-May-23
128	Calyx Securities Limited	Rule 7.4	150,000.00	7-Jun-23
129	Sankore Securities Limited	Rule 7.4	150,000.00	7-Jun-23
130	Core Securities Limited	Rule 7.4	Suspension	8-Jun-23
131	Lighthouse Capital Limited	Rule 7.4	Suspension	8-Jun-23
	El-Elyon Alliance and Securities Ltd	Rule 7.4	5,000.00	9-Jun-23
	Fundvine Capital and Securities Limited	Rule 7.4	5,000.00	9-Jun-23
_	Greenwich Securities Limited	Rule 7.4	5,000.00	9-Jun-23
135	Tiddo Securities Limited	Rule 7.4	5,000.00	9-Jun-23
	Quantum Zenith Securities & Investments Limited	Rule 7.4	5,000.00	15-Jun-23
137	DLM Securities Limited	Rule 7.4	150,000.00	30-Jun-23
			1	30-Jun-23
138	Dominion Trust Limited	Rule 7.4	5,000.00	
139	PIPC Securities Limited	Rule 7.4	5,000.00	30-Jun-23
140	Harmony Securities Limited	The firm was suspended for non-compliance with the minimum operating standards of the NGX. Specifically, the firm is operating without a Managing Director and is under internal investigation.	Suspension	7-Jul-23
141	Capital Trust Brokers Limited	Rule 7.4	5,000.00	14-Jul-23
142	Marimpex Finance and Investment Company Limited	Rule 7.4	10,000.00	14-Jul-23
143	Newdevco Investments and Securities Limited	Rule 7.4	10,000.00	14-Jul-23
144	Topmost Securities Limited	Rule 7.4	5,000.00	14-Jul-23
145	MBC Securities Limited	Rule on Online Trading Portals - (3) Infrastructural Requirement	250,000.00	19-Jul-23
146	Foresight Securities and Investment Limited	Rule 7.4	45,000.00	21-Jul-23
147	UIDC Securities Limited	Rule 7.4	40,000.00	21-Jul-23
_	PIPC Securities Limited	Rule 7.4	5,000.00	21-Jul-23
149	Valueline Securities and Investment Limited	Rule 7.4	5,000.00	21-Jul-23
150	Zion Stockbrokers and Securities Limited	Rule 7.4	5,000.00	21-Jul-23
_	Nova Finance and Securities Limited	Rule 7.4	15,000.00	28-Jul-23
152	Calyx Securities Limited	Rule 7.4	5,000.00	3-Aug-23
153	Funds Matrix and Assets Mgt Limited	Rule 7.4	5,000.00	3-Aug-23
	-			
154	Kofana Securities and Investment Limited	Rule 7.4	5,000.00	3-Aug-23
_	MBC Securities Limited	Rule 7.4	5,000.00	3-Aug-23
	Molten Trust Limited	Rule 7.4	5,000.00	3-Aug-23
_	ICMG Securities Limited	Rule 7.4	15,000.00	3-Aug-23
158	Smadac Securities Limited	Rule 7.4	15,000.00	3-Aug-23
	UCML Capital Limited	Rule 7.4	5,000.00	3-Aug-23
	RMB Nigeria Stockbrokers Limited	Rule 7.4	5,000.00	4-Aug-23
161	Forte Financial Limited	Rule 7.4	Suspension	4-Aug-23
162	Trust Yield Securities Limited	Rule 7.4	Suspension	4-Aug-23
163	Trust Yield Securities Limited	Rule 7.4	25,000.00	8-Aug-23
164	Forte Financial Limited	Rule 7.4	50,000.00	10-Aug-23
1.05	Final day Control & Consulting Limited	The request to suspend the firm was raised by CSCS Plc.	Communica	E Con 22
165	Fundvine Capital & Securities Limited	The firm has failed to settle its trades.	Suspension	5-Sep-23
166	Cashville Investment and Securities Limited	Rule 7.4	5,000.00	6-Sep-23
167	Heritage Capital Markets Limited	Rule 7.4	10,000.00	6-Sep-23
168	RMB Nigeria Stockbrokers Limited	Rule 7.4	5,000.00	8-Sep-23
	Chapel Hill Denham Securities Limited	Rule 7.4	20,000.00	12-Sep-23
	DLM Securities Limited	Rule 7.4	5,000.00	12-Sep-23
	DSU Brokerage Services Limited	Rule 7.4	5,000.00	12-Sep-23
	Golden Securities Limited	Rule 7.4	5,000.00	12-Sep-23
	Interstate Securities Limited	Rule 7.4	5,000.00	12-Sep-23
	Nova Finance and Securities Limited	Rule 7.4	5,000.00	12-Sep-23 12-Sep-23
	Traders Trust and Investment Co. Limited	Rule 7.4	5,000.00	12-Sep-23 12-Sep-23
	Mission Securities Limited			12-Sep-23 28-Sep-23
_		Rule 7.4	5,000.00	28-Sep-23 28-Sep-23
