



---

---

## Application Form for Market Maker on The NSE

---

---

We hereby apply for admission as Market Maker on The Nigerian Stock Exchange as set out below.

### 1. Name and Registered Address of Applicant:

Company Name:

Registered Office Address:

Present Office Address (if different from above):

### 2. Contact for questions concerning this form:

Name:

Phone:

Fax:

Email:

### 3. Market Segments

Please indicate for which market making activities you wish to apply:

- Market making in Equity
- Market making in Retail Bonds
- Liquidity provider in ETFs
- Supplementary market making in Equity

---

<sup>1</sup> The NSE may require additional information prior to the approval of registration as a market maker. The NSE will independently verify the information provided and the supporting documents.



**4. Net Capital:**

Amount:

As of Date:

Source of Net Capital (check all that apply)

- Long Proprietary Positions in Bonds    Cash    Interest/Dividends/Commissions    Bank Deposit & T-bills  
 Long Proprietary Positions in Equities    Secured loan & Advances    Other

**5. Declaration**

We hereby declare that we have read and understood The Nigerian Stock Exchange rules and regulation, including (but not limited to) the NSE Rules on Market Making. We further declare that we shall recognize and comply with all the rules, regulations and guidelines, including (but not limited to) the NSE rule book, as well as NSE messages as valid at any given time. It is advisable therefore, that the member familiarizes itself with the appropriate NSE market operational guidelines, prior to engaging in market making activity.

Agent of Applicant: \_\_\_\_\_  
Full Name of Agent

\_\_\_\_\_  
Signature of Agent and Seal of Application

**6. Appendix A: Documents Submitted**

We hereby submit the following documents:

- 1 Organisation Document
- Certificate of Incorporation; Memorandum & Article of Association
  - Board of Directors/Management profile
  - Two (2) Market Maker Authorized Trader resume
- 2 Financial Documentation
- Last three (3) years audited financial statements
  - Most recent balance sheet and capital computation
- 3 All examination reports and corresponding responses from the Applicant Broker-Dealer for the previous two (2) years

Please return your completed and signed form to:  
The Nigerian Stock Exchange, 2/4 Customs Street, P. O. Box 2457, Marina. Lagos, Nigeria