

Post Approval Checklist for Listing of Funds

Description of Application:

Note:

- i. This checklist is applicable to formal request for listing of Funds on the Nigeria Exchange Limited (NGX).
- ii. The request to be made must be in respect of an application which has been previously approved by NGX. The formal request must indicate the date NGX approved the application.
- iii. Soft copy document should be forwarded to IssuerAnalysis@ngxgroup.com. NGX Regulation Limited will **not conclude** on an application until all relevant documents are submitted.
- iv. The Sponsoring Trading License Holder is required to fill out the table below using the appropriate key indicating whether the Issuer has submitted the required document. Where a requirement is not applicable to the Issuer, the reason should be provided in the “comment” box.

Keys:

- ✓ Submitted
- X Not submitted
- N/A Not applicable

S/N	Original Executed Documents	Please tick as appropriate	
		Status	Comments
1.	Original Indemnity Letter		
2.	Original Declaration of Compliance		
3.	Original General Undertaking		
4.	Original executed/signed copy of Information Memorandum/ Prospectus		
	Soft Copies		
5.	Details of ISIN and codes created by CSCS for the Funds		
6.	Any other document indicated in the approval letter		

I..... a duly authorized officer of..... (*Full corporate name of Sponsoring Trading License Holder*) hereby confirm that I have duly completed the above checklist on behalf of (*Full corporate name of Issuer*) and that no item on the said checklist has been left without a response.

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Additionally, I hereby confirm that I and my firm (*insert full corporate name*) have carried our reasonable due diligence on the Issuer and its directors and on the basis of our findings, we have accepted the appointment as Sponsoring Trading License Holder.

Signed by an approved executive of the Sponsoring Trading License Holder.

Signature _____

Date _____

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