

Audited Accounts

DEALING MEMBERS AND THEIR RENDITION STATUS FOR THE YEAR ENDED 31ST DECEMBER 2013

ACTIVE AND SUBMITTED

| S/N | FIRM | YEAR END | DUE DATE | STATUS |
|-----|-----------------------------------------------------|----------|-----------|-----------|
| 1 | Adamawa Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 2 | Adonai Stockbrokers Limited | 31-Dec | 31-Mar-14 | Submitted |
| 3 | Abyn Investment Limited | 31-Dec | 31-Mar-14 | Submitted |
| 4 | African Alliance Stockbrokers Limited | 31-Dec | 31-Mar-14 | Submitted |
| 5 | ARM Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 6 | Alangrange Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 7 | Altrade Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 8 | Abyn Investments Limited | 31-Dec | 31-Mar-14 | Submitted |
| 9 | Anchorage Securities & Finance Limited | 31-Dec | 31-Mar-14 | Submitted |
| 10 | Anchoria Investment & Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 11 | Apel Asset Limited | 31-Dec | 31-Mar-14 | Submitted |
| 12 | APT Securities & Funds Limited | 31-Dec | 31-Mar-14 | Submitted |
| 13 | Arthur Steven Asset Management Limited | 31-Dec | 31-Mar-14 | Submitted |
| 14 | Associated Asset Managers Limited | 31-Dec | 31-Mar-14 | Submitted |
| 15 | Atlass Portfolio Limited | 31-Dec | 31-Mar-14 | Submitted |
| 16 | Bestlink Investment Limited | 31-Dec | 31-Mar-14 | Submitted |
| 17 | Bestworth Assets & Trust Limited | 31-Dec | 31-Mar-14 | Submitted |
| 18 | BGL Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 19 | Bytofel Trust & Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 20 | Cadington Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 21 | Calyx Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 22 | Camry Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 23 | Capital Bancorp Limited | 31-Dec | 31-Mar-14 | Submitted |
| 24 | Capital Express Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 25 | Capital Trust Brokers Limited | 31-Dec | 31-Mar-14 | Submitted |
| 26 | Cashcraft Asset Management Limited | 31-Dec | 31-Mar-14 | Submitted |
| 27 | Cashville Investment & Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 28 | CDL Capital Markets Limited | 31-Dec | 31-Mar-14 | Submitted |
| 29 | Chapel Hill Denham Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 30 | City Code Trust & Invest Company Limited | 31-Dec | 31-Mar-14 | Submitted |
| 31 | Compass Investments & Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 32 | Cordros Capital Limited | 31-Dec | 31-Mar-14 | Submitted |
| 33 | Core Trust & Investment Limited | 31-Dec | 31-Mar-14 | Submitted |
| 34 | Crossworld Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 35 | Covenant Securities & Investment Management Limited | 31-Dec | 31-Mar-14 | Submitted |
| 36 | Cowry Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 37 | Cradle Trust Finance & Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 38 | Crane Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 39 | Crossworld Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 40 | Crown Capital Limited | 31-Dec | 31-Mar-14 | Submitted |
| 41 | CSL Stockbrokers Limited | 31-Dec | 31-Mar-14 | Submitted |
| 42 | Deep Trust & Investment Limited | 31-Dec | 31-Mar-14 | Submitted |

| | | | | |
|----|------------------------------------------------|--------|-----------|-----------|
| 43 | Delords Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 44 | Dependable Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 45 | Diamond Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 46 | Dominion Trust Limited | 31-Dec | 31-Mar-14 | Submitted |
| 47 | DSU Brokerage Services Ltimited | 31-Dec | 31-Mar-14 | Submitted |
| 48 | Dunbell Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 49 | Dunn Loren Merrifield Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 50 | Express Discount Asset Management Limited | 31-Dec | 31-Mar-14 | Submitted |
| 51 | ECL Asset Management Limited | 31-Dec | 31-Mar-14 | Submitted |
| 52 | EDC Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 53 | Emerging Capital Limited | 31-Dec | 31-Mar-14 | Submitted |
| 54 | Enterprise Stockbrokers Limited | 31-Dec | 31-Mar-14 | Submitted |
| 55 | Eurocomm Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 56 | Excel Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 57 | Express Discount Asset Mgt Ltd | 31-Dec | 31-Mar-14 | Submitted |
| 58 | Express Portfolio Services Limited | 31-Dec | 31-Mar-14 | Submitted |
| 59 | FBC Trust & Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 60 | Foresight Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 61 | FBN Securities limited | 31-Dec | 31-Mar-14 | Submitted |
| 62 | FCSL Assets Mgt Coy Limited | 31-Dec | 31-Mar-14 | Submitted |
| 63 | Fidelity Finance Company Limited | 31-Dec | 31-Mar-14 | Submitted |
| 64 | Fidelity Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 65 | Financial Trust Company Limited | 31-Dec | 31-Mar-14 | Submitted |
| 66 | Finbank Securities & Assets Management Limited | 31-Dec | 31-Mar-14 | Submitted |
| 67 | First Integrated Capital management Limited | 31-Dec | 31-Mar-14 | Submitted |
| 68 | First Stockbrokers Limited | 31-Dec | 31-Mar-14 | Submitted |
| 69 | FIS Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 70 | Fortress Capital Limited | 31-Dec | 31-Mar-14 | Submitted |
| 71 | FSDH Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 72 | FundsMatrix & Assets management Limited | 31-Dec | 31-Mar-14 | Submitted |
| 73 | Gem Assets Management Limited | 31-Dec | 31-Mar-14 | Submitted |
| 74 | Gidauniya Investment & Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 75 | Global Asset Management (Nig) Limited | 31-Dec | 31-Mar-14 | Submitted |
| 76 | Global View Consult & Investment Limited | 31-Dec | 31-Mar-14 | Submitted |
| 77 | GMT Securities & Asset Mgt Limited | 31-Dec | 31-Mar-14 | Submitted |
| 78 | Golden Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 79 | Greenwich Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 80 | GTI Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 81 | Harmony Investment & Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 82 | Heartbeat Invstment Limited | 31-Dec | 31-Mar-14 | Submitted |
| 83 | Hedge Securities & Investment Limited | 31-Dec | 31-Mar-14 | Submitted |
| 84 | Heritage Capital Markets Limited | 31-Dec | 31-Mar-14 | Submitted |
| 85 | Icon Stockbrokers Limited | 31-Dec | 31-Mar-14 | Submitted |
| 86 | IMTL Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 87 | Kinley Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 88 | Independent Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 89 | Integrated Trust & Investments Limited | 31-Dec | 31-Mar-14 | Submitted |
| 90 | Interstate Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 91 | Investment Centre Limited | 31-Dec | 31-Mar-14 | Submitted |
| 92 | Investment One Stockbrokers Int'l Limited | 31-Dec | 31-Mar-14 | Submitted |
| 93 | Investment Shark & Asset Management Limited | 31-Dec | 31-Mar-14 | Submitted |
| 94 | Investors & Trust Company Limited | 31-Dec | 31-Mar-14 | Submitted |
| 95 | Kedari Capital Limited | 31-Dec | 31-Mar-14 | Submitted |

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|-----|---------------------------------------------------|--------|-----------|-----------|
| 96 | Kinley Finance Service Limited | 31-Dec | 31-Mar-14 | Submitted |
| 97 | Kofana Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 98 | Kundila Finance Services Limited | 31-Dec | 31-Mar-14 | Submitted |
| 99 | Lead Securities & Investment Limited | 31-Dec | 31-Mar-14 | Submitted |
| 100 | Lighthouse Asset Management Limited | 31-Dec | 31-Mar-14 | Submitted |
| 101 | Longterm Global Capital Limited | 31-Dec | 31-Mar-14 | Submitted |
| 102 | Magnartis Finace & Investment Limited | 31-Dec | 31-Mar-14 | Submitted |
| 103 | Mainland Trust Limitd | 31-Dec | 31-Mar-14 | Submitted |
| 104 | Marimpex Finance & Investment Company Limited | 31-Dec | 31-Mar-14 | Submitted |
| 105 | Marina Securities Stockbroking Services Limited | 31-Dec | 31-Mar-14 | Submitted |
| 106 | Marriot Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 107 | Maven Asset Management Limited | 31-Dec | 31-Mar-14 | Submitted |
| 108 | Maxifund Investment & Securities Plc | 31-Dec | 31-Mar-14 | Submitted |
| 109 | Mayfield Investment Limited | 31-Dec | 31-Mar-14 | Submitted |
| 110 | MBL Financial Services Limited | 31-Dec | 31-Mar-14 | Submitted |
| 111 | Mc-Finerco Investment Limited | 31-Dec | 31-Mar-14 | Submitted |
| 112 | Mercov Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 113 | Midas Stockbrokers Limited | 31-Dec | 31-Mar-14 | Submitted |
| 114 | Morgan Capital Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 115 | Mountain Investment & Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 116 | Mutual Alliance Invest & Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 117 | Network Capital Limited | 31-Dec | 31-Mar-14 | Submitted |
| 118 | Network Securities & Finance Limited | 31-Dec | 31-Mar-14 | Submitted |
| 119 | Newdevco Investments & Securities Company Limited | 31-Dec | 31-Mar-14 | Submitted |
| 120 | Nigerian International Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 121 | Nigerian Stockbrokers Limited | 31-Dec | 31-Mar-14 | Submitted |
| 122 | Nova Finance & Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 123 | Options Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 124 | Partnership Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 125 | Peace Capital Market Limited | 31-Dec | 31-Mar-14 | Submitted |
| 126 | Perfecta Investment & Trust Limited | 31-Dec | 31-Mar-14 | Submitted |
| 127 | Phronesis Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 128 | Pilot Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 129 | PIPC Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 130 | Portfolio Advisers Limited | 31-Dec | 31-Mar-14 | Submitted |
| 131 | Primera Africa Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 132 | Primewealth Capital Limited | 31-Dec | 31-Mar-14 | Submitted |
| 133 | PAC Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 134 | Prominent Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 135 | PSI Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 136 | Pyramid Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 137 | Quantum Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 138 | Rainbow Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 139 | Readings Investment Limited | 31-Dec | 31-Mar-14 | Submitted |
| 140 | Redasel Investment Limited | 31-Dec | 31-Mar-14 | Submitted |
| 141 | Rencap Securities (Nig) Limited | 31-Dec | 31-Mar-14 | Submitted |
| 142 | Resano Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 143 | Reward Investment & Services Limited | 31-Dec | 31-Mar-14 | Submitted |
| 144 | Rostrum Investment & Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 145 | Rowet Capital Mgt Limited | 31-Dec | 31-Mar-14 | Submitted |
| 146 | Royal Crest Finance Limited | 31-Dec | 31-Mar-14 | Submitted |
| 147 | Shalom Investment and Financial Services Limited | 31-Dec | 31-Mar-14 | Submitted |
| 148 | Royal Trust Securities Limited | 31-Dec | 31-Mar-14 | Submitted |

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|-----|---------------------------------------------------|--------|-----------|-----------|
| 149 | Securities Africa Financials Limited | 31-Dec | 31-Mar-14 | Submitted |
| 150 | Securities and Capital Management Company Limited | 31-Dec | 31-Mar-14 | Submitted |
| 151 | SFC Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 152 | Shalom Investment & Financial Services Limited | 31-Dec | 31-Mar-14 | Submitted |
| 153 | Shelong Investment Limited | 31-Dec | 31-Mar-14 | Submitted |
| 154 | Sigma Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 155 | Signet Investment & Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 156 | Skyview Capital Limited | 31-Dec | 31-Mar-14 | Submitted |
| 157 | Smadac Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 158 | Spring Trust & Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 159 | Springboard Trust & Investment Limited | 31-Dec | 31-Mar-14 | Submitted |
| 160 | Stanbic IBTC Stockbrokers Limited | 31-Dec | 31-Mar-14 | Submitted |
| 161 | Standard Alliance Capital & Asset Limited | 31-Dec | 31-Mar-14 | Submitted |
| 162 | Standard Union Securities Ltd | 31-Dec | 31-Mar-14 | Submitted |
| 163 | Stanwal Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 164 | Strategy & Arbitrage Limited | 31-Dec | 31-Mar-14 | Submitted |
| 165 | Summa Guaranty & Trust Company Limited | 31-Dec | 31-Mar-14 | Submitted |
| 166 | Supra Commercial Trust Company Limited | 31-Dec | 31-Mar-14 | Submitted |
| 167 | TFS Securities & Investment Company Limited | 31-Dec | 31-Mar-14 | Submitted |
| 168 | Tiddo Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 169 | Topmost Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 170 | Tower Assets Management Limited | 31-Dec | 31-Mar-14 | Submitted |
| 171 | Tower Securities & Investment Company Limited | 31-Dec | 31-Mar-14 | Submitted |
| 172 | Trade Link Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 173 | Traders Trust and Investment Company Limited | 31-Dec | 31-Mar-14 | Submitted |
| 174 | Transafrika Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 175 | Trust Yields Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 176 | Trusthouse Investment Limited | 31-Dec | 31-Mar-14 | Submitted |
| 177 | TRW Stockbrokers Limited | 31-Dec | 31-Mar-14 | Submitted |
| 178 | UBA Stockbrokers Limited | 31-Dec | 31-Mar-14 | Submitted |
| 179 | UIDC Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 180 | UNEX Capital Limited | 31-Dec | 31-Mar-14 | Submitted |
| 181 | Union Capital Markets Limited | 31-Dec | 31-Mar-14 | Submitted |
| 182 | Valmon Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 183 | Valueline Securities & Investments Limited | 31-Dec | 31-Mar-14 | Submitted |
| 184 | Woodland Capital Markets Plc | 31-Dec | 31-Mar-14 | Submitted |
| 185 | Yuderb Investments & Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 186 | WSTC Financial Services Limited | 31-Dec | 31-Mar-14 | Submitted |
| 187 | Yobe Investment & Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 188 | Yuderb Investment & Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 189 | Zenith Securities Limited | 31-Dec | 31-Mar-14 | Submitted |

INACTIVE AND SUBMITTED

| S/N | FIRM | YEAR END | DUE DATE | STATUS |
|-----|----------------------------------|----------|-----------|-----------|
| 1 | Arian Capital Management Limited | 31-Dec | 31-Mar-14 | Submitted |
| 2 | ITIS Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 3 | LB Securities Limited | 31-Dec | 31-Mar-14 | Submitted |
| 4 | Mainstreet Securities Limited | 31-Dec | 31-Mar-14 | Submitted |

