



Broker TraX

Operating without Compliance Officer

TRADING LICENSE HOLDERS OPERATING WITHOUT COMPLIANCE OFFICERS AS AT 28 AUGUST 2023

ACTIVE FIRMS

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INACTIVE FIRMS

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| 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 |
| 15 | Elixir Securities 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.