	Sigma Securities Limited	Rule 7.4	5,000.00	28-Sep-23 28-Sep-23
	Spring Trust and Securities Limited	Rule 7.4	10,000.00	
	Portfolio Advisers Limited	Rule 7.4	5,000.00	19-Oct-23
	Sankore Securities Limited	Rule 7.4	5,000.00	19-Oct-23
_	Shalom Investment and Financial Services Limited	Rule 7.4	5,000.00	19-Oct-23
	Springboard Trust and Investment Limited	Rule 7.4	5,000.00	19-Oct-23
	WCM Capital Limited	Rule 7.4	5,000.00	19-Oct-23
	Capital Express Securities Limited	Rule 7.4	5,000.00	2-Nov-23
	ICMG Securities Limited	Rule 7.4	10,000.00	2-Nov-23
	Mainstreet Bank Securities Limited	Rule 7.4	10,000.00	2-Nov-23
	Midas Stockbrokers Limited	Rule 7.4	15,000.00	2-Nov-23
	Osborne Capital Markets Limited	Rule 7.4	5,000.00	2-Nov-23
189	Qualinvest Capital Limited	Rule 7.4	5,000.00	2-Nov-23
190	Rencap Securities (Nig) Limited	Rule 7.4	5,000.00	2-Nov-23
191	Sankore Securities Limited	Rule 7.4	10,000.00	2-Nov-23
192	Nova Finance & Securities Limited	Rule 7.4	35,000.00	7-Nov-23
	Forte Financial Limited	Rule 7.4	5,000.00	7-Dec-23
	Funds Matrix and Assets Mgt Limited	Rule 7.4	5,000.00	7-Dec-23
	Molten Trust Limited	Rule 7.4	5,000.00	7-Dec-23
	PIPC Securities Limited	Rule 7.4	5,000.00	7-Dec-23
	UCML Capital Limited	Rule 7.4	5,000.00	7-Dec-23
		Rule 7.4	135,000.00	8-Dec-23
	Maxifund Investment and Securities Plc		155,000.00	
198	Maxifund Investment and Securities Plc		E 000 00	15-000 77
198 199	Centre Point Investment Limited	Rule 7.4	5,000.00	15-Dec-23
198 199 200	Centre Point Investment Limited City Code Trust and Investment Company Limited	Rule 7.4 Rule 7.4	5,000.00	15-Dec-23
198 199 200 201	Centre Point Investment Limited City Code Trust and Investment Company Limited Golden Securities Limited	Rule 7.4 Rule 7.4 Rule 7.4	5,000.00 5,000.00	15-Dec-23 15-Dec-23
198 199 200 201 202	Centre Point Investment Limited City Code Trust and Investment Company Limited	Rule 7.4 Rule 7.4	5,000.00	15-Dec-23

204 PIPC Securities Limited Rule 7.4 5,000.00 15-De				
	Shelong Investments Limited	Rule 7.4 Rule 7.4	5,000.00 5,000.00	15-Dec-23 15-Dec-23
	Sankore Securities Limited	Rule 11.6	500,000.00	19-Dec-23
	Forte Financial	Rule 11.8	Warning	22-Dec-23
	Nova Finance and Securities Limited	Rule 7.4	40,000.00	22-Dec-23
200		Traile 711	10,000.00	
		2024		
1	Midas Stockbrokers Limited	Rule 7.4	35,000.00	18-Jan-24
2	Fidelity Finance Company Limited	Rule 7.4	5,000.00	19-Jan-24
	Foresight Securities Limited	Rule 7.4	5,000.00	19-Jan-24
	Networth Securities and Finance Limited	Rule 7.4	5,000.00	19-Jan-24
	UCML Capital Limited	Rule 7.4	5,000.00	19-Jan-24
	Springboard Trust & Investment Limited	Rule 11.14	250,000.00	25-Jan-24
	Fundvine Capital & Securities Limited Funds Matrix and Assets Mgt Limited	Rule 6.14, 7.6 & 11.6 Rule 7.4	1,600,000.00 40,000.00	5-Feb-24 8-Feb-24
	FIS Securities Limited	Rule 7.4	30,000.00	8-Feb-24
	Gem Assets Management Limited	Rule 7.4	30,000.00	8-Feb-24
_	ICMG securities Limited	Rule 7.4	15,000.00	8-Feb-24
12	Midas Stockbrokers Limited	Rule 7.4	15,000.00	8-Feb-24
13	ITIS Securities Limited	Rule 7.4	10,000.00	8-Feb-24
14	DLM Securities Limited	Rule 7.4	5,000.00	8-Feb-24
_	Kundila Finance Services Limited	Rule 7.4	5,000.00	8-Feb-24
	Forte Financial Limited	Rule 7.4	5,000.00	8-Feb-24
	Harmony Securities Limited	Rule 7.4	5,000.00	8-Feb-24
	Calyx Securities Limited Foresight Securities and Investment Limited	Rule 7.4 Rule 7.4	5,000.00	8-Feb-24 8-Feb-24
	Century Securities Limited	Rule 7.4 Rule 7.4	5,000.00 5,000.00	8-Feb-24 8-Feb-24
	Valmon Securities Limited	Rule 7.4 Rule 7.4	5,000.00	8-Feb-24 8-Feb-24