INACTIVE AND NOT SUBMITTED

| S/N | FIRM | YEAR END | DUE DATE | STATUS |
|------------|-------------------------------------------------|-----------------|-----------------|---------------|
| 1 | Davandy Finance Limited | 31-Dec | 31-Mar-14 | Not submitted |
| 2 | Empire Securities Limited | 31-Dec | 31-Mar-14 | Not submitted |
| 3 | Falcon Securities Limited | 31-Dec | 31-Mar-14 | Not submitted |
| 4 | First Alstate Securities Limited | 31-Dec | 31-Mar-14 | Not submitted |
| 5 | Mact Securities Limited | 31-Dec | 31-Mar-14 | Not submitted |
| 6 | Midpoint Capital Limited | 31-Dec | 31-Mar-14 | Not submitted |
| 7 | Omas Investment & Trust Company Limited | 31-Dec | 31-Mar-14 | Not submitted |
| 8 | Peninsula Asset Mgt & Invest Company Limited | 31-Dec | 31-Mar-14 | Not submitted |
| 9 | Profund Securities Limited | 31-Dec | 31-Mar-14 | Not submitted |
| 10 | Securities Trading & Investment Company Limited | 31-Dec | 31-Mar-14 | Not submitted |
| 11 | Surport Services Limited | 31-Dec | 31-Mar-14 | Not Submitted |
| 12 | Wizetrade Capital & Assets Mgt Limited | 31-Dec | 31-Mar-14 | Not submitted |
| 13 | WT Securities Limited | 31-Dec | 31-Mar-14 | Not submitted |



Audited Accounts

DEALING MEMBERS AND THEIR RENDITION STATUS FOR THE YEAR ENDED 28TH FEBRUARY 2014

ACTIVE AND SUBMITTED

| S/N | FIRM | YEAR END | DUE DATE | STATUS |
|-----|------------------------------------|----------|-----------|-----------|
| 1 | ARM Securities Limited | FEBRUARY | 30-May-14 | Submitted |
| 2 | Lambeth Trust & Investment Co. Ltd | FEBRUARY | 30-May-14 | Submitted |
| | | | | |

ACTIVE AND NOT SUBMITTED

| S/N | FIRM | YEAR END | DUE DATE | STATUS |
|-----|------------------------------------|----------|-----------|---------------|
| 1 | Waila Securities and Funds Limited | FEBRUARY | 30-May-14 | Not Submitted |

Audited Accounts

ACTIVE AND SUBMITTED

| S/N | FIRM | YEAR END | DUE DATE | STATUS |
|-----|--------------------------------------------|----------|-----------|-----------|
| 1 | Afrinvest West Africa Limited | MARCH | 30-Jun-14 | Submitted |
| 2 | Cardinal Stone Securities Limited | MARCH | 30-Jun-14 | Submitted |
| 3 | Centre Point Investment Limited | MARCH | 30-Jun-14 | Submitted |
| 4 | Citi Investment Capital Ltd | MARCH | 30-Jun-14 | Submitted |
| 5 | DBSL Securities Limited | MARCH | 30-Jun-14 | Submitted |
| 6 | Dynamic Portfolio Limited | MARCH | 30-Jun-14 | Submitted |
| 7 | ARM Securities Limited | MARCH | 30-Jun-14 | Submitted |
| 8 | Forthright Securities & Investment Limited | MARCH | 30-Jun-14 | Submitted |
| 9 | ICMG Securities Limited | MARCH | 30-Jun-14 | Submitted |
| 10 | Imperial Assets Managers Limited | MARCH | 30-Jun-14 | Submitted |
| 11 | Kapital Care Trust & Securities Limited | MARCH | 30-Jun-14 | Submitted |
| 12 | MBC Securities Limited | MARCH | 30-Jun-14 | Submitted |
| 13 | Mega Equities Ltd | MARCH | 30-Jun-14 | Submitted |
| 14 | Mission Securities Limited | MARCH | 30-Jun-14 | Submitted |
| 15 | Molten Trust Limited | MARCH | 30-Jun-14 | Submitted |
| 16 | Pinefields Investment Services Limited | MARCH | 30-Jun-14 | Submitted |
| 17 | Pivot Trust & Investment Co. Limited | MARCH | 30-Jun-14 | Submitted |
| 18 | Regency Assets Management Ltd | MARCH | 30-Jun-14 | Submitted |
| 19 | Santrust Securities Limited | MARCH | 30-Jun-14 | Submitted |
| 20 | Solid Rock Securities & Investment Plc | MARCH | 30-Jun-14 | Submitted |
| 21 | Tomil Trust Limited | MARCH | 30-Jun-14 | Submitted |
| 22 | Vetiva Securities Limited | MARCH | 30-Jun-14 | Submitted |

INACTIVE AND SUBMITTED

| S/N | FIRM | YEAR END | DUE DATE | STATUS |
|-----|----------------------------|----------|-----------|-----------|
| 1 | Monument Sec & Finance Ltd | MARCH | 30-Jun-14 | Submitted |

INACTIVE AND NOT SUBMITTED

| S/N | FIRM | YEAR END | DUE DATE | STATUS |
|-----|--------------------------------|----------|-----------|---------------|
| 1 | Decanon Investment Limited | MARCH | 30-Jun-14 | Not submitted |
| 2 | Maninvest Asset Management Plc | MARCH | 30-Jun-14 | Not submitted |
| 3 | Prudential Securities Limited | MARCH | 30-Jun-14 | Not submitted |
| 4 | Securities Solutions Limited | MARCH | 30-Jun-14 | Not submitted |



Broker TraX

Audited Accounts

DEALING MEMBERS AND THEIR RENDITION STATUS FOR THE YEAR ENDED 31ST MAY 2014

ACTIVE AND SUBMITTED

| S/N | FIRM | YEAR END | DUE DATE | STATUS |
|-----|------------------------|----------|-----------|-----------|
| 1 | PAC Securities Limited | April | 31-Jul-14 | Submitted |



Broker TraX

Audited Accounts

DEALING MEMBERS AND THEIR RENDITION STATUS FOR THE YEAR ENDED 31ST MAY, 2014

ACTIVE AND SUBMITTED

| S/N | FIRM | YEAR END | DUE DATE | STATUS |
|------------|------------------------------|-----------------|-----------------|---------------|
| 1 | Chartwell Securities Limited | MAY | 31-Aug-14 | Submitted |

**Audited Accounts****DEALING MEMBERS AND THEIR RENDITION STATUS FOR THE YEAR ENDED 30TH JUNE 2014****ACTIVE AND SUBMITTED**

| S/N | FIRM | YEAR END | DUE DATE | STATUS |
|-----|-------------------------------|----------|-----------|-----------|
| 1 | Emi Capital resources Limited | June | 30-Sep-14 | Submitted |
| 2 | Security Swaps Limited | June | 30-Sep-14 | Submitted |
| 3 | Amyrn Investment Limited | June | 30-Sep-14 | Submitted |

INACTIVE AND SUBMITTED

| S/N | FIRM | YEAR END | DUE DATE | STATUS |
|-----|-----------------------------------|----------|-----------|-----------|
| 1 | Vision Trust & Investment Limited | June | 30-Sep-14 | Submitted |

INACTIVE AND NOT SUBMITTED

| S/N | FIRM | YEAR END | DUE DATE | STATUS |
|-----|----------------------------------|----------|-----------|---------------|
| 1 | Allbond Investment Limited | June | 30-Sep-14 | Not Submitted |
| 2 | Consolidated Investments Limited | June | 30-Sep-14 | Not Submitted |
| 3 | Lion Stockbrokers Limited | June | 30-Sep-14 | Not Submitted |
| 4 | Professional Stockbrokers Ltd | June | 30-Sep-14 | Not Submitted |



Audited Accounts

DEALING MEMBERS AND THEIR RENDITION STATUS FOR THE YEAR ENDED 31ST JULY 2014

ACTIVE AND SUBMITTED

| S/N | FIRM | YEAR END | DUE DATE | STATUS |
|-----|-------------------------|----------|-----------|-----------|
| 1 | Finmal Services Limited | July | 31-Oct-14 | Submitted |

INACTIVE AND NOT SUBMITTED

| S/N | FIRM | YEAR END | DUE DATE | STATUS |
|-----|-------------------------|----------|-----------|---------------|
| 1 | Zuma Securities Limited | July | 31-Oct-14 | Not Submitted |

Audited Accounts

DEALING MEMBERS AND THEIR RENDITION STATUS FOR THE YEAR ENDED 31 DECEMBER 2014
ACTIVE AND SUBMITTED

| S/N | FIRM | YEAR END | DUE DATE | STATUS |
|-----|------------------------------------------------|----------|-----------|-----------|
| 1 | Adonai Stockbrokers Limited | December | 31-Mar-15 | Submitted |
| 2 | Adamawa Securities Limited | December | 31-Mar-15 | Submitted |
| 3 | Amyr Investment Limited | December | 31-Mar-15 | Submitted |
| 4 | African Alliance Stockbrokers Limited | December | 31-Mar-15 | Submitted |
| 5 | ARM Securities Limited | December | 31-Mar-15 | Submitted |
| 6 | Alangrange Securities Limited | December | 31-Mar-15 | Submitted |
| 7 | Altrade Securities Limited | December | 31-Mar-15 | Submitted |
| 8 | Amyr Investment Limited | December | 31-Mar-15 | Submitted |
| 9 | Anchorage Securities & Finance Limited | December | 31-Mar-15 | Submitted |
| 10 | Anchoria Investment & Securities Limited | December | 31-Mar-15 | Submitted |
| 11 | Apel Asset Limited | December | 31-Mar-15 | Submitted |
| 12 | Apt Securities & Funds Limited | December | 31-Mar-15 | Submitted |
| 13 | ARM Securities Limited | December | 31-Mar-15 | Submitted |
| 14 | Arthur Stevens Asset Management Limited | December | 31-Mar-15 | Submitted |
| 15 | Associated Asset Managers Limited | December | 31-Mar-15 | Submitted |
| 16 | Atlass Portfolio Limited | December | 31-Mar-15 | Submitted |
| 17 | Belfry Investment & Securities Limited | December | 31-Mar-15 | Submitted |
| 18 | Bestlink Investment Limited | December | 31-Mar-15 | Submitted |
| 19 | Bestworth Assets & Trust Limited | December | 31-Mar-15 | Submitted |
| 20 | Cadington Securities Limited | December | 31-Mar-15 | Submitted |
| 21 | Calyx Securities Limited | December | 31-Mar-15 | Submitted |
| 22 | Camry Securities Limited | December | 31-Mar-15 | Submitted |
| 23 | Capital Asset Limited | December | 31-Mar-15 | Submitted |
| 24 | Capital Bancorp Plc | December | 31-Mar-15 | Submitted |
| 25 | Capital Express Securities Limited | December | 31-Mar-15 | Submitted |
| 26 | Capital Trust Brokers Limited | December | 31-Mar-15 | Submitted |
| 27 | Cardinal Stone Securities Ltd | December | 31-Mar-15 | Submitted |
| 28 | Cashcraft Securities Limited | December | 31-Mar-15 | Submitted |
| 29 | Cashville Investment & Securities Limited | December | 31-Mar-15 | Submitted |
| 30 | CDL Capital Markets Limited | December | 31-Mar-15 | Submitted |
| 31 | Centre Point Investment Limited | December | 31-Mar-15 | Submitted |
| 32 | Century Securities Limited | December | 31-Mar-15 | Submitted |
| 33 | Chapel Hill Denham Securities Limited | December | 31-Mar-15 | Submitted |
| 34 | Crossworld Securities Limited | December | 31-Mar-15 | Submitted |
| 35 | Chartwell Securities Limited | December | 31-Mar-15 | Submitted |
| 36 | Citi Investment Capital Limited | December | 31-Mar-15 | Submitted |
| 37 | City Code Trust & Investment Company Limited | December | 31-Mar-15 | Submitted |
| 38 | Clearview Investment & Securities Limited | December | 31-Mar-15 | Submitted |
| 39 | Compass Investment & Securities Limited | December | 31-Mar-15 | Submitted |
| 40 | Cordros Capital Limited | December | 31-Mar-15 | Submitted |
| 41 | Core Trust & Investment Limited | December | 31-Mar-15 | Submitted |
| 42 | Covenant Securities & Asset Management Limited | December | 31-Mar-15 | Submitted |
| 43 | Cowry Securities Limited | December | 31-Mar-15 | Submitted |
| 44 | Cradle Trust Finance & Securities Limited | December | 31-Mar-15 | Submitted |

