



Broker TraX

Operating without Compliance Officer

TRADING LICENSE HOLDERS OPERATING WITHOUT COMPLIANCE OFFICERS AS AT 9 MAY 2022

ACTIVE FIRMS

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INACTIVE FIRMS

1	Adamawa Securities Limited
2	Cadington Securities Limited
3	CEB Securities Limited
4	ECL Asset Management Limited
5	Enterprise Stockbrokers Limited
6	GMT Securities & Asset Management Limited
7	Investment Shark & Asset Management Limited
8	Mact Securities Limited
9	Midpoint Capital Limited
10	ML Securities Limited
11	Monument Securities & Finance Limited
12	Profund Securities Limited
13	Royal Trust Securities Limited
14	Standard Alliance Capital & Asset Management Limited

*An inactive Firm is a firm that has been suspended for a period of more than 3 months by The Exchange or SEC; or has not recorded any activity for a period of 3 or more months without being suspended.