	Fidelity Finance Company Limited	Rule 7.4	15,000.00	28-Feb-24
	Gidauniya Investment and Securities Limited	Rule 7.4	15,000.00	28-Feb-24
	Imperial Asset Managers Limited	Rule 7.4	10,000.00	28-Feb-24
	Midas Stockbrokers Limited	Rule 7.4	10,000.00	28-Feb-24
26	Royal Crest Finance Limited	Rule 7.4	10,000.00	28-Feb-24
	Forte Financial Limited	Rule 7.4	5,000.00	8-Mar-24
_	Nova Finance and Securities Limited	Rule 7.4	5,000.00	8-Mar-24
	Capital Trust Brokers Limited	Rule 7.4	5,000.00	8-Mar-24
	Mainstreet Bank Securities Limited	Rule 7.4	5,000.00	8-Mar-24 8-Mar-24
	Midas Stockbrokers Limited PIPC Securities Limited	Rule 7.4	5,000.00	8-Mar-24
	Rencap Securities Nigeria Limited	Rule 7.4 Rule 7.4	5,000.00 5,000.00	8-Mar-24
	UIDC Securities Limited	Rule 7.4	25,000.00	15-Mar-24
	Marimpex Finance and Investment Company Limited	Rule 7.4	5,000.00	15-Mar-24
	Mission Securities Limited	Rule 7.4	5,000.00	15-Mar-24
	Prominent Securities Limited	Rule 7.4	5,000.00	15-Mar-24
38	Readings Investment Limited	Rule 7.4	5,000.00	15-Mar-24
39	Crane Securities Limited	Rule 7.4	15,000.00	15-Mar-24
40	Afrinvest Securities Limited	Rule 7.4	5,000.00	15-Mar-24
	Hedge Securities and Investment Limited	Rule 7.4	5,000.00	27-Mar-24
	Mission Securities Limited	Rule 7.4	5,000.00	27-Mar-24
	Midpoint Capital Limited	Rule 7.4	5,000.00	27-Mar-24
	Newdevco Investments and Securities Limited	Rule 7.4	5,000.00	27-Mar-24 27-Mar-24
	Rowet Capital Mgt Limited Springboard Trust and Investment Limited	Rule 7.4 Rule 7.4	5,000.00 5,000.00	27-Mar-24 27-Mar-24
	UCML Securities Limited	Rule 7.4	5,000.00	27-Mar-24
			285,000.00	27-Mar-24
48	Gidauniya Investment and Securities Limited	Rule 7.4	25,000.00	28-Mar-24
49	Skyview Capital Limited	Rule 11.14	250,000.00	15-Apr-24
	Belfry Investment and Securities Limited	Rule 7.4	5,000.00	18-Apr-24
	Citi Investment Capital Limited	Rule 7.4	5,000.00	18-Apr-24
	Gem Assets Management Limited	Rule 7.4	5,000.00	18-Apr-24
	Nova Finance and Securities Ltd	Rule 7.4	20,000.00	18-Apr-24
54	Lambeth Capital Limited	Rule 7.4	20,000.00	18-Apr-24
	Midas Stockbrokers Limited Forte Financial Limited	Rule 7.4	10,000.00	18-Apr-24 18-Apr-24
	Citi Investment Capital Limited	Rule 7.4 Rule 7.4	5,000.00 5,000.00	18-Apr-24 18-Apr-24
	Heritage Capital Markets Limited	Rule 7.4	30,000.00	18-Apr-24
	Citi Investment Capital Limited	Rule 7.4	685,000.00	22-Apr-24
	Dynamic Portfolio Limited	Rule 7.4	210,000.00	22-Apr-24
	Nova Finance and Securities Ltd	Rule 7.4	105,000.00	22-Apr-24
	Marimpex Finance and Investment Company Limited	Rule 7.4	145,000.00	22-Apr-24
	Hedge Securities and Investment Limited	Rule 7.4	255,000.00	22-Apr-24
	Spring Trust and Securities Limited	Rule 7.4	35,000.00	22-Apr-24
	Topmost Securities Limited	Rule 7.4	5,000.00	22-Apr-24
	Integrated Trust and Investment Limited	Rule 6.13 & 14.1	Warning	23-Apr-24
	Investors & Trust Company Limited ITIS Securities Limited	Rule 11.8 & 11.14	Warning/250,000.00	25-Apr-24 25-Apr-24
	Hedge Securities and Investment Limited	Rule 7.4 Rule 7.4	70,000.00 15,000.00	25-Apr-24 25-Apr-24
	FCSL Asset Management Company Limited	Rule 7.4	20,000.00	26-Apr-24
	Capital Trust Brokers Limited	Rule 7.4	5,000.00	2-May-24
	Hedge Securities and Investment Limited	Rule 7.4	5,000.00	2-May-24
	Citi Investment Capital Limited	Rule 7.4	10,000.00	2-May-24
	Milestone Capital Management Limited	Rule 7.4	15,000.00	2-May-24
	Prominent Securities Limited	Rule 7.4	20,000.00	14-May-24
	Valueline Securities and Investment Limited	Rule 7.4	20,000.00	14-May-24
	Valmon Securities Limited	Rule 7.4	15,000.00	14-May-24