| | | | | |
|----|------------------------------------------------|----------|-----------|-----------|
| 45 | Crane Securities Limited | December | 31-Mar-15 | Submitted |
| 46 | Crossworld Securities Limited | December | 31-Mar-15 | Submitted |
| 47 | Crown Capital Limited | December | 31-Mar-15 | Submitted |
| 48 | CSL Stockbrokers Limited | December | 31-Mar-15 | Submitted |
| 49 | DBSL Securities Limited | December | 31-Mar-15 | Submitted |
| 50 | Express Discount Asset Management Limited | December | 31-Mar-15 | Submitted |
| 51 | Deep Trust & Investment Limited | December | 31-Mar-15 | Submitted |
| 52 | Delords Securities Limited | December | 31-Mar-15 | Submitted |
| 53 | Dependable Securities Limited | December | 31-Mar-15 | Submitted |
| 54 | Diamond Securities Limited | December | 31-Mar-15 | Submitted |
| 55 | Dominion Trust Limited | December | 31-Mar-15 | Submitted |
| 56 | DSU Brokerage Services Limited | December | 31-Mar-15 | Submitted |
| 57 | Dunbell Securities Limited | December | 31-Mar-15 | Submitted |
| 58 | Dunn Loren Merrifield Securities Limited | December | 31-Mar-15 | Submitted |
| 59 | Dynamic Portfolio Limited | December | 31-Mar-15 | Submitted |
| 60 | Foresight Securities Limited | December | 31-Mar-15 | Submitted |
| 61 | ECL Asset Management Limited | December | 31-Mar-15 | Submitted |
| 62 | EDC Securities Limited | December | 31-Mar-15 | Submitted |
| 63 | Edgefield Capital Management Limited | December | 31-Mar-15 | Submitted |
| 64 | EFCP Limited | December | 31-Mar-15 | Submitted |
| 65 | Elixir Securities Limited | December | 31-Mar-15 | Submitted |
| 66 | Enterprise Stockbrokers Limited | December | 31-Mar-15 | Submitted |
| 67 | Equity Capital Solutions Limited | December | 31-Mar-15 | Submitted |
| 68 | Eurocomm Securities Limited | December | 31-Mar-15 | Submitted |
| 69 | Excel Securities Limited | December | 31-Mar-15 | Submitted |
| 70 | Express Discount Asset Management Limited | December | 31-Mar-15 | Submitted |
| 71 | Express Portfolio Services Limited | December | 31-Mar-15 | Submitted |
| 72 | FBC Trust & Securities Limited | December | 31-Mar-15 | Submitted |
| 73 | FBN Securities Limited | December | 31-Mar-15 | Submitted |
| 74 | FCSL Asset Management Company Limited | December | 31-Mar-15 | Submitted |
| 75 | Fidelity Finance Company Limited | December | 31-Mar-15 | Submitted |
| 76 | Fidelity Securities Limited | December | 31-Mar-15 | Submitted |
| 77 | Financial Trust Company Limited | December | 31-Mar-15 | Submitted |
| 78 | Finbank Securities & Assets Management Limited | December | 31-Mar-15 | Submitted |
| 79 | Finmal Finance Services Limited | December | 31-Mar-15 | Submitted |
| 80 | First Integrated Capital Management Limited | December | 31-Mar-15 | Submitted |
| 81 | First Stockbrokers Limited | December | 31-Mar-15 | Submitted |
| 82 | FIS Securities Limited | December | 31-Mar-15 | Submitted |
| 83 | Foresight Securities Limited | December | 31-Mar-15 | Submitted |
| 84 | Forte Financial Limited | December | 31-Mar-15 | Submitted |
| 85 | Forthright Securities & Investments Limited | December | 31-Mar-15 | Submitted |
| 86 | FSDH Securities Limited | December | 31-Mar-15 | Submitted |
| 87 | Kinley Securities Limited | December | 31-Mar-15 | Submitted |
| 88 | Funds Matrix & Assets Mgt Limited | December | 31-Mar-15 | Submitted |
| 89 | Futureview Securities Limited | December | 31-Mar-15 | Submitted |
| 90 | Gem Assets Management Limited | December | 31-Mar-15 | Submitted |
| 91 | Gidauniya Investment & Securities Limited | December | 31-Mar-15 | Submitted |
| 92 | Global Asset Management (Nig) Limited | December | 31-Mar-15 | Submitted |
| 93 | Global View Consult & Investment Limited | December | 31-Mar-15 | Submitted |
| 94 | GMT Securities & Asset Mangement Limited | December | 31-Mar-15 | Submitted |
| 95 | Golden Securities Limited | December | 31-Mar-15 | Submitted |
| 96 | Greenwich Securities Limited | December | 31-Mar-15 | Submitted |
| 97 | Gruene Capital Limited | December | 31-Mar-15 | Submitted |
| 98 | GTI Securities Limited | December | 31-Mar-15 | Submitted |
| 99 | Harmony Securities Limited | December | 31-Mar-15 | Submitted |

| | | | | |
|-----|---------------------------------------------------|----------|-----------|-----------|
| 100 | Heartbeat Investment Limited | December | 31-Mar-15 | Submitted |
| 101 | Hedge Securities & Investment Limited | December | 31-Mar-15 | Submitted |
| 102 | Heritage Capital Markets Limited | December | 31-Mar-15 | Submitted |
| 103 | Horizon Stockbrokers Limited | December | 31-Mar-15 | Submitted |
| 104 | ICMG securities Limited | December | 31-Mar-15 | Submitted |
| 105 | Icon Stockbrokers Limited | December | 31-Mar-15 | Submitted |
| 106 | Imperial Assets Managers Limited | December | 31-Mar-15 | Submitted |
| 107 | Independent Securities Limited | December | 31-Mar-15 | Submitted |
| 108 | Integrated Trust & Investment Limited | December | 31-Mar-15 | Submitted |
| 109 | Interstate Securities Limited | December | 31-Mar-15 | Submitted |
| 110 | Investment Centre Limited | December | 31-Mar-15 | Submitted |
| 111 | Investment One Stockbrokers International Limited | December | 31-Mar-15 | Submitted |
| 112 | Investment Shark & Asset Mgt Ltd | December | 31-Mar-15 | Submitted |
| 113 | Investors & Trust Company Limited | December | 31-Mar-15 | Submitted |
| 114 | Kapital Care Trust & Securities Limited | December | 31-Mar-15 | Submitted |
| 115 | Kedari Capital Limited | December | 31-Mar-15 | Submitted |
| 116 | Kinley Securities Limited | December | 31-Mar-15 | Submitted |
| 117 | Kofana Securities & Investment Limited | December | 31-Mar-15 | Submitted |
| 118 | Kundila Finance Services Limited | December | 31-Mar-15 | Submitted |
| 119 | Lambeth Trust & Investment Company Limited | December | 31-Mar-15 | Submitted |
| 120 | Lead Securities & Investment Limited | December | 31-Mar-15 | Submitted |
| 121 | Lighthouse Asset Management Limited | December | 31-Mar-15 | Submitted |
| 122 | Long Term Global Capital Limited | December | 31-Mar-15 | Submitted |
| 123 | Magnartis Finance & Investment Limited | December | 31-Mar-15 | Submitted |
| 124 | Mainland Trust Limited | December | 31-Mar-15 | Submitted |
| 125 | Mainstreet Bank Securities Limited | December | 31-Mar-15 | Submitted |
| 126 | Marimpex Finance & Investment Company Limited | December | 31-Mar-15 | Submitted |
| 127 | Marina Securities Stockbroking Services Limited | December | 31-Mar-15 | Submitted |
| 128 | Marriot Securities Limited | December | 31-Mar-15 | Submitted |
| 129 | Maven Asset Management Limited | December | 31-Mar-15 | Submitted |
| 130 | Maxifund Investment & Securities Plc | December | 31-Mar-15 | Submitted |
| 131 | Mayfield Investment Limited | December | 31-Mar-15 | Submitted |
| 132 | MBC Securities Limited | December | 31-Mar-15 | Submitted |
| 133 | PAC Securities Limited | December | 31-Mar-15 | Submitted |
| 134 | MBL Financial Services Limited | December | 31-Mar-15 | Submitted |
| 135 | Mega Equities Limited | December | 31-Mar-15 | Submitted |
| 136 | Mega Equities Limited | December | 31-Mar-15 | Submitted |
| 137 | Mercov Securities Limited | December | 31-Mar-15 | Submitted |
| 138 | Meristem Stockbrokers Limited | December | 31-Mar-15 | Submitted |
| 139 | Midas Stockbrokers Limited | December | 31-Mar-15 | Submitted |
| 140 | Milestone Capital Management Limited | December | 31-Mar-15 | Submitted |
| 141 | Mission Securities Limited | December | 31-Mar-15 | Submitted |
| 142 | Molten Trust Limited | December | 31-Mar-15 | Submitted |
| 143 | Morgan Capital Securities Limited | December | 31-Mar-15 | Submitted |
| 144 | Mountain Investment & Securities Limited | December | 31-Mar-15 | Submitted |
| 145 | Mutual Alliance Investment & Securities Limited | December | 31-Mar-15 | Submitted |
| 146 | Network Capital Limited | December | 31-Mar-15 | Submitted |
| 147 | Shalom Investment and Financial Services Limited | December | 31-Mar-15 | Submitted |
| 148 | Newdevco Finance Services Company Limited | December | 31-Mar-15 | Submitted |
| 149 | Nigerian International Securities Ltd | December | 31-Mar-15 | Submitted |
| 150 | Nigerian Stockbrokers Limited | December | 31-Mar-15 | Submitted |
| 151 | Nova Finance & Securities Limited | December | 31-Mar-15 | Submitted |
| 152 | Options Securities Limited | December | 31-Mar-15 | Submitted |
| 153 | PAC Securities Limited | December | 31-Mar-15 | Submitted |
| 154 | Partnership Securities Limited | December | 31-Mar-15 | Submitted |

| | | | | |
|-----|---------------------------------------------------|----------|-----------|-----------|
| 155 | Peace Capital Markets Ltd | December | 31-Mar-15 | Submitted |
| 156 | Perfecta Investment & Trust Limited | December | 31-Mar-15 | Submitted |
| 157 | Phronesis Securities Limited | December | 31-Mar-15 | Submitted |
| 158 | Pilot Securities Limited | December | 31-Mar-15 | Submitted |
| 159 | Pinefields Investment Services Limited | December | 31-Mar-15 | Submitted |
| 160 | PIPC Securities Limited | December | 31-Mar-15 | Submitted |
| 161 | Pivot Trust & Investment Co. Limited | December | 31-Mar-15 | Submitted |
| 162 | Planet Capital Limited | December | 31-Mar-15 | Submitted |
| 163 | Portfolio Advisers Limited | December | 31-Mar-15 | Submitted |
| 164 | Primewealth Capital Limited | December | 31-Mar-15 | Submitted |
| 165 | Primera Africa Securities Limited | December | 31-Mar-15 | Submitted |
| 166 | Prominent Securities Limited | December | 31-Mar-15 | Submitted |
| 167 | PSI Securities Limited | December | 31-Mar-15 | Submitted |
| 168 | SFC Securities Limited | December | 31-Mar-15 | Submitted |
| 169 | Shelong Investments Limited | December | 31-Mar-15 | Submitted |
| 170 | Standard Alliance Capital Asset Mgt Limited | December | 31-Mar-15 | Submitted |
| 171 | The Bridge Securities Limited | December | 31-Mar-15 | Submitted |
| 172 | Pyramid Securities Limited | December | 31-Mar-15 | Submitted |
| 173 | Quantum Securities Limited | December | 31-Mar-15 | Submitted |
| 174 | Rainbow Securities Limited | December | 31-Mar-15 | Submitted |
| 175 | Readings Investment Limited | December | 31-Mar-15 | Submitted |
| 176 | Redasel Investments Limited | December | 31-Mar-15 | Submitted |
| 177 | Redasel Investments Limited | December | 31-Mar-15 | Submitted |
| 178 | Regency Asset Management Limited | December | 31-Mar-15 | Submitted |
| 179 | Rencap Securities (Nig) Limited | December | 31-Mar-15 | Submitted |
| 180 | Resano Securities Limited | December | 31-Mar-15 | Submitted |
| 181 | Resort Securities Limited | December | 31-Mar-15 | Submitted |
| 182 | Reward Investment & Service Limited | December | 31-Mar-15 | Submitted |
| 183 | Rostrum Investment & Sec Limited | December | 31-Mar-15 | Submitted |
| 184 | Rowet Capital Mgt Limited | December | 31-Mar-15 | Submitted |
| 185 | Royal Crest Finance Limited | December | 31-Mar-15 | Submitted |
| 186 | Royal Guaranty & Trust Limited | December | 31-Mar-15 | Submitted |
| 187 | Royal Trust Securities Limited | December | 31-Mar-15 | Submitted |
| 188 | Santrust Securities Limited | December | 31-Mar-15 | Submitted |
| 189 | Yuderb Investments & Securities Limited | December | 31-Mar-15 | Submitted |
| 190 | Securities Africa Financial Limited | December | 31-Mar-15 | Submitted |
| 191 | Securities and Capital Management Company Limited | December | 31-Mar-15 | Submitted |
| 192 | Security Swaps Limited | December | 31-Mar-15 | Submitted |
| 193 | Shalom Investment & Financial Services Limited | December | 31-Mar-15 | Submitted |
| 194 | Vision Trust & Investment Limited | December | 31-Mar-15 | Submitted |
| 195 | Sigma Securities Limited | December | 31-Mar-15 | Submitted |
| 196 | Signet Investment & Securities Limited | December | 31-Mar-15 | Submitted |
| 197 | Skyview Capital Ltd | December | 31-Mar-15 | Submitted |
| 198 | Smadac Securities Limited | December | 31-Mar-15 | Submitted |
| 199 | Solid Rock Securities & Investment Plc | December | 31-Mar-15 | Submitted |
| 200 | Springboard Trust & Investment Limited | December | 31-Mar-15 | Submitted |
| 201 | Standard Union Securities Limited | December | 31-Mar-15 | Submitted |
| 202 | Stanwal Securities Limited | December | 31-Mar-15 | Submitted |
| 203 | TFS Securities & Investment Company Limited | December | 31-Mar-15 | Submitted |
| 204 | Tomil Trust Limited | December | 31-Mar-15 | Submitted |
| 205 | Topmost Finance & Investment Limited | December | 31-Mar-15 | Submitted |
| 206 | Tower Securities & Investment Company Limited | December | 31-Mar-15 | Submitted |
| 207 | Trade Link Securities Limited | December | 31-Mar-15 | Submitted |
| 208 | Traders Trust & Investment Co. Limited | December | 31-Mar-15 | Submitted |

| | | | | |
|-----|-------------------------------------------|----------|-----------|-----------|
| 209 | Transafrica Financial Services Limited | December | 31-Mar-15 | Submitted |
| 210 | Trust Yield Securities Limited | December | 31-Mar-15 | Submitted |
| 211 | TrustBanc Capital Management Limited | December | 31-Mar-15 | Submitted |
| 212 | Trusthouse Investment Limited | December | 31-Mar-15 | Submitted |
| 213 | TRW Stockbrokers Limited | December | 31-Mar-15 | Submitted |
| 214 | UIDC Securities Limited | December | 31-Mar-15 | Submitted |
| 215 | Unex Capital Limited | December | 31-Mar-15 | Submitted |
| 216 | Union Capital Markets Limited | December | 31-Mar-15 | Submitted |
| 217 | United Capital Securities Limited | December | 31-Mar-15 | Submitted |
| 218 | Valmon Securities Limited | December | 31-Mar-15 | Submitted |
| 219 | Valueline Securities & Investment Limited | December | 31-Mar-15 | Submitted |
| 220 | Vetiva Securities Limited | December | 31-Mar-15 | Submitted |
| 221 | WSTC Financial Services Limited | December | 31-Mar-15 | Submitted |
| 222 | Yobe Investment & Securities Limited | December | 31-Mar-15 | Submitted |
| 223 | Yuderb Investment & Securities Limited | December | 31-Mar-15 | Submitted |
| 224 | Zenith Securities Limited | December | 31-Mar-15 | Submitted |

| INACTIVE AND SUBMITTED | | | | |
|------------------------|----------------------------------------|----------|-----------|-----------|
| 1 | Arian Capital Management Limited | December | 31-Mar-15 | Submitted |
| 2 | ITIS Securities Limited | December | 31-Mar-15 | Submitted |
| 3 | PML Securities & Company Limited | December | 31-Mar-15 | Submitted |
| 4 | Supra Commercial Trust Company Limited | December | 31-Mar-15 | Submitted |
| 5 | Vision Trust & Investment Limited | December | 31-Mar-15 | Submitted |

| NEWLY LICENSED FIRMS NOT REQUIRED TO SUBMIT RETURNS | | | | |
|-----------------------------------------------------|-------------------------------------|----------|-----------|---------------|
| 1 | Bauchi Investment Corp. Sec Limited | DECEMBER | 31-Mar-15 | Not submitted |

| INACTIVE AND NOT SUBMITTED | | | | |
|----------------------------|---------------------------------------------------------|----------|-----------|---------------|
| 1 | Aims Asset Management Limited | December | 31-Mar-15 | Not Submitted |
| 2 | Allbond Investment Limited | December | 31-Mar-15 | Not Submitted |
| 3 | BGL Securities Limited | December | 31-Mar-15 | Not Submitted |
| 4 | Bytofel Trust & Securities Limited | December | 31-Mar-15 | Not Submitted |
| 5 | CEB Securities Limited | December | 31-Mar-15 | Not Submitted |
| 6 | Consolidated Investment Limited | December | 31-Mar-15 | Not Submitted |
| 7 | Davandy Finance & Securities Limited | December | 31-Mar-15 | Not Submitted |
| 8 | Decanon Investment Limited | December | 31-Mar-15 | Not Submitted |
| 9 | Emi Capital Resources Limited | December | 31-Mar-15 | Not Submitted |
| 10 | Empire Securities Limited | December | 31-Mar-15 | Not Submitted |
| 11 | Falcon Securities Limited | December | 31-Mar-15 | Not Submitted |
| 12 | First Alstate Securities Limited | December | 31-Mar-15 | Not Submitted |
| 13 | Fittco Securities Limited | December | 31-Mar-15 | Not Submitted |
| 14 | Gombe Securities Limited | December | 31-Mar-15 | Not Submitted |
| 15 | HIP Asset Management Limited | December | 31-Mar-15 | Not Submitted |
| 16 | LB Securities Limited | December | 31-Mar-15 | Not Submitted |
| 17 | Lion Stockbrokers Limited | December | 31-Mar-15 | Not Submitted |
| 18 | LMB Stockbrokers Limited | December | 31-Mar-15 | Not Submitted |
| 19 | Mact Securities Limited | December | 31-Mar-15 | Not Submitted |
| 20 | Maninvest Asset Management Plc | December | 31-Mar-15 | Not Submitted |
| 21 | Metropolitan Trust Nigeria Limited | December | 31-Mar-15 | Not Submitted |
| 22 | Midpoint Capital Limited | December | 31-Mar-15 | Not Submitted |
| 23 | Monument Sec & Finance Limited | December | 31-Mar-15 | Not Submitted |
| 24 | Northbridge Investment & Trust Limited | December | 31-Mar-15 | Not Submitted |
| 25 | Omas Investment & Trust Company Limited | December | 31-Mar-15 | Not Submitted |
| 26 | Peninsula Asset Management & Investment Company Limited | December | 31-Mar-15 | Not Submitted |
| 27 | Platinum Capital Limited | December | 31-Mar-15 | Not Submitted |
| 28 | Professional Stockbrokers Limited | December | 31-Mar-15 | Not Submitted |
| 29 | Profund Securities Limited | December | 31-Mar-15 | Not Submitted |
| 30 | Prudential Securities Limited | December | 31-Mar-15 | Not Submitted |
| 31 | Regency Finance Limited | December | 31-Mar-15 | Not Submitted |
| 32 | Securities Solutions Limited | December | 31-Mar-15 | Not Submitted |
| 33 | Securities Trading & Investments Limited | December | 31-Mar-15 | Not Submitted |
| 34 | Surport Services Limited | December | 31-Mar-15 | Not Submitted |
| 35 | Waila Securities and Funds Limited | December | 31-Mar-15 | Not Submitted |
| 36 | WizeTrade Capital & Asset Management Limited | December | 31-Mar-15 | Not Submitted |
| 37 | WT Securities Limited | December | 31-Mar-15 | Not Submitted |
| 38 | Zuma Securities Limited | December | 31-Mar-15 | Not Submitted |

Audited Accounts

DEALING MEMBERS AND THEIR RENDITION STATUS FOR THE YEAR ENDED 31 DECEMBER 2015
ACTIVE AND SUBMITTED

| S/N | FIRM | YEAR END | DUE DATE |
|-----|----------------------------------------------|----------|-----------|
| 1 | Adonai Stockbrokers Limited | December | 31-Mar-16 |
| 2 | African Alliance Stockbrokers Limited | December | 31-Mar-16 |
| 3 | Afrinvest Securities Limited | December | 31-Mar-16 |
| 4 | Alangrange Securities Limited | December | 31-Mar-16 |
| 5 | Anchoria Investment & Securities Limited | December | 31-Mar-16 |
| 6 | Apel Asset Limited | December | 31-Mar-16 |
| 7 | Apt Securities & Funds Limited | December | 31-Mar-16 |
| 8 | ARM Securities Limited | December | 31-Mar-16 |
| 9 | ARM Securities Limited | December | 31-Mar-16 |
| 10 | Arthur Stevens Asset Management Limited | December | 31-Mar-16 |
| 11 | Associated Asset Managers Limited | December | 31-Mar-16 |
| 12 | Atlass Portfolio Limited | December | 31-Mar-16 |
| 13 | Belfry Investment & Securities Limited | December | 31-Mar-16 |
| 14 | Bestworth Assets & Trust Limited | December | 31-Mar-16 |
| 15 | Calyx Securities Limited | December | 31-Mar-16 |
| 16 | Camry Securities Limited | December | 31-Mar-16 |
| 17 | Capital Assets Limited | December | 31-Mar-16 |
| 18 | Capital Bancorp Plc | December | 31-Mar-16 |
| 19 | Capital Express Securities Limited | December | 31-Mar-16 |
| 20 | Capital Trust Brokers Limited | December | 31-Mar-16 |
| 21 | CardinalStone Securities Limited | December | 31-Mar-16 |
| 22 | Cashcraft Securities Limited | December | 31-Mar-16 |
| 23 | Cashville Investment & Securities Limited | December | 31-Mar-16 |
| 24 | CDL Capital Markets Limited | December | 31-Mar-16 |
| 25 | Centre Point Investment Limited | December | 31-Mar-16 |
| 26 | Century Securities Limited | December | 31-Mar-16 |
| 27 | Chapel Hill Denham Securities Limited | December | 31-Mar-16 |
| 28 | Chartwell Securities Limited | December | 31-Mar-16 |
| 29 | Citi Investment Capital Limited | December | 31-Mar-16 |
| 30 | City Code Trust & Investment Company Limited | December | 31-Mar-16 |
| 31 | Clearview Investments Company Limited | December | 31-Mar-16 |
| 32 | Compass Investment & Securities Limited | December | 31-Mar-16 |
| 33 | Cordros Capital Limited | December | 31-Mar-16 |
| 34 | Core Trust & Investment Limited | December | 31-Mar-16 |
| 35 | Coronation Securities Limited | December | 31-Mar-16 |
| 36 | Cowry Securities Limited | December | 31-Mar-16 |
| 37 | Crossworld Securities Limited | December | 31-Mar-16 |
| 38 | Crown Capital Limited | December | 31-Mar-16 |
| 39 | CSL Stockbrokers Limited | December | 31-Mar-16 |

| | | | |
|----|-----------------------------------------------------------------|----------|-----------|
| 40 | Deep Trust Investment Limited | December | 31-Mar-16 |
| 41 | Delords Securities Limited | December | 31-Mar-16 |
| 42 | Dependable Securities Limited | December | 31-Mar-16 |
| 43 | Diamond Securities Limited | December | 31-Mar-16 |
| 44 | Dominion Trust Limited | December | 31-Mar-16 |
| 45 | DSU Brokerage Services Limited | December | 31-Mar-16 |
| 46 | Dunbell Securities Limited | December | 31-Mar-16 |
| 47 | Dunn Loren Merrifield Securities Limited | December | 31-Mar-16 |
| 48 | Dynamic Portfolio Limited | December | 31-Mar-16 |
| 49 | EDC Securities Limited | December | 31-Mar-16 |
| 50 | Edgefield Capital Management Limited | December | 31-Mar-16 |
| 51 | EFCP Limited | December | 31-Mar-16 |
| 52 | Elixir Securities Limited | December | 31-Mar-16 |
| 53 | Enterprise Stockbrokers Limited | December | 31-Mar-16 |
| 54 | Equity Capital Solutions Limited | December | 31-Mar-16 |
| 55 | Eurocomm Securities Limited | December | 31-Mar-16 |
| 56 | Express Discount Asset Management Limited | December | 31-Mar-16 |
| 57 | Express Portfolio Services Limited | December | 31-Mar-16 |
| 58 | Falcon Securities Limited | December | 31-Mar-16 |
| 59 | FBN Securities Limited | December | 31-Mar-16 |
| 60 | FCSL Asset Management Company Limited | December | 31-Mar-16 |
| 61 | Fidelity Finance Company Limited | December | 31-Mar-16 |
| 62 | Fidelity Securities Limited | December | 31-Mar-16 |
| 63 | Financial & Analytics Capial Limited | December | 31-Mar-16 |
| 64 | Financial Trust Company Limited | December | 31-Mar-16 |
| 65 | Finmal Finance Services Limited | December | 31-Mar-16 |
| 66 | First Integrated Capital Management Limited | December | 31-Mar-16 |
| 67 | First Stockbrokers Limited | December | 31-Mar-16 |
| 68 | FIS Securities Limited | December | 31-Mar-16 |
| 69 | Foresight Securities Limited | December | 31-Mar-16 |
| 70 | Forte Financial Limited | December | 31-Mar-16 |
| 71 | Forthright Securities & Investments Limited | December | 31-Mar-16 |
| 72 | Fortress Capital Limited | December | 31-Mar-16 |
| 73 | FSDH Securities Limited | December | 31-Mar-16 |
| 74 | Funds Matrix & Assets Mgt Limited | December | 31-Mar-16 |
| 75 | Futureview Securities Limited | December | 31-Mar-16 |
| 76 | Gidauniya Investment & Securities Limited | December | 31-Mar-16 |
| 77 | Global Asset Management (Nig) Limited | December | 31-Mar-16 |
| 78 | Global View Consult & Investment Limited | December | 31-Mar-16 |
| 79 | Golden Securities Limited | December | 31-Mar-16 |
| 80 | Greenwich Securities Limited | December | 31-Mar-16 |
| 81 | Gruene Capital Limited | December | 31-Mar-16 |
| 82 | GTI Securities Limited | December | 31-Mar-16 |
| 83 | Harmony Securities Limited | December | 31-Mar-16 |
| 84 | Heartbeat Investment Limited | December | 31-Mar-16 |
| 85 | Hedge Securities & Investment Limited | December | 31-Mar-16 |
| 86 | Heritage Capital Markets Limited | December | 31-Mar-16 |
| 87 | ICMG securities Limited | December | 31-Mar-16 |
| 88 | Icon Stockbrokers Limited | December | 31-Mar-16 |
| 89 | Imperial Assets Managers Limited | December | 31-Mar-16 |
| 90 | Independent Securities Limited (now Qualinvest Capital Limited) | December | 31-Mar-16 |
| 91 | Integrated Trust & Investments Limited | December | 31-Mar-16 |
| 92 | Interstate Securities Limited | December | 31-Mar-16 |
| 93 | Investment Centre Limited | December | 31-Mar-16 |
| 94 | Investment One Stockbrokers International Limited | December | 31-Mar-16 |
| 95 | Investors & Trust Company Limited | December | 31-Mar-16 |
| 96 | Kapital Care Trust & Securities Limited | December | 31-Mar-16 |
| 97 | Kedari Capital Limited | December | 31-Mar-16 |

| | | | |
|-----|---------------------------------------------------|----------|-----------|
| 98 | Kinley Securities Limited | December | 31-Mar-16 |
| 99 | Kofana Securities & Investment Limited | December | 31-Mar-16 |
| 100 | Kundila Finance Services Limited | December | 31-Mar-16 |
| 101 | Lambeth Trust & Investment Company Limited | December | 31-Mar-16 |
| 102 | Lead Securities & Investment Limited | December | 31-Mar-16 |
| 103 | Lighthouse Asset Management Limited | December | 31-Mar-16 |
| 104 | Longterm Global Capital Limited | December | 31-Mar-16 |
| 105 | Magnartis Finance & Investment Limited | December | 31-Mar-16 |
| 106 | Mainstreet Bank Securities Limited | December | 31-Mar-16 |
| 107 | Marriot Securities & Investment Company Limited | December | 31-Mar-16 |
| 108 | Maxifund Investments & Securities Plc | December | 31-Mar-16 |
| 109 | Mayfield Investment Limited | December | 31-Mar-16 |
| 110 | MBC Securities Limited | December | 31-Mar-16 |
| 111 | MBL Financial Services Limited | December | 31-Mar-16 |
| 112 | Mega Equities Limited | December | 31-Mar-16 |
| 113 | Meristem Stockbrokers Limited | December | 31-Mar-16 |
| 114 | Midas Stockbrokers Limited | December | 31-Mar-16 |
| 115 | Milestone Capital Management Limited | December | 31-Mar-16 |
| 116 | Mission Securities Limited | December | 31-Mar-16 |
| 117 | Molten Trust Limited | December | 31-Mar-16 |
| 118 | Morgan Capital Securities Limited | December | 31-Mar-16 |
| 119 | Mountain Investment & Securities Limited | December | 31-Mar-16 |
| 120 | Mutual Alliance Investment & Securities Limited | December | 31-Mar-16 |
| 121 | Network Capital Limited | December | 31-Mar-16 |
| 122 | Networth Securities & Finance Limited | December | 31-Mar-16 |
| 123 | Newdevco Investment & Securities Company Limited | December | 31-Mar-16 |
| 124 | Nigerian International Securities Limited | December | 31-Mar-16 |
| 125 | Nigerian Stockbrokers Limited | December | 31-Mar-16 |
| 126 | Nova Finance & Securities Limited | December | 31-Mar-16 |
| 127 | PAC Securities Limited | December | 31-Mar-16 |
| 128 | Partnership Securities Limited | December | 31-Mar-16 |
| 129 | Peace Capital Market Ltd | December | 31-Mar-16 |
| 130 | Phronesis Securities Limited | December | 31-Mar-16 |
| 131 | Pilot Securities Limited | December | 31-Mar-16 |
| 132 | Pinefields Investment Services Limited | December | 31-Mar-16 |
| 133 | PIPC Securities Limited | December | 31-Mar-16 |
| 134 | Pivot Trust & Investment Co. Limited | December | 31-Mar-16 |
| 135 | Planet Capital Limited | December | 31-Mar-16 |
| 136 | Portfolio Advisers Limited | December | 31-Mar-16 |
| 137 | Primera Africa Securities Limited | December | 31-Mar-16 |
| 138 | Primewealth Capital Limited | December | 31-Mar-16 |
| 139 | Prominent Securities Limited | December | 31-Mar-16 |
| 140 | Pyramid Securities Limited | December | 31-Mar-16 |
| 141 | Quantum Securities Limited | December | 31-Mar-16 |
| 142 | Shalom Investment and Financial Services Limited | December | 31-Mar-16 |
| 143 | Readings Investment Limited | December | 31-Mar-16 |
| 144 | Regency Asset Management Limited | December | 31-Mar-16 |
| 145 | Rencap Securities (Nig) Limited | December | 31-Mar-16 |
| 146 | Reward Investments & Services Limited | December | 31-Mar-16 |
| 147 | Rostrum Investment & Sec Limited | December | 31-Mar-16 |
| 148 | Royal Guaranty & Trust Limited | December | 31-Mar-16 |
| 149 | Royal Trust Securities Limited | December | 31-Mar-16 |
| 150 | Santrust Securities Limited | December | 31-Mar-16 |
| 151 | Securities Africa Financial Limited | December | 31-Mar-16 |
| 152 | Securities and Capital Management Company Limited | December | 31-Mar-16 |
| 153 | Security Swaps Limited | December | 31-Mar-16 |
| 154 | SFC Securities Limited | December | 31-Mar-16 |
| 155 | Shelong Investments Limited | December | 31-Mar-16 |