	Coronation Securities Limited	Rule 7.4	55,000.00	14-May-24
	Camry Securities Limited	Rule 7.4	5,000.00	14-May-24
	Forte Financial Limited Mora Equities Limited	Rule 7.4	5,000.00	14-May-24
	Mega Equities Limited Funds Matrix and Assets Mgt Limited	Rule 7.4	5,000.00	14-May-24 14-May-24
82	i unus iviatrix anu Assets ivigi timited	Rule 7.4	15,000.00	14-1VIdY-24

83	ICMG securities Limited	Rule 7.4	15,000.00	14-May-24
84	Citi Investment Capital Limited	Rule 7.4	10,000.00	14-May-24
85	Kundila Finance Services Limited	Rule 7.4	10,000.00	14-May-24
	Midas Stockbrokers Limited Zion Stockbrokers and Securities Limited	Rule 7.4 Rule 7.4	30,000.00 45,000.00	14-May-24 14-May-24
	FIS Securities Limited	Rule 7.4	45,000.00 65,000.00	14-May-24
	Magnartis Finance and Investment Limited	Rule 7.4	Suspension	14-May-24
90	Magnartis Finance and Investment Limited	Rule 7.4	80,000.00	16-May-24
	Networth Securities and Finance Limited	Rule 7.4	5,000.00	20-May-24
92	Gem Assets Management Limited	Rule 7.4	5,000.00	20-May-24
93	Security Swaps Limited	Rule 7.4	5,000.00	20-May-24
94	Valueline Securities and Investment Limited	Rule 7.4	15,000.00	20-May-24
95	Cowry Securities Limited	Rule 7.4	20,000.00	20-May-24
96	Primewealth Capital Limited	Rule 7.4	90,000.00	20-May-24
97	Marimpex Finance and Investment Company Limited	Rule 7.4	150,000.00	20-May-24
	CDL Capital Markets Limited	Rule 7.4	150,000.00	20-May-24
	Mega Equities Limited	Rule 7.4	150,000.00	20-May-24
	Investors and Trust Company Limited	Rule 7.4	70,000.00	23-May-24
	Enterprise Stockbrokers Limited	Rule 7.4	150,000.00	23-May-24
	Quantum Zenith Securities & Investments Limited	Rule 6.7, 6.10 & 6.13	Warning	23-May-24
	FBC Trust and Securities Limited	Rule 7.4	145,000.00	24-May-24
	Magnartis Finance and Investment Limited	Rule 7.4	135,000.00	27-May-24
	Premium Capital and Stockbrokers Limited	Rule 6.15	100,000.00	29-May-24
	Citi Investment Capital Limited	Rule 7.4	Suspension	3-Jun-24
	Lighthouse Asset Management Limited Sankore Securities Limited	Rule 7.4	Suspension	3-Jun-24 3-Jun-24
	Supra Commercial Trust Limited	Rule 7.4 Rule 6.13	Suspension 250,000.00	5-Jun-24 5-Jun-24
	Midpoint Capital Limited	Rule 6.13	250,000.00	10-Jun-24
	Funds Matrix & Assets Management Ltd	Rule 7.4	5,000.00	13-Jun-24
	Heritage Capital Markets Limited	Rule 7.4	5,000.00	13-Jun-24
	Shalom Investment	Rule 7.4	5,000.00	13-Jun-24
	UIDC Securities Limited	Rule 7.4	5,000.00	13-Jun-24
	Kundila Finance Services Limited	Rule 7.4	15,000.00	13-Jun-24
	Capital Assets Limited	Rule 7.4	5,000.00	13-Jun-24
	Traders Trust & Invest. Co. Ltd	Rule 7.4	5,000.00	13-Jun-24
118	Pilot Securities Limited	Rule 7.4	5,000.00	13-Jun-24
119	Rowet Capital Mgt Limited	Rule 7.4	5,000.00	13-Jun-24
120	City Code Trust and Investment Company Limited	Rule 7.4	15,000.00	13-Jun-24
121	Calyx Securities Limited	Rule 7.4	15,000.00	14-Jun-24
	EFG Hermes Nigeria Limited	Rule 7.4	5,000.00	25-Jun-24
	Forthright Securities and Investments Limited	Rule 7.4	5,000.00	25-Jun-24
	Lead Securities and Investment Limited	Rule 7.4	5,000.00	25-Jun-24
	Mission Securities Limited	Rule 7.4	5,000.00	25-Jun-24
	Morgan Capital Securities Limited	Rule 7.4	5,000.00	25-Jun-24
	Premium Capital and Stockbrokers Limited	Rule 7.4	5,000.00	25-Jun-24
	FSL Securities Limited	Rule 7.4	5,000.00	26-Jun-24
	Nova Finance and Securities Limited StoneX Financial Nigeria Limited	Rule 7.4	45,000.00	26-Jun-24 26-Jun-24
	Lighthouse Capital Limited	Rule 7.4 Rule 7.4	20,000.00 150.000.00	3-Jul-24
	Citi Investment Capital Limited	Rule 7.4	150,000.00	15-Jul-24
	Morgan Capital Securities Limited	Rule 7.4	10,000.00	16-Jul-24
	Express Portfolio Services Limited	Rule 7.4	5,000.00	16-Jul-24
	Nigerian Stockbrokers Limited	Rule 7.4	5,000.00	16-Jul-24
136	Premium Capital and Stockbrokers Limited	Rule 7.4	5,000.00	16-Jul-24
137	Midpoint Capital Limited	Rule 7.4	5,000.00	16-Jul-24
138	TrustBanc Capital Management Limited	Rule 7.4	5,000.00	16-Jul-24
139	Investment Shark and Asset Management Limited	Rule 6.13	250,000.00	19-Jul-24
	Prominent Securities Limited	Rule 7.4	5,000.00	24-Jul-24
	Tower Securities and Investment Company Limited	Rule 7.4	5,000.00	24-Jul-24
	PIPC Securities Limited	Rule 7.4	20,000.00	24-Jul-24
	Capital Express Securities Limited	Rule 7.4	5,000.00	25-Jul-24
	Topmost Securities Limited	Rule 7.4	5,000.00	25-Jul-24
	Midas Stockbrokers Limited	Rule 7.4	15,000.00	25-Jul-24
	Heritage Capital Markets Limited	Rule 11.8	Warning	29-Jul-24
	Calyx Securities Limited Hedge Securities & Investments Company Limited	Rule 11.8 Rule 6.7, 6.10 & 6.13	Warning Warning	30-Jul-24 31-Jul-24
	Nova Finance and Securities Limited	Rule 7.4	30,000.00	7-Aug-24
	Maxifund Investment and Securities Plc	Rule 7.4	15,000.00	7-Aug-24 7-Aug-24
	Afrinvest Securities Limited	Rule 7.4	15,000.00	7-Aug-24 7-Aug-24
	Capital Asset Limited	Rule 7.4	5,000.00	7-Aug-24
	Eurocomm Securities Limited	Rule 7.4	5,000.00	7-Aug-24
	FIS Securities Limited	Rule 7.4	5,000.00	7-Aug-24
	Heritage Capital Markets Limited	Rule 7.4	5,000.00	7-Aug-24
156	ICMG securities Limited	Rule 7.4	5,000.00	7-Aug-24
	Kundila Finance Services Limited	Rule 7.4	5,000.00	7-Aug-24
	Meristem Stockbrokers Limited	Rule 7.4	5,000.00	7-Aug-24
	PAC Securities Limited	Rule 7.4	5,000.00	7-Aug-24
	Tomil Trust Limited	Rule 7.4	5,000.00	7-Aug-24
	Chapel Hill Denham Securities Limited	Rule 7.4	10,000.00	7-Aug-24
	Calyx Securities Limited	Rule 7.4	10,000.00	14-Aug-24
	Golden Securities Limited	Rule 7.4	10,000.00	14-Aug-24
		Rule 7.4	10,000.00 10,000.00	14-Aug-24
164	Heritage Capital Markets Limited	Dula 7.4	10 000 001	14-Aug-24
164 165	UCML Capital Limited	Rule 7.4		14 4 24
164 165 166	UCML Capital Limited Crane Securities Limited	Rule 7.4	10,000.00	14-Aug-24
164 165 166 167	UCML Capital Limited Crane Securities Limited Citi Investment Capital Limited	Rule 7.4 Rule 7.4	10,000.00 15,000.00	14-Aug-24
164 165 166 167 168	UCML Capital Limited Crane Securities Limited Citi Investment Capital Limited City Code Trust and Investment Company Limited	Rule 7.4 Rule 7.4 Rule 7.4	10,000.00 15,000.00 15,000.00	14-Aug-24 14-Aug-24
164 165 166 167 168 169	UCML Capital Limited Crane Securities Limited Citi Investment Capital Limited City Code Trust and Investment Company Limited Rowet Capital Mgt Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4	10,000.00 15,000.00 15,000.00 15,000.00	14-Aug-24 14-Aug-24 14-Aug-24
164 165 166 167 168 169 170	UCML Capital Limited Crane Securities Limited Citi Investment Capital Limited City Code Trust and Investment Company Limited Rowet Capital Mgt Limited UIDC Securities Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4	10,000.00 15,000.00 15,000.00 15,000.00 15,000.00	14-Aug-24 14-Aug-24 14-Aug-24 14-Aug-24
164 165 166 167 168 169 170	UCML Capital Limited Crane Securities Limited Citi Investment Capital Limited City Code Trust and Investment Company Limited Rowet Capital Mgt Limited	Rule 7.4 Rule 7.4 Rule 7.4 Rule 7.4	10,000.00 15,000.00 15,000.00 15,000.00	14-Aug-24 14-Aug-24 14-Aug-24

	Foresight Securities and Investment Limited	Rule 7.4	5,000.00	14-Aug-2