| | | | |
|-----|-------------------------------------------------------|----------|-----------|
| 156 | Sigma Securities Limited | December | 31-Mar-16 |
| 157 | Signet Investment & Securities Limited | December | 31-Mar-16 |
| 158 | Skyview Capital Limited | December | 31-Mar-16 |
| 159 | Smadac Securities Limited | December | 31-Mar-16 |
| 160 | Solid Rock Securities & Investment Plc | December | 31-Mar-16 |
| 161 | Spring Trust & Securities Limited | December | 31-Mar-16 |
| 162 | Springboard Trust & Investment Limited | December | 31-Mar-16 |
| 163 | Stanbic IBTC Stockbrokers Limited | December | 31-Mar-16 |
| 164 | Standard Alliance Capital and Asset Managment Limited | December | 31-Mar-16 |
| 165 | Standard Union Securities Limited | December | 31-Mar-16 |
| 166 | TFS Securities & Investment Company Limited | December | 31-Mar-16 |
| 167 | The Bridge Securities Limited | December | 31-Mar-16 |
| 168 | Tiddo Securities Limited | December | 31-Mar-16 |
| 169 | Tomil Trust Limited | December | 31-Mar-16 |
| 170 | Topmost Finance & Investment Limited | December | 31-Mar-16 |
| 171 | Tower Asset Management Limited | December | 31-Mar-16 |
| 172 | Tower Securities & Investment Company Limited | December | 31-Mar-16 |
| 173 | Trade Link Securities Limited | December | 31-Mar-16 |
| 174 | Traders Trust & Investment Co. Limited | December | 31-Mar-16 |
| 175 | Transworld Investment & Securities Limited | December | 31-Mar-16 |
| 176 | Trust Yield Securities Limited | December | 31-Mar-16 |
| 177 | Trustbanc Capital Management limited | December | 31-Mar-16 |
| 178 | Trusthouse Investment Limited | December | 31-Mar-16 |
| 179 | TRW Stockbrokers Limited | December | 31-Mar-16 |
| 180 | Tyndale Securities Limited | December | 31-Mar-16 |
| 181 | Unex Capital Limited | December | 31-Mar-16 |
| 182 | Union Capital Markets Limited | December | 31-Mar-16 |
| 183 | United Capital Securities Limited | December | 31-Mar-16 |
| 184 | Valmon Securities Limited | December | 31-Mar-16 |
| 185 | Valueline Securities & Investment Limited | December | 31-Mar-16 |
| 186 | Vetiva Securities Limited | December | 31-Mar-16 |
| 187 | Woodland Capital Markets Plc | December | 31-Mar-16 |
| 188 | WSTC Financial Services Limited | December | 31-Mar-16 |
| 189 | Zenith Securities Limited | December | 31-Mar-16 |
| 190 | Zion Stockbrokers Limited | December | 31-Mar-16 |

| INACTIVE AND SUBMITTED | | | |
|------------------------|------------------------------------------------|----------|-----------|
| S/N | FIRM | Year End | Due Date |
| 1 | Anchorage Securities & Finance Limited | December | 31-Mar-16 |
| 2 | Arian Capital Management Limited | December | 31-Mar-16 |
| 3 | Bestlink Investment Limited | December | 31-Mar-16 |
| 4 | Cradle Trust Finance & Securities Limited | December | 31-Mar-16 |
| 5 | Crane Securities Limited | December | 31-Mar-16 |
| 6 | ECL Asset Management Limited | December | 31-Mar-16 |
| 7 | FBC Trust & Securities Limited | December | 31-Mar-16 |
| 8 | Gem Assets Management Limited | December | 31-Mar-16 |
| 9 | Horizon Stockbrokers Limited | December | 31-Mar-16 |
| 10 | Investment Shark & Asset Mgt Ltd | December | 31-Mar-16 |
| 11 | Mainland Trust Limited | December | 31-Mar-16 |
| 12 | Marimpex Finance & Investment Company Limited | December | 31-Mar-16 |
| 13 | Maven Asset Management Limited | December | 31-Mar-16 |
| 14 | Options Securities Limited | December | 31-Mar-16 |
| 15 | Perfecta Investment & Trust Limited | December | 31-Mar-16 |
| 16 | PSI Securities Limited | December | 31-Mar-16 |
| 17 | Resort Securities & Trust Limited | December | 31-Mar-16 |
| 18 | Rowet Capital Mgt Limited | December | 31-Mar-16 |
| 19 | Royal Crest Finance Limited | December | 31-Mar-16 |
| 20 | Shalom Investment & Financial Services Limited | December | 31-Mar-16 |
| 21 | Summa Guaranty & Trust Company Limited | December | 31-Mar-16 |
| 22 | Supra Commercial Trust Company Limited | December | 31-Mar-16 |
| 23 | Transafrika Financial Services Limited | December | 31-Mar-16 |
| 24 | UIDC Securities Limited | December | 31-Mar-16 |
| 25 | Vision Trust & Investment Limited | December | 31-Mar-16 |
| 26 | Yobe Investment and Securities Limited | December | 31-Mar-16 |
| 27 | Yuderb Investments & Securities Limited | December | 31-Mar-16 |

| INACTIVE AND NOT SUBMITTED | | | |
|----------------------------|------------------------------------------------|----------|-----------|
| S/N | FIRM | Year End | Due Date |
| 1 | Adamawa Securities Limited | December | 31-Mar-16 |
| 2 | Aims Asset Management Limited | December | 31-Mar-16 |
| 3 | Bauchi Investment Corp. Sec Limited | December | 31-Mar-16 |
| 4 | Bytofel Securities and Investment Limited | December | 31-Mar-16 |
| 5 | Cadington Securities Limited | December | 31-Mar-16 |
| 6 | CEB Securities Limited | December | 31-Mar-16 |
| 7 | Covenant Securities & Asset Management Limited | December | 31-Mar-16 |
| 8 | Excel Securities Limited | December | 31-Mar-16 |
| 9 | Finbank Securities & Assets Management Limited | December | 31-Mar-16 |
| 10 | First Alstate Securities Limited | December | 31-Mar-16 |
| 11 | GMT Securities & Asset Mangement Limited | December | 31-Mar-16 |
| 12 | Gombe Securities Limited | December | 31-Mar-16 |
| 13 | International Standard Securities Limited | December | 31-Mar-16 |
| 14 | ITIS Securities Limited | December | 31-Mar-16 |
| 15 | Kakawa Asset Management Limited | December | 31-Mar-16 |
| 16 | LB Securities Limited | December | 31-Mar-16 |
| 17 | Lion Stockbrokers Limited | December | 31-Mar-16 |
| 18 | LMB Stockbrokers Limited | December | 31-Mar-16 |
| 19 | Mercov Securities Limited | December | 31-Mar-16 |
| 20 | Midpoint Capital Limited | December | 31-Mar-16 |
| 21 | ML Securities Limited | December | 31-Mar-16 |
| 22 | Monument Sec & Finance Limited | December | 31-Mar-16 |
| 23 | Northbridge Investment and Trust Limited | December | 31-Mar-16 |
| 24 | PML Securities and Company Limited | December | 31-Mar-16 |

| | | | |
|----|------------------------------------|----------|-----------|
| 25 | Professional Stockbrokers Limited | December | 31-Mar-16 |
| 26 | Profund Securities Limited | December | 31-Mar-16 |
| 27 | Redasel Investments Limited | December | 31-Mar-16 |
| 28 | Resano Securities Limited | December | 31-Mar-16 |
| 29 | Surport Services Limited | December | 31-Mar-16 |
| 30 | Stanwal Securities Limited | December | 31-Mar-16 |
| 31 | Waila Securities and Funds Limited | December | 31-Mar-16 |
| 32 | Wema Asset Management Limited | December | 31-Mar-16 |

Audited Accounts

DEALING MEMBERS AND THEIR RENDITION STATUS FOR THE YEAR ENDED 31 DECEMBER 2016
ACTIVE AND SUBMITTED

| S/N | FIRM | YEAR END | DUE DATE |
|-----|----------------------------------------------|----------|-----------|
| 1 | Adonai Stockbrokers Limited | December | 31-Mar-17 |
| 2 | African Alliance Stockbrokers Limited | December | 31-Mar-17 |
| 3 | Afrinvest Securities Limited | December | 31-Mar-17 |
| 4 | Amyr Investment Limited | December | 31-Mar-17 |
| 5 | Anchoria Investment & Securities Limited | December | 31-Mar-17 |
| 6 | Apel Asset Limited | December | 31-Mar-17 |
| 7 | Apt Securities & Funds Limited | December | 31-Mar-17 |
| 8 | ARM Securities Limited | December | 31-Mar-17 |
| 9 | Arthur Stevens Asset Management Limited | December | 31-Mar-17 |
| 10 | Associated Asset Managers Limited | December | 31-Mar-17 |
| 11 | Atlass Portfolio Limited | December | 31-Mar-17 |
| 12 | Belfry Investment & Securities Limited | December | 31-Mar-17 |
| 13 | Bestworth Assets & Trust Limited | December | 31-Mar-17 |
| 14 | Calyx Securities Limited | December | 31-Mar-17 |
| 15 | Camry Securities Limited | December | 31-Mar-17 |
| 16 | Capital Asset Limited | December | 31-Mar-17 |
| 17 | Capital Bancorp Plc | December | 31-Mar-17 |
| 18 | Capital Express Securities Limited | December | 31-Mar-17 |
| 19 | Capital Trust Brokers Limited | December | 31-Mar-17 |
| 20 | CardinalStone Securities Limited | December | 31-Mar-17 |
| 21 | Cashcraft Securities Limited | December | 31-Mar-17 |
| 22 | Cashville Investment & Securities Limited | December | 31-Mar-17 |
| 23 | CDL Capital Markets Limited | December | 31-Mar-17 |
| 24 | Centre Point Investment Limited | December | 31-Mar-17 |
| 25 | Century Securities Limited | December | 31-Mar-17 |
| 26 | Chapel Hill Denham Securities Limited | December | 31-Mar-17 |
| 27 | Chartwell Securities Limited | December | 31-Mar-17 |
| 28 | Citi Investment Capital Limited | December | 31-Mar-17 |
| 29 | City Code Trust & Investment Company Limited | December | 31-Mar-17 |
| 30 | CLG Stockbrokers Limited | December | 31-Mar-17 |
| 31 | Compass Investment & Securities Limited | December | 31-Mar-17 |
| 32 | Cordros Securities Limited | December | 31-Mar-17 |
| 33 | Core Trust & Investment Limited | December | 31-Mar-17 |
| 34 | Coronation Securities Limited | December | 31-Mar-17 |
| 35 | Cowry Securities Limited | December | 31-Mar-17 |
| 36 | Crane Securities Limited | December | 31-Mar-17 |

| | | | |
|----|-----------------------------------------------|----------|-----------|
| 37 | Crossworld Securities Limited | December | 31-Mar-17 |
| 38 | Crown Capital Limited | December | 31-Mar-17 |
| 39 | CSL Stockbrokers Limited | December | 31-Mar-17 |
| 40 | Deep Trust Investment Limited | December | 31-Mar-17 |
| 41 | Delords Securities Limited | December | 31-Mar-17 |
| 42 | Diamond Securities Limited | December | 31-Mar-17 |
| 43 | Dominion Trust Limited | December | 31-Mar-17 |
| 44 | DSU Brokerage Services Limited | December | 31-Mar-17 |
| 45 | Dunbell Securities Limited | December | 31-Mar-17 |
| 46 | Dunn Loren Merrifield Securities Limited | December | 31-Mar-17 |
| 47 | Dynamic Portfolio Limited | December | 31-Mar-17 |
| 48 | EDC Securities Limited | December | 31-Mar-17 |
| 49 | Edgefield Capital Management Limited | December | 31-Mar-17 |
| 50 | EFCP Limited | December | 31-Mar-17 |
| 51 | El-Elyon Alliance and Securities Ltd | December | 31-Mar-17 |
| 52 | Elixir Securities Limited | December | 31-Mar-17 |
| 53 | Enterprise Stockbrokers Limited | December | 31-Mar-17 |
| 54 | Equity Capital Solutions Limited | December | 31-Mar-17 |
| 55 | Eurocomm Securities Limited | December | 31-Mar-17 |
| 56 | Express Portfolio Services Limited | December | 31-Mar-17 |
| 57 | Falcon Securities Limited | December | 31-Mar-17 |
| 58 | FBC Trust & Securities Limited | December | 31-Mar-17 |
| 59 | FBN Securities Limited | December | 31-Mar-17 |
| 60 | FCSL Asset Management Company Limited | December | 31-Mar-17 |
| 61 | Fidelity Finance Company Limited | December | 31-Mar-17 |
| 62 | Financial & Analytics Capital Limited | December | 31-Mar-17 |
| 63 | Finmal Finance Services Limited | December | 31-Mar-17 |
| 64 | First Integrated Capital Management Limited | December | 31-Mar-17 |
| 65 | First Stockbrokers Limited | December | 31-Mar-17 |
| 66 | FIS Securities Limited | December | 31-Mar-17 |
| 67 | Foresight Securities & Investment Limited | December | 31-Mar-17 |
| 68 | Forthright Securities & Investments Limited | December | 31-Mar-17 |
| 69 | Fortress Capital Limited | December | 31-Mar-17 |
| 70 | FSDH Securities Limited | December | 31-Mar-17 |
| 71 | FSL Securities Limited | December | 31-Mar-17 |
| 72 | Funds Matrix & Assets Mgt Limited | December | 31-Mar-17 |
| 73 | Futureview Securities Limited | December | 31-Mar-17 |
| 74 | Gidauniya Investment & Securities Limited | December | 31-Mar-17 |
| 75 | Global Asset Management (Nig) Limited | December | 31-Mar-17 |
| 76 | GlobalView Capital Limited | December | 31-Mar-17 |
| 77 | Greenwich Securities Limited | December | 31-Mar-17 |
| 78 | Growth & Development Asset Management Limited | December | 31-Mar-17 |
| 79 | Gruene Capital Limited | December | 31-Mar-17 |
| 80 | GTI Securities Limited | December | 31-Mar-17 |