	TIS Securities Limited	Rule 7.4	5,000.00	14-Aug-2
	Maxifund Investment and Securities Plc	Rule 7.4	5,000.00	14-Aug-2
	Newdevco Investments and Securities Limited	Rule 7.4	10,000.00	14-Aug-2
	Kundila Finance Services Limited	Rule 7.4	15,000.00	14-Aug-2
	Nova Finance and Securities Limited	Rule 7.4	45,000.00	21-Aug-24
	Crown Capital Limited Magnartis Finance and Investment Limited	Rule 7.4 Rule 7.4	5,000.00 10,000.00	21-Aug-24 21-Aug-24
	Trust Yield Securities Limited	Rule 7.4	60,000.00	27-Aug-24
	Midas Stockbrokers Limited	Rule 7.4	5,000.00	27-Aug-24
	TIS Securities Limited	Rule 7.4	15,000.00	27-Aug-2
	Shelong Investments Limited	Rule 7.4	15,000.00	27-Aug-24
85	Heritage Capital Markets Limited	Rule 6.13 & 11.14	500,000.00	30-Aug-2
86	Calyx Securities Limited	Rule 6.13 & 6.14	350,000.00	3-Sep-24
87	CMG securities Limited	Rule 7.4	5,000.00	5-Sep-24
88	Newdevco Investments and Securties Limited	Rule 7.4	10,000.00	5-Sep-24
_	Heartbeat Investment Limited	Rule 7.4	10,000.00	5-Sep-24
_	Maxifund Investment and Securities Plc	Rule 7.4	45,000.00	19-Sep-24
_	Nova Finance and Securities Limited	Rule 7.4	30,000.00	19-Sep-2
_	Solid Rock Securities and Investment Plc	Rule 7.4	15,000.00	19-Sep-2
	Magnartis Finance and Investment Limited	Rule 7.4	5,000.00	19-Sep-2
_	Newdevco Investments and Securities Limited	Rule 7.4	5,000.00	19-Sep-2
_	Spring Trust and Securities Limited	Rule 7.4	10,000.00	19-Sep-2
	Readings Investment Limited Forte Financial Limited	Rule 7.4	10,000.00	19-Sep-2
_	Harmony Securities Limited	Rule 7.4 Rule 7.4	5,000.00 5.000.00	19-Sep-24
_	Premium Capital and Stockbrokers Limited	Rule 11.8	5,000.00 Warning	19-Sep-24
_	Sankore Securities Limited	Rule 7.4	150,000.00	9-Oct-24
_	Forte Finance Limited	Rule 7.4	5,000.00	10-Oct-2
_	DLM Securities Limited	Rule 7.4	5,000.00	10-Oct-2
	Midas Stockbrokers Limited	Rule 7.4	10,000.00	10-Oct-24
_	Apel Asset Limited	Rule 11.14	250,000.00	17-Oct-2
_	Crane Securities Limited	Rule 7.4	10,000.00	23-Oct-2
_	Planet Capital Limited	Rule 7.4	5,000.00	23-Oct-2
_	Hedge Securities and Investment Limited	Rule 7.4	5,000.00	23-Oct-2
_	Forte Financial Limited	Rule 7.4	5,000.00	23-Oct-2
)9	Calyx Securities Limited	Rule 7.4	10,000.00	23-Oct-2
LO	Bauchi Investment Corp. Sec Limited	Rule 7.4	10,000.00	23-Oct-2
l1	Stanbic IBTC Stockbrokers Limited	Rule 7.4	5,000.00	23-Oct-2
_	UCML Capital Limited	Rule 7.4	5,000.00	23-Oct-2
	Heritage Capital Markets Limited	Rule 7.4	5,000.00	13-Nov-2
_	Mission Securities Limited	Rule 7.4	5,000.00	13-Nov-2
_	Networth Securities and Finance Limited	Rule 7.4	5,000.00	13-Nov-2
_	Atlass Portfolio Limited	Rule 7.4	5,000.00	13-Nov-2
	Calyx Securities Limited	Rule 7.4	15,000.00	13-Nov-2
	Kundila Finance Services Limited	Rule 7.4	10,000.00	13-Nov-2
_	Royal Trust Securities Limited	Rule 7.4	10,000.00	13-Nov-2
_	ITIS Securities Limited	Rule 7.4	10,000.00	13-Nov-2
	ICMG Securities Limited The Bridge Securities Limited	Rule 7.4	5,000.00	13-Nov-2
_	Parthian Securities Limited	Rule 7.4 Rule 7.4	5,000.00 5,000.00	13-Nov-2
_	Fortress Capital Limited	Rule 7.4	5,000.00	13-Nov-2
	Traders Trust and Investment Co. Limited	Rule 7.4	5,000.00	13-Nov-2
_	Shelong Investments Limited	Rule 7.4	5,000.00	13-Nov-2
	Newdevco Investments and Securties Limited	Rule 7.4	5,000.00	13-Nov-2
	Capital Express Securities Limited	Rule 7.4	5,000.00	13-Nov-2
	Kapital Care Trust and Securities Limited	Rule 7.4	5,000.00	14-Nov-2
	Magnartis Finance and Investment Limited	Rule 7.4	5,000.00	14-Nov-2
	Kedari Capital Limited	Rule 7.4	5,000.00	14-Nov-2