| | | | |
|-----|---------------------------------------------------|----------|-----------|
| 81 | Harmony Securities Limited | December | 31-Mar-17 |
| 82 | Heartbeat Investment Limited | December | 31-Mar-17 |
| 83 | Hedge Securities & Investment Limited | December | 31-Mar-17 |
| 84 | Helix Securities Limited | December | 31-Mar-17 |
| 85 | Heritage Capital Markets Limited | December | 31-Mar-17 |
| 86 | ICMG securities Limited | December | 31-Mar-17 |
| 87 | Icon Stockbrokers Limited | December | 31-Mar-17 |
| 88 | Imperial Asset Managers Limited | December | 31-Mar-17 |
| 89 | Integrated Trust & Investment Limited | December | 31-Mar-17 |
| 90 | Interstate Securities Limited | December | 31-Mar-17 |
| 91 | Investment One Stockbrokers International Limited | December | 31-Mar-17 |
| 92 | Investors & Trust Company Limited | December | 31-Mar-17 |
| 93 | Kapital Care Trust & Securities Limited | December | 31-Mar-17 |
| 94 | Kedari Capital Limited | December | 31-Mar-17 |
| 95 | Kinley Securities Limited | December | 31-Mar-17 |
| 96 | Kofana Securities & Investment Limited | December | 31-Mar-17 |
| 97 | Kundila Finance Services Limited | December | 31-Mar-17 |
| 98 | Lambeth Trust & Investment Company Limited | December | 31-Mar-17 |
| 99 | Lead Securities & Investment Limited | December | 31-Mar-17 |
| 100 | Lighthouse Asset Management Limited | December | 31-Mar-17 |
| 101 | Longterm Global Capital Limited | December | 31-Mar-17 |
| 102 | Magnartis Finance & Investment Limited | December | 31-Mar-17 |
| 103 | Marriot Securities & Investment Co. Limited | December | 31-Mar-17 |
| 104 | Maxifund Investment & Securities Plc | December | 31-Mar-17 |
| 105 | Mayfield Investment Limited | December | 31-Mar-17 |
| 106 | MBC Securities Limited | December | 31-Mar-17 |
| 107 | Mega Equities Limited | December | 31-Mar-17 |
| 108 | Meristem Stockbrokers Limited | December | 31-Mar-17 |
| 109 | Milestone Capital Management Limited | December | 31-Mar-17 |
| 110 | Mission Securities Limited | December | 31-Mar-17 |
| 111 | Molten Trust Limited | December | 31-Mar-17 |
| 112 | Morgan Capital Securities Limited | December | 31-Mar-17 |
| 113 | Mountain Investment & Securities Limited | December | 31-Mar-17 |
| 114 | Network Capital Limited | December | 31-Mar-17 |
| 115 | Networth Securities & Finance Limited | December | 31-Mar-17 |
| 116 | Newdevco Investments & Securties Limited | December | 31-Mar-17 |
| 117 | Nigerian International Securities Ltd | December | 31-Mar-17 |
| 118 | Nigerian Stockbrokers Limited | December | 31-Mar-17 |
| 119 | Nova Finance & Securities Limited | December | 31-Mar-17 |
| 120 | PAC Securities Limited | December | 31-Mar-17 |
| 121 | Peace Capital Markets Ltd | December | 31-Mar-17 |
| 122 | Pilot Securities Limited | December | 31-Mar-17 |
| 123 | Pinefields Investment Services Limited | December | 31-Mar-17 |
| 124 | PIPC Securities Limited | December | 31-Mar-17 |
| 125 | Pivot Capital Limited | December | 31-Mar-17 |
| 126 | Planet Capital Limited | December | 31-Mar-17 |
| 127 | Portfolio Advisers Limited | December | 31-Mar-17 |

| | | | |
|-----|---------------------------------------------------|----------|-----------|
| 128 | Primera Africa Securities Limited | December | 31-Mar-17 |
| 129 | Primewealth Capital Limited | December | 31-Mar-17 |
| 130 | Prominent Securities Limited | December | 31-Mar-17 |
| 131 | PSI Securities Limited | December | 31-Mar-17 |
| 132 | Pyramid Securities Limited | December | 31-Mar-17 |
| 133 | Qualinvest Capital Limited | December | 31-Mar-17 |
| 134 | Quantum Securities Limited | December | 31-Mar-17 |
| 135 | Rainbow Securities & Investment Company Limited | December | 31-Mar-17 |
| 136 | Readings Investment Limited | December | 31-Mar-17 |
| 137 | Regency Asset Management Limited | December | 31-Mar-17 |
| 138 | Rencap Securities (Nig) Limited | December | 31-Mar-17 |
| 139 | Reward Investment & Service Limited | December | 31-Mar-17 |
| 140 | RMB Nigeria Stockbrokers Limited | December | 31-Mar-17 |
| 141 | Rostrum Investment & Sec Limited | December | 31-Mar-17 |
| 142 | Shalom Investment and Financial Services Limited | December | 31-Mar-17 |
| 143 | Royal Crest Finance Limited | December | 31-Mar-17 |
| 144 | Royal Guaranty & Trust Limited | December | 31-Mar-17 |
| 145 | Royal Trust Securities Limited | December | 31-Mar-17 |
| 146 | Santrust Securities Limited | December | 31-Mar-17 |
| 147 | Securities Africa Financial Limited | December | 31-Mar-17 |
| 148 | Securities and Capital Management Company Limited | December | 31-Mar-17 |
| 149 | Security Swaps Limited | December | 31-Mar-17 |
| 150 | SFC Securities Limited | December | 31-Mar-17 |
| 151 | Shelong Investments Limited | December | 31-Mar-17 |
| 152 | Sigma Securities Limited | December | 31-Mar-17 |
| 153 | Signet Investment & Securities Limited | December | 31-Mar-17 |
| 154 | Skyview Capital Ltd | December | 31-Mar-17 |
| 155 | Smadac Securities Limited | December | 31-Mar-17 |
| 156 | Solid Rock Securities & Investment Plc | December | 31-Mar-17 |
| 157 | Spring Trust & Securities Limited | December | 31-Mar-17 |
| 158 | Springboard Trust & Investment Limited | December | 31-Mar-17 |
| 159 | Stanbic IBTC Stockbrokers Limited | December | 31-Mar-17 |
| 160 | Standard Alliance Capital Asset Mgt Limited | December | 31-Mar-17 |
| 161 | Standard Union Securities Limited | December | 31-Mar-17 |
| 162 | TFS Securities & Investment Company Limited | December | 31-Mar-17 |
| 163 | The Bridge Securities Limited | December | 31-Mar-17 |
| 164 | Tiddo Securities Limited | December | 31-Mar-17 |
| 165 | Tomil Trust Limited | December | 31-Mar-17 |
| 166 | Topmost Securities Limited | December | 31-Mar-17 |
| 167 | Tower Securities & Investment Company Limited | December | 31-Mar-17 |
| 168 | Trade Link Securities Limited | December | 31-Mar-17 |
| 169 | Traders Trust & Investment Co. Limited | December | 31-Mar-17 |
| 170 | Trust Yield Securities Limited | December | 31-Mar-17 |
| 171 | TrustBanc Capital Management Limited | December | 31-Mar-17 |
| 172 | Trusthouse Investment Limited | December | 31-Mar-17 |
| 173 | TRW Stockbrokers Limited | December | 31-Mar-17 |
| 174 | Tyndale Securities Limited | December | 31-Mar-17 |

| | | | |
|-----|-------------------------------------------|----------|-----------|
| 175 | Unex Capital Limited | December | 31-Mar-17 |
| 176 | Union Capital Markets Limited | December | 31-Mar-17 |
| 177 | United Capital Securities Limited | December | 31-Mar-17 |
| 178 | Valmon Securities Limited | December | 31-Mar-17 |
| 179 | Valueline Securities & Investment Limited | December | 31-Mar-17 |
| 180 | Vetiva Securities Limited | December | 31-Mar-17 |
| 181 | Woodland Capital Markets Plc | December | 31-Mar-17 |
| 182 | WSTC Financial Services Limited | December | 31-Mar-17 |
| 183 | Zenith Securities Limited | December | 31-Mar-17 |
| 184 | Zion Stockbrokers & Securities Limited | December | 31-Mar-17 |
| 185 | Financial Trust Company Limited | December | 31-Mar-17 |
| 186 | Forte Financial Limited | December | 31-Mar-17 |
| 187 | Golden Securities Limited | December | 31-Mar-17 |
| 188 | Mainstreet Bank Securities Limited | December | 31-Mar-17 |
| 189 | Midas Stockbrokers Limited | December | 31-Mar-17 |
| 190 | Transworld Investment Limited | December | 31-Mar-17 |
| | | | |

INACTIVE AND SUBMITTED

| S/N | FIRMS | Year End | Due date |
|-----|-----------------------------------------------|----------|-----------|
| 1 | Gem Assets Management Limited | December | 31-Mar-17 |
| 2 | Horizon Stockbrokers Limited | December | 31-Mar-17 |
| 3 | Investment Shark & Asset Mgt Ltd | December | 31-Mar-17 |
| 4 | Marimpex Finance & Investment Company Limited | December | 31-Mar-17 |
| 5 | MBL Financial Services Limited | December | 31-Mar-17 |
| 6 | Supra Commercial Trust Company Limited | December | 31-Mar-17 |
| 7 | UIDC Securities Limited | December | 31-Mar-17 |

NEWLY LICENSED FIRMS NOT REQUIRED TO SUBMIT RETURNS

| S/N | FIRMS | Year End | Due date |
|-----|---------------------------------------|----------|-----------|
| 1 | Bauchi Investment Corp. Sec Limited | December | 31-Mar-17 |
| 2 | Fundvine Capital & Securities Limited | December | 31-Mar-17 |

| INACTIVE AND NOT SUBMITTED | | | |
|-----------------------------------|-------------------------------------------------|-----------------|-----------------|
| S/N | FIRM | Year End | Due Date |
| 1 | Aims Asset Management Limited | December | 31-Mar-17 |
| 2 | Adamawa Securities Limited | December | 31-Mar-17 |
| 3 | Bytofel Trust & Securities Limited | December | 31-Mar-17 |
| 4 | Cadington Securities Limited | December | 31-Mar-17 |
| 5 | CEB Securities Limited | December | 31-Mar-17 |
| 6 | Clearview Investments Company Limited | December | 31-Mar-17 |
| 7 | ECL Asset Management Limited | December | 31-Mar-17 |
| 8 | Finbank Securities & Assets Management Limited | December | 31-Mar-17 |
| 9 | GMT Securities & Asset Mangement Limited | December | 31-Mar-17 |
| 10 | Gombe Securities Limited | December | 31-Mar-17 |
| 11 | International Standard Securities Limited | December | 31-Mar-17 |
| 12 | ITIS Securities Limited | December | 31-Mar-17 |
| 13 | Kakawa Asset Management Limited | December | 31-Mar-17 |
| 14 | Lion Stockbrokers Limited | December | 31-Mar-17 |
| 15 | LMB Stockbrokers Limited | December | 31-Mar-17 |
| 16 | Mact Securities Limited | December | 31-Mar-17 |
| 17 | Maven Asset Management Limited | December | 31-Mar-17 |
| 18 | Mercov Securities Limited | December | 31-Mar-17 |
| 19 | Midpoint Capital | December | 31-Mar-17 |
| 20 | ML Securities Limited | December | 31-Mar-17 |
| 21 | Monument Sec & Finance Limited | December | 31-Mar-17 |
| 22 | Mutual Alliance Investment & Securities Limited | December | 31-Mar-17 |
| 23 | Partnership Securities Limited | December | 31-Mar-17 |
| 24 | Profund Securities Limited | December | 31-Mar-17 |
| 25 | Resano Securities Limited | December | 31-Mar-17 |
| 26 | Resort Securities & Trust Limited | December | 31-Mar-17 |
| 27 | Stanwal Securities Limited | December | 31-Mar-17 |
| 28 | Tower Asset Management Limited | December | 31-Mar-17 |
| 29 | Transafrica Financial Services Limited | December | 31-Mar-17 |
| 30 | Vision Trust & Investment Limited | December | 31-Mar-17 |
| 31 | Wema Asset Management Limited | December | 31-Mar-17 |