_	Milestone Capital Management Limited	Rule 7.4	5,000.00	14-Nov-2
33	Citi Investment Capital Limited	Rule 7.4	5,000.00	14-Nov-2
_	mperial Asset Managers Limited	Rule 7.4	5,000.00	14-Nov-2
_	Tomil Trust Limited	Rule 7.4	5,000.00	14-Nov-2
	Prominent Securities Limited	Rule 7.4	5,000.00	15-Nov-2
	Atlass Portfolio Limited	Rule 7.4	5,000.00	19-Nov-2
_	Delords Securities Limited	Rule 7.4	5,000.00	19-Nov-2
_	Heartbeat Investment Limited	Rule 7.4	5,000.00	19-Nov-2
_	Golden Securities Limited	Rule 7.4	5,000.00	19-Nov-2
_	Midpoint Capital Limited	Rule 7.4 Rule 7.4	5,000.00	19-Nov-2 19-Nov-2
	Norrenberger Securities Limited Nova Finance and Securities Limited	Rule 7.4 Rule 7.4	5,000.00 45,000.00	22-Nov-2
_	Citi Investment Capital Limited	Rule 7.4 Rule 7.4	5,000.00	26-Nov-2
-	Integrated Trust and Investment Limited	Rule 7.4	5,000.00	26-Nov-2
-	Mountain Investment and Securities Limited	Rule 7.4	5,000.00	26-Nov-2
_	Hedge Securities and Investment Limited	Rule 7.4	20,000.00	26-Nov-2
_	Camry Securities Limited	Rule 7.4	5,000.00	13-Dec-2
_	AVA Securities Limited (formerly Helix Securities Limited)	Rule 7.4	5,000.00	13-Dec-2
	Maxifund Investment and Securities Plc	Rule 7.4	5,000.00	13-Dec-2
_	Smadac Securities Limited	Rule 7.4	5,000.00	13-Dec-2
52	Nova Finance and Securities Limited	Rule 7.4	5,000.00	13-Dec-2
	GlobalView Capital Limited	Rule 7.4	30,000.00	20-Dec-2
	Springboard Trust and Investment Limited	Rule 7.4	30,000.00	20-Dec-2
54				
4		2025		
4				
	Security Swaps Limited	Rule 7.4	10,000.00	16-Jan-2
	Security Swaps Limited Foresight Securities Limited	-	10,000.00 35,000.00	16-Jan-2 16-Jan-2
L .	•	Rule 7.4	· · · · · · · · · · · · · · · · · · ·	

6	Nova Finance and Securities Limited	The firm was suspended as a preventive measure to ensure the settlement of the firm's trades are not impacted as a result of the notification from the settlement bank (Access Bank Plc) to restrict transactions on the firm's trading account.	Suspension	17-Jan-25
7	Prominent Securities Ltd	Rule 7.4	5,000.00	24-Jan-25
8	Milestone Capital Mgt Ltd	Rule 7.4	5,000.00	24-Jan-25
9	Mission Securities Ltd	Rule 7.4	5,000.00	24-Jan-25
10	Newdevco Investments and Securities Limited	Rule 7.4	5,000.00	24-Jan-25
11	PIPC Securities Limited	Rule 7.4	5,000.00	24-Jan-25
12	Royal Guaranty & Trust Ltd	Rule 7.4	5,000.00	24-Jan-25
13	Centre Point Investment Limited	Rule 7.4	10,000.00	24-Jan-25
14	Transworld Investment Limited	Rule 7.4	5,000.00	31-Jan-25
15	Royal Guaranty & Trust Ltd	Rule 7.4	5,000.00	31-Jan-25
16	Midas Stockbrokers Limited	Rule 7.4	5,000.00	31-Jan-25
17	Afrinvest Securities Limited	Rule 7.4	10,000.00	31-Jan-25
18	Rainbow Securities & Investment Company Limited	Rule 7.4	10,000.00	31-Jan-25
19	Arthur Stevens Asset Management Limited	Rule 7.4	5,000.00	31-Jan-25
20	Spring Trust and Securities Limited	Rule 7.4	5,000.00	31-Jan-25
21	Newdevco Investments and Securties Limited	Rule 7.4	10,000.00	31-Jan-25
22	ICMG securities Limited	Rule 7.4	10,000.00	6-Feb-25
23	Kinley Securities Limited	Rule 7.4	5,000.00	6-Feb-25
24	City Code Trust & Inv. Co. Ltd	Rule 7.4	5,000.00	6-Feb-25
25	Mission Securities Limited	Rule 7.4	5,000.00	6-Feb-25
26	Milestone Capital Management Limited	Rule 7.4	5,000.00	6-Feb-25
27	Calyx Securities Limited	Rule 7.4	5,000.00	6-Feb-25
28	Midas Stockbrokers Limited	Rule 7.4	5,000.00	6-Feb-25
29	UCML Capital Limited	Rule 7.4	5,000.00	6-Feb-25
30	Calyx Securities Limited	Rule 7.4	30,000.00	7-Feb-25
31	Atlass Portfolio Limited	Rule 6.14 & 10.7	Warning	12-Feb-25
32	Calyx Securities Limited	Rule 7.4	10,000.00	14-Feb-25
33	City Code Trust and Investment Company Limited	Rule 7.4	15,000.00	14-Feb-25
34	Edgefield Capital Management Limited	Rule 7.4	15,000.00	14-Feb-25
35	Shalom Investment and Financial Services Limited	Rule 7.5	15,000.00	14-Feb-25
36	Premium Capital and Stockbrokers Limited	Rule 18.1	Suspension	17-Feb-25
37	MBC Securities Limited	Rule 8.9	Warning	18-Feb-25
38	Royal Crest Finance Limited	Rule 8.9	Warning	20-Feb-25
39	Hedge Securities and Investment Limited	Rule 7.4	5,000.00	21-Feb-25
40	Integrated Trust and Investment Limited	Rule 7.4	5,000.00	21-Feb-25
41	Kofana Securities and Investment Limited	Rule 7.4	5,000.00	21-Feb-25
42	Newdevco Investments and Securities Limited	Rule Part IX(A)(3): Online Trading Portal	250,000.00	24-Feb-25
43	Nova Finance and Securities Limited	Rule 7.4	150,000.00	25-Feb-25
44	NOVAMBL Securities Limited	Rule 10.4 & 10.7	500,000.00	27-Feb-25
45	Tiddo Securities Limited	Rule 7.4	5,000.00	7-Mar-25
46	Magnartis Finance and Investment Limited	Rule 7.4	5,000.00	7-Mar-25

Rule 1.14 - Disclosure Obligation	
Rule 2.2 (former Article 12) - Annual Subscription and Fees	
Rule 6.1 (b) subsections 7 – General Requirement	
Rule 6.7 (formerly Artcile 7) – Mode of changing of directors and shareholders	
Rule 6.10 – Approval of The Exchange about Material Changes	
Rule 6.11 (formerly Article 155) – The Chief Executive Officer & Managing Director's Position	
Rule 6.13 (formerly Article 144) – Specific actions requiring prior consent of The Exchange	
Rule 6.15 - Notification of Change of Approved Persons	
Rule 7.4 (formerly Article 15h and Policy 01NSE Section 7)- Submission of Financial and Non-Financial Reports to	The Exchange
Rule 7.6 (formerly Item 21, Amendments and Additions Part II) - Prohibition of Manipulation of Financial Statem	nts
Rule 8.9(b) - Change of Employment of Authorized Clerks	
Rule 9.1 - Responsibility for Employees' Actions	
Rule 9.3 - Supervision and Internal Controls	
Rule 10.7 - Termination/Resignation of Compliance Officer	
Rule 10.8 - Penalties (Compliance Officers)	
Rule 11.1 - Know Your Client	
Rule 11.2 - Supervision of Cutomers Account	
Rule 11.4 - Confirmation of Orders and Mandates	
Rule 11.6 (formerly Article 13 & Policy 01NSE Section 5(a)) - Maintenance and Segregation of Client's Account	
Rule 11.8 - No Unauthorized Use of Client Funds; Segregation of Client Funds	
Rule 11.9 - (formerly Article 143B) - Prohibition of Unauthorized Sale of	
Rule 11.10 - Misappropriation of Funds	
Rule 11.14 - Third Party Transactions (Sales Proceeds and transfer of Client Balance in the Name of Third Party)	
Rule 13.1 - Record of Transactions and Right of Inspection	
Rule 15.12: Responsibility of Dealing Member	
Rule 15.29 (formerly Article 100) - Pricing methodology	
Rule 15.3 (formerly Article 33) - Valid Transactions	
Rule 15.32- Large Volume Trades in Equities	
Rule 15.38 (formerly Item 12, Amendments and Additions Part III) - Short Selling	
Rule 16.3 (f) - Direct Cash Settlement	
Rule 17.5 - General Conduct, Sharing of Brokerage Income; and Association with Non-Dealing Members	
Rule 17.6 (e): Trading Floor Dress Code, Identification Badges and Access Control Cards for Authorized Clerks	
Rule 17.16 (b) (formerly Article 104A, Amendments and Additions Part I) - Churning; Fictitious or Deceptive Trad	ng Patterns
Rule 19.2 - Specific Powers of Council	
Rule 19.5 (formerly Article 51) - Suspension of Dealing Members Pending Investigation	
Rule 19.12 (formerly Article 129) - Professional Misconduct	
Rule Part IX(A)(3): Online Trading Portal	<u> </u>