Audited Accounts

DEALING MEMBERS AND THEIR RENDITION STATUS FOR THE YEAR ENDED 31 DECEMBER 2017

| S/N | FIRMS | Year End | Due date |
|-----|----------------------------------------------|----------|-----------|
| 1 | Afrinvest Securities Limited | December | 31-Mar-18 |
| 2 | Anchoria Investment & Securities Limited | December | 31-Mar-18 |
| 3 | Apel Asset Limited | December | 31-Mar-18 |
| 4 | Apt Securities & Funds Limited | December | 31-Mar-18 |
| 5 | ARM Securities Limited | December | 31-Mar-18 |
| 6 | Arthur Stevens Asset Management Limited | December | 31-Mar-18 |
| 7 | Associated Asset Managers Limited | December | 31-Mar-18 |
| 8 | Bauchi Investment Corp. Sec Limited | December | 31-Mar-18 |
| 9 | Belfry Investment & Securities Limited | December | 31-Mar-18 |
| 10 | Bestworth Assets & Trust Limited | December | 31-Mar-18 |
| 11 | Calyx Securities Limited | December | 31-Mar-18 |
| 12 | Camry Securities Limited | December | 31-Mar-18 |
| 13 | Capital Asset Limited | December | 31-Mar-18 |
| 14 | Capital Bancorp Plc | December | 31-Mar-18 |
| 15 | Capital Express Securities Limited | December | 31-Mar-18 |
| 16 | Capital Trust Brokers Limited | December | 31-Mar-18 |
| 17 | Cardinal Stone Securities Ltd | December | 31-Mar-18 |
| 18 | Cashcraft Securities Limited | December | 31-Mar-18 |
| 19 | Cashville Investment & Securities Limited | December | 31-Mar-18 |
| 20 | CDL Capital Markets Limited | December | 31-Mar-18 |
| 21 | Centre Point Investment Limited | December | 31-Mar-18 |
| 22 | Century Securities Limited | December | 31-Mar-18 |
| 23 | Chapel Hill Denham Securities Limited | December | 31-Mar-18 |
| 24 | Chartwell Securities Limited | December | 31-Mar-18 |
| 25 | Citi Investment Capital Limited | December | 31-Mar-18 |
| 26 | City Code Trust & Investment Company Limited | December | 31-Mar-18 |
| 27 | CLG Stockbrokers Limited | December | 31-Mar-18 |
| 28 | Compass Investment & Securities Limited | December | 31-Mar-18 |
| 29 | Cordros Securities Limited | December | 31-Mar-18 |
| 30 | Core Securities Limited | December | 31-Mar-18 |
| 31 | Coronation Securities Limited | December | 31-Mar-18 |
| 32 | Cowry Securities Limited | December | 31-Mar-18 |
| 33 | Crane Securities Limited | December | 31-Mar-18 |
| 34 | Crossworld Securities Limited | December | 31-Mar-18 |
| 35 | Crown Capital Limited | December | 31-Mar-18 |
| 36 | CSL Stockbrokers Limited | December | 31-Mar-18 |
| 37 | Deep Trust Investment Limited | December | 31-Mar-18 |

| | | | |
|----|-----------------------------------------------|----------|-----------|
| 38 | Delords Securities Limited | December | 31-Mar-18 |
| 39 | Dominion Trust Limited | December | 31-Mar-18 |
| 40 | DSU Brokerage Services Limited | December | 31-Mar-18 |
| 41 | Dunbell Securities Limited | December | 31-Mar-18 |
| 42 | Dunn Loren Merrifield Securities Limited | December | 31-Mar-18 |
| 43 | Dynamic Portfolio Limited | December | 31-Mar-18 |
| 44 | EDC Securities Limited | December | 31-Mar-18 |
| 45 | Edgefield Capital Management Limited | December | 31-Mar-18 |
| 46 | EFCP Limited | December | 31-Mar-18 |
| 47 | El-Elyon Alliance and Securities Ltd | December | 31-Mar-18 |
| 48 | Elixir Securities Limited | December | 31-Mar-18 |
| 49 | Enterprise Stockbrokers Limited | December | 31-Mar-18 |
| 50 | Equity Capital Solutions Limited | December | 31-Mar-18 |
| 51 | Eurocomm Securities Limited | December | 31-Mar-18 |
| 52 | Express Portfolio Services Limited | December | 31-Mar-18 |
| 53 | FBC Trust & Securities Limited | December | 31-Mar-18 |
| 54 | FBNQuest Securities Limited | December | 31-Mar-18 |
| 55 | FCSL Asset Management Company Limited | December | 31-Mar-18 |
| 56 | Fidelity Finance Company Limited | December | 31-Mar-18 |
| 57 | Financial & Analytics Capital Limited | December | 31-Mar-18 |
| 58 | Financial Trust Company Limited | December | 31-Mar-18 |
| 59 | Finmal Finance Services Limited | December | 31-Mar-18 |
| 60 | First Integrated Capital Management Limited | December | 31-Mar-18 |
| 61 | First Stockbrokers Limited | December | 31-Mar-18 |
| 62 | FIS Securities Limited | December | 31-Mar-18 |
| 63 | Foresight Securities & Investment Limited | December | 31-Mar-18 |
| 64 | Forte Financial Limited | December | 31-Mar-18 |
| 65 | Forthright Securities & Investments Limited | December | 31-Mar-18 |
| 66 | Fortress Capital Limited | December | 31-Mar-18 |
| 67 | FSDH Securities Limited | December | 31-Mar-18 |
| 68 | FSL Securities Limited | December | 31-Mar-18 |
| 69 | Funds Matrix & Assets Mgt Limited | December | 31-Mar-18 |
| 70 | Fundvine Capital & Securities Limited | December | 31-Mar-18 |
| 71 | Futureview Securities Limited | December | 31-Mar-18 |
| 72 | Gidauniya Investment & Securities Limited | December | 31-Mar-18 |
| 73 | Global Asset Management (Nig) Limited | December | 31-Mar-18 |
| 74 | GlobalView Capital Limited | December | 31-Mar-18 |
| 75 | Golden Securities Limited | December | 31-Mar-18 |
| 76 | Greenwich Securities Limited | December | 31-Mar-18 |
| 77 | Growth & Development Asset Management Limited | December | 31-Mar-18 |
| 78 | Gruene Capital Limited | December | 31-Mar-18 |
| 79 | GTI Securities Limited | December | 31-Mar-18 |
| 80 | Harmony Securities Limited | December | 31-Mar-18 |
| 81 | Heartbeat Investment Limited | December | 31-Mar-18 |
| 82 | Hedge Securities & Investment Limited | December | 31-Mar-18 |
| 83 | Helix Securities Limited | December | 31-Mar-18 |
| 84 | Heritage Capital Markets Limited | December | 31-Mar-18 |

| | | | |
|-----|---------------------------------------------------|----------|-----------|
| 85 | ICMG Securities Limited | December | 31-Mar-18 |
| 86 | Icon Stockbrokers Limited | December | 31-Mar-18 |
| 87 | Imperial Asset Managers Limited | December | 31-Mar-18 |
| 88 | Integrated Trust & Investment Limited | December | 31-Mar-18 |
| 89 | Interstate Securities Limited | December | 31-Mar-18 |
| 90 | Investment One Stockbrokers International Limited | December | 31-Mar-18 |
| 91 | Investors & Trust Company Limited | December | 31-Mar-18 |
| 92 | Kapital Care Trust & Securities Limited | December | 31-Mar-18 |
| 93 | Kedari Capital Limited | December | 31-Mar-18 |
| 94 | Kundila Finance Services Limited | December | 31-Mar-18 |
| 95 | Lambeth Trust & Investment Company Limited | December | 31-Mar-18 |
| 96 | Lead Securities & Investment Limited | December | 31-Mar-18 |
| 97 | Lighthouse Asset Management Limited | December | 31-Mar-18 |
| 98 | Longterm Global Capital Limited | December | 31-Mar-18 |
| 99 | Magnartis Finance & Investment Limited | December | 31-Mar-18 |
| 100 | Marimpex Finance & Investment Company Limited | December | 31-Mar-18 |
| 101 | Marriot Securities & Investment Co. Limited | December | 31-Mar-18 |
| 102 | MBC Securities Limited | December | 31-Mar-18 |
| 103 | MBL Financial Services Limited | December | 31-Mar-18 |
| 104 | Mega Equities Limited | December | 31-Mar-18 |
| 105 | Meristem Stockbrokers Limited | December | 31-Mar-18 |
| 106 | Mission Securities Limited | December | 31-Mar-18 |
| 107 | Molten Trust Limited | December | 31-Mar-18 |
| 108 | Morgan Capital Securities Limited | December | 31-Mar-18 |
| 109 | Mountain Investment & Securities Limited | December | 31-Mar-18 |
| 110 | Network Capital Limited | December | 31-Mar-18 |
| 111 | Network Securities & Finance Limited | December | 31-Mar-18 |
| 112 | Newdevco Investments & Securities Limited | December | 31-Mar-18 |
| 113 | Nigerian International Securities Ltd | December | 31-Mar-18 |
| 114 | Nigerian Stockbrokers Limited | December | 31-Mar-18 |
| 115 | Peace Capital Markets Ltd | December | 31-Mar-18 |
| 116 | Pilot Securities Limited | December | 31-Mar-18 |
| 117 | Pinefields Investment Services Limited | December | 31-Mar-18 |
| 118 | Pivot Capital Limited | December | 31-Mar-18 |
| 119 | Planet Capital Limited | December | 31-Mar-18 |
| 120 | Portfolio Advisers Limited | December | 31-Mar-18 |
| 121 | Primera Africa Securities Limited | December | 31-Mar-18 |
| 122 | Primewealth Capital Limited | December | 31-Mar-18 |
| 123 | Prominent Securities Limited | December | 31-Mar-18 |
| 124 | PSI Securities Limited | December | 31-Mar-18 |
| 125 | Pyramid Securities Limited | December | 31-Mar-18 |
| 126 | Qualinvest Capital Limited | December | 31-Mar-18 |
| 127 | Rainbow Securities & Investment Company Limited | December | 31-Mar-18 |
| 128 | Readings Investment Limited | December | 31-Mar-18 |
| 129 | Regency Asset Management Limited | December | 31-Mar-18 |
| 130 | Rencap Securities (Nig) Limited | December | 31-Mar-18 |

| | | | |
|-----|---------------------------------------------------|----------|-----------|
| 131 | Resort Securities & Trust Limited | December | 31-Mar-18 |
| 132 | Reward Investment & Service Limited | December | 31-Mar-18 |
| 133 | RMB Nigeria Stockbrokers Limited | December | 31-Mar-18 |
| 134 | Rostrum Investment & Sec Limited | December | 31-Mar-18 |
| 135 | Royal Guaranty & Trust Limited | December | 31-Mar-18 |
| 136 | Royal Trust Securities Limited | December | 31-Mar-18 |
| 137 | Santrust Securities Limited | December | 31-Mar-18 |
| 138 | Securities Africa Financial Limited | December | 31-Mar-18 |
| 139 | Securities and Capital Management Company Limited | December | 31-Mar-18 |
| 140 | Security Swaps Limited | December | 31-Mar-18 |
| 141 | SFC Securities Limited | December | 31-Mar-18 |
| 142 | Shalom Investment and Financial Services Limited | December | 31-Mar-18 |
| 143 | Shalom Investment and Financial Services Limited | December | 31-Mar-18 |
| 144 | Signet Investment & Securities Limited | December | 31-Mar-18 |
| 145 | Smadac Securities Limited | December | 31-Mar-18 |
| 146 | Solid Rock Securities & Investment Plc | December | 31-Mar-18 |
| 147 | Springboard Trust & Investment Limited | December | 31-Mar-18 |
| 148 | Stanbic IBTC Stockbrokers Limited | December | 31-Mar-18 |
| 149 | Standard Alliance Capital Asset Mgt Limited | December | 31-Mar-18 |
| 150 | Standard Union Securities Limited | December | 31-Mar-18 |
| 151 | TFS Securities & Investment Company Limited | December | 31-Mar-18 |
| 152 | Tiddo Securities Limited | December | 31-Mar-18 |
| 153 | Topmost Securities Limited | December | 31-Mar-18 |
| 154 | Tower Securities & Investment Company Limited | December | 31-Mar-18 |
| 155 | Trade Link Securities Limited | December | 31-Mar-18 |
| 156 | Traders Trust & Investment Co. Limited | December | 31-Mar-18 |
| 157 | Transworld Investment Limited | December | 31-Mar-18 |
| 158 | Trust Yield Securities Limited | December | 31-Mar-18 |
| 159 | TrustBanc Capital Management Limited | December | 31-Mar-18 |
| 160 | Trusthouse Investment Limited | December | 31-Mar-18 |
| 161 | TRW Stockbrokers Limited | December | 31-Mar-18 |
| 162 | Tyndale Securities Limited | December | 31-Mar-18 |
| 163 | United Capital Securities Limited | December | 31-Mar-18 |
| 164 | Valmon Securities Limited | December | 31-Mar-18 |
| 165 | Valueline Securities & Investment Limited | December | 31-Mar-18 |
| 166 | Vetiva Securities Limited | December | 31-Mar-18 |
| 167 | WCM Capital Limited | December | 31-Mar-18 |
| 168 | WSTC Securities Limited | December | 31-Mar-18 |
| 169 | Zenith Securities Limited | December | 31-Mar-18 |
| 170 | Zion Stockbrokers & Securities Limited | December | 31-Mar-18 |

| INACTIVE AND SUBMITTED | | | |
|-------------------------------|----------------------------------------|-----------------|-----------------|
| S/N | FIRMS | Year End | Due date |
| 1 | Clearview Investments Company Limited | December | 31-Mar-18 |
| 2 | Kofana Securities & Investment Limited | December | 31-Mar-18 |
| 3 | UIDC Securities Limited | December | 31-Mar-18 |
| 4 | Nova Finance & Securities Limited | December | 31-Mar-18 |

| ACTIVE AND NOT SUBMITTED | | | |
|---------------------------------|--------------------------------------|-----------------|-----------------|
| S/N | FIRM | Year End | Due Date |
| 1 | Adonai Stockbrokers Limited | December | 31-Mar-18 |
| 2 | Abyn Investment Limited | December | 31-Mar-18 |
| 3 | Atlass Portfolio Limited | December | 31-Mar-18 |
| 4 | Falcon Securities Limited | December | 31-Mar-18 |
| 5 | Kinley Securities Limited | December | 31-Mar-18 |
| 6 | Mainstreet Bank Securities Limited | December | 31-Mar-18 |
| 7 | PAC Securities Limited | December | 31-Mar-18 |
| 8 | PIPC Securities Limited | December | 31-Mar-18 |
| 9 | Rowet Capital Management Limited | December | 31-Mar-18 |
| 10 | Royal Crest Finance Limited | December | 31-Mar-18 |
| 11 | Sankore Securities Limited | December | 31-Mar-18 |
| 12 | Shelong Investments Limited | December | 31-Mar-18 |
| 13 | Skyview Capital Limited | December | 31-Mar-18 |
| 14 | The Bridge Securities Limited | December | 31-Mar-18 |
| 15 | Unex Capital Limited | December | 31-Mar-18 |
| 16 | Union Capital Markets Limited | December | 31-Mar-18 |
| 17 | Maxifund Investment & Securities Plc | December | 31-Mar-18 |
| 18 | Midas Stockbrokers Limited | December | 31-Mar-18 |
| 19 | Mayfield Investment Limited | December | 31-Mar-18 |
| 20 | Milestone Capital Management Limited | December | 31-Mar-18 |
| 21 | Spring Trust & Securities Limited | December | 31-Mar-18 |
| 22 | Tomil Trust Limited | December | 31-Mar-18 |

| NOT REQUIRED TO SUBMIT DUE TO INACTIVATED LICENSE | | | |
|----------------------------------------------------------|---------------------------------------------------------|-----------------|-----------------|
| S/N | FIRM | Year End | Due Date |
| 1 | Nonsuch Securities Limited formerly Wema Asset Manageme | December | 15-May-18 |
| | | | |

| INACTIVE AND NOT SUBMITTED | | | |
|-----------------------------------|-------------------------------|-----------------|-----------------|
| S/N | FIRM | Year End | Due Date |
| 1 | Adamawa Securities Limited | December | 31-Mar-18 |
| 2 | Aims Asset Management Limited | December | 31-Mar-18 |
| 3 | Cadington Securities Limited | December | 31-Mar-18 |

| | | | |
|-----------|-------------------------------------------------|----------|-----------|
| 4 | CEB Securities Limited | December | 31-Mar-18 |
| 5 | ECL Asset Management Limited | December | 31-Mar-18 |
| 6 | Finbank Securities & Assets Management Limited | December | 31-Mar-18 |
| 7 | Gem Assets Management Limited | December | 31-Mar-18 |
| 8 | GMT Securities & Asset Mangement Limited | December | 31-Mar-18 |
| 9 | Gombe Securities Limited | December | 31-Mar-18 |
| 10 | Horizon Stockbrokers Limited | December | 31-Mar-18 |
| 11 | International Standard Securities Limited | December | 31-Mar-18 |
| 12 | Investment Shark & Asset Mgt Ltd | December | 31-Mar-18 |
| 13 | ITIS Securities Limited | December | 31-Mar-18 |
| 14 | Kakawa Asset Management Limited | December | 31-Mar-18 |
| 15 | Lion Stockbrokers Limited | December | 31-Mar-18 |
| 16 | LMB Stockbrokers Limited | December | 31-Mar-18 |
| 17 | Mact Securities Limited | December | 31-Mar-18 |
| 18 | Maven Asset Management Limited | December | 31-Mar-18 |
| 19 | Mercov Securities Limited | December | 31-Mar-18 |
| 20 | Midpoint Capital Limited | December | 31-Mar-18 |
| 21 | ML Securities Limited | December | 31-Mar-18 |
| 22 | Monument Sec & Finance Limited | December | 31-Mar-18 |
| 23 | Mutual Alliance Investment & Securities Limited | December | 31-Mar-18 |
| 24 | Profund Securities Limited | December | 31-Mar-18 |
| 25 | Quantum Securities Limited | December | 31-Mar-18 |
| 26 | Resano Securities Limited | December | 31-Mar-18 |
| 27 | Supra Commercial Trust Company Limited | December | 31-Mar-18 |
| 28 | Transafrika Financial Services Limited | December | 31-Mar-18 |

Audited Accounts

DEALING MEMBERS AND THEIR RENDITION STATUS FOR THE YEAR ENDED 31 DECEMBER 2018

| S/N | FIRMS | Year End | Due date |
|-----|----------------------------------------------|----------|----------|
| 1 | Afrinvest Securities Limited | December | 1-Apr-19 |
| 2 | Anchoria Investment & Securities Limited | December | 1-Apr-19 |
| 3 | Apel Asset Limited | December | 1-Apr-19 |
| 4 | Apt Securities & Funds Limited | December | 1-Apr-19 |
| 5 | ARM Securities Limited | December | 1-Apr-19 |
| 6 | Arthur Stevens Asset Management Limited | December | 1-Apr-19 |
| 7 | Associated Asset Managers Limited | December | 1-Apr-19 |
| 8 | Atlass Portfolio Limited | December | 1-Apr-19 |
| 9 | Barclays Stockbrokers Nigeria Limited | December | 1-Apr-19 |
| 10 | Bauchi Investment Corp. Sec Limited | December | 1-Apr-19 |
| 11 | Belfry Investment & Securities Limited | December | 1-Apr-19 |
| 12 | Bestworth Assets & Trust Limited | December | 1-Apr-19 |
| 13 | Calyx Securities Limited | December | 1-Apr-19 |
| 14 | Camry Securities Limited | December | 1-Apr-19 |
| 15 | Capital Asset Limited | December | 1-Apr-19 |
| 16 | Capital Bancorp Plc | December | 1-Apr-19 |
| 17 | Capital Express Securities Limited | December | 1-Apr-19 |
| 18 | Capital Trust Brokers Limited | December | 1-Apr-19 |
| 19 | Cardinal Stone Securities Ltd | December | 1-Apr-19 |
| 20 | Cashcraft Securities Limited | December | 1-Apr-19 |
| 21 | Cashville Investment & Securities Limited | December | 1-Apr-19 |
| 22 | CDL Capital Markets Limited | December | 1-Apr-19 |
| 23 | Centre Point Investment Limited | December | 1-Apr-19 |
| 24 | Century Securities Limited | December | 1-Apr-19 |
| 25 | Chapel Hill Denham Securities Limited | December | 1-Apr-19 |
| 26 | Chartwell Securities Limited | December | 1-Apr-19 |
| 27 | Citi Investment Capital Limited | December | 1-Apr-19 |
| 28 | City Code Trust & Investment Company Limited | December | 1-Apr-19 |
| 29 | Compass Investment & Securities Limited | December | 1-Apr-19 |
| 30 | Cordros Securities Limited | December | 1-Apr-19 |
| 31 | Core Securities Limited | December | 1-Apr-19 |
| 32 | Coronation Securities Limited | December | 1-Apr-19 |
| 33 | Cowry Securities Limited | December | 1-Apr-19 |
| 34 | Crane Securities Limited | December | 1-Apr-19 |
| 35 | Crossworld Securities Limited | December | 1-Apr-19 |
| 36 | Crown Capital Limited | December | 1-Apr-19 |
| 37 | CSL Stockbrokers Limited | December | 1-Apr-19 |

| | | | |
|----|-----------------------------------------------|----------|----------|
| 38 | Deep Trust Investment Limited | December | 1-Apr-19 |
| 39 | Delords Securities Limited | December | 1-Apr-19 |
| 40 | Dominion Trust Limited | December | 1-Apr-19 |
| 41 | DSU Brokerage Services Limited | December | 1-Apr-19 |
| 42 | Dunbell Securities Limited | December | 1-Apr-19 |
| 43 | Dunn Loren Merrifield Securities Limited | December | 1-Apr-19 |
| 44 | Dynamic Portfolio Limited | December | 1-Apr-19 |
| 45 | EDC Securities Limited | December | 1-Apr-19 |
| 46 | Edgefield Capital Management Limited | December | 1-Apr-19 |
| 47 | EFCP Limited | December | 1-Apr-19 |
| 48 | EFG Hermes Nigeria Limited | December | 1-Apr-19 |
| 49 | El-Elyon Alliance and Securities Ltd | December | 1-Apr-19 |
| 50 | Elixir Securities Limited | December | 1-Apr-19 |
| 51 | Enterprise Stockbrokers Limited | December | 1-Apr-19 |
| 52 | Equity Capital Solutions Limited | December | 1-Apr-19 |
| 53 | Eurocomm Securities Limited | December | 1-Apr-19 |
| 54 | Express Portfolio Services Limited | December | 1-Apr-19 |
| 55 | Falcon Securities Limited | December | 1-Apr-19 |
| 56 | FBC Trust & Securities Limited | December | 1-Apr-19 |
| 57 | FBNQuest Securities Limited | December | 1-Apr-19 |
| 58 | FCSL Asset Management Company Limited | December | 1-Apr-19 |
| 59 | Fidelity Finance Company Limited | December | 1-Apr-19 |
| 60 | Financial & Analytics Capital Limited | December | 1-Apr-19 |
| 61 | Financial Trust Company Limited | December | 1-Apr-19 |
| 62 | Finmal Finance Services Limited | December | 1-Apr-19 |
| 63 | First Integrated Capital Management Limited | December | 1-Apr-19 |
| 64 | First Stockbrokers Limited | December | 1-Apr-19 |
| 65 | FIS Securities Limited | December | 1-Apr-19 |
| 66 | Foresight Securities & Investment Limited | December | 1-Apr-19 |
| 67 | Forte Financial Limited | December | 1-Apr-19 |
| 68 | Forthright Securities & Investments Limited | December | 1-Apr-19 |
| 69 | Fortress Capital Limited | December | 1-Apr-19 |
| 70 | FSDH Securities Limited | December | 1-Apr-19 |
| 71 | FSL Securities Limited | December | 1-Apr-19 |
| 72 | Funds Matrix & Assets Mgt Limited | December | 1-Apr-19 |
| 73 | Fundvine Capital & Securities Limited | December | 1-Apr-19 |
| 74 | Futureview Securities Limited | December | 1-Apr-19 |
| 75 | Gidauniya Investment & Securities Limited | December | 1-Apr-19 |
| 76 | Global Asset Management (Nig) Limited | December | 1-Apr-19 |
| 77 | GlobalView Capital Limited | December | 1-Apr-19 |
| 78 | Golden Securities Limited | December | 1-Apr-19 |
| 79 | Greenwich Securities Limited | December | 1-Apr-19 |
| 80 | Growth & Development Asset Management Limited | December | 1-Apr-19 |
| 81 | Gruene Capital Limited | December | 1-Apr-19 |
| 82 | GTI Securities Limited | December | 1-Apr-19 |
| 83 | Harmony Securities Limited | December | 1-Apr-19 |
| 84 | Heartbeat Investment Limited | December | 1-Apr-19 |

| | | | |
|-----|------------------------------------------------------------|----------|----------|
| 85 | Hedge Securities & Investment Limited | December | 1-Apr-19 |
| 86 | Helix Securities Limited | December | 1-Apr-19 |
| 87 | Heritage Capital Markets Limited | December | 1-Apr-19 |
| 88 | ICMG Securities Limited | December | 1-Apr-19 |
| 89 | Icon Stockbrokers Limited | December | 1-Apr-19 |
| 90 | Imperial Asset Managers Limited | December | 1-Apr-19 |
| 91 | Integrated Trust & Investment Limited | December | 1-Apr-19 |
| 92 | Interstate Securities Limited | December | 1-Apr-19 |
| 93 | Investment One Stockbrokers International Limited | December | 1-Apr-19 |
| 94 | Investors & Trust Company Limited | December | 1-Apr-19 |
| 95 | Kapital Care Trust & Securities Limited | December | 1-Apr-19 |
| 96 | Kedari Capital Limited | December | 1-Apr-19 |
| 97 | Kinley Securities Limited | December | 1-Apr-19 |
| 98 | Kofana Securities & Investment Limited | December | 1-Apr-19 |
| 99 | Kundila Finance Services Limited | December | 1-Apr-19 |
| 100 | Lambeth Trust & Investment Company Limited | December | 1-Apr-19 |
| 101 | Lead Securities & Investment Limited | December | 1-Apr-19 |
| 102 | Lighthouse Asset Management Limited | December | 1-Apr-19 |
| 103 | Magnartis Finance & Investment Limited | December | 1-Apr-19 |
| 104 | Mainstreet Bank Securities Limited | December | 1-Apr-19 |
| 105 | Marimpex Finance & Investment Company Limited | December | 1-Apr-19 |
| 106 | Maxifund Investment & Securities Plc | December | 1-Apr-19 |
| 107 | Mayfield Investment Limited | December | 1-Apr-19 |
| 108 | MBC Securities Limited | December | 1-Apr-19 |
| 109 | MBL Financial Services Limited | December | 1-Apr-19 |
| 110 | Mega Equities Limited | December | 1-Apr-19 |
| 111 | Meristem Stockbrokers Limited | December | 1-Apr-19 |
| 112 | Midas Stockbrokers Limited | December | 1-Apr-19 |
| 113 | Milestone Capital Management Limited | December | 1-Apr-19 |
| 114 | Mission Securities Limited | December | 1-Apr-19 |
| 115 | Molten Trust Limited | December | 1-Apr-19 |
| 116 | Morgan Capital Securities Limited | December | 1-Apr-19 |
| 117 | Mountain Investment & Securities Limited | December | 1-Apr-19 |
| 118 | Network Capital Limited | December | 1-Apr-19 |
| 119 | Network Securities & Finance Limited | December | 1-Apr-19 |
| 120 | Newdevco Investments & Securities Limited | December | 1-Apr-19 |
| 121 | Nigerian International Securities Ltd | December | 1-Apr-19 |
| 122 | Nigerian Stockbrokers Limited | December | 1-Apr-19 |
| 123 | Nova Finance & Securities Limited | December | 1-Apr-19 |
| 124 | Osborne Capital Markets Limited (Formerly Longterm Global) | December | 1-Apr-19 |
| 125 | PAC Securities Limited | December | 1-Apr-19 |
| 126 | Peace Capital Markets Ltd | December | 1-Apr-19 |
| 127 | Pilot Securities Limited | December | 1-Apr-19 |
| 128 | Pinefields Investment Services Limited | December | 1-Apr-19 |
| 129 | PIPC Securities Limited | December | 1-Apr-19 |
| 130 | Pivot Capital Limited | December | 1-Apr-19 |
| 131 | Planet Capital Limited | December | 1-Apr-19 |

| | | | |
|-----|---------------------------------------------------|----------|----------|
| 132 | Portfolio Advisers Limited | December | 1-Apr-19 |
| 133 | Premium Capital and Stockbrokers Limited | December | 1-Apr-19 |
| 134 | Primewealth Capital Limited | December | 1-Apr-19 |
| 135 | Prominent Securities Limited | December | 1-Apr-19 |
| 136 | PSI Securities Limited | December | 1-Apr-19 |
| 137 | Pyramid Securities Limited | December | 1-Apr-19 |
| 138 | Qualinvest Capital Limited | December | 1-Apr-19 |
| 139 | Quantum Zenith Securities & Investments Limited | December | 1-Apr-19 |
| 140 | Rainbow Securities & Investment Company Limited | December | 1-Apr-19 |
| 141 | Readings Investment Limited | December | 1-Apr-19 |
| 142 | Regency Asset Management Limited | December | 1-Apr-19 |
| 143 | Shalom Investment and Financial Services Limited | December | 1-Apr-19 |
| 144 | Resort Securities & Trust Limited | December | 1-Apr-19 |
| 145 | Reward Investment & Service Limited | December | 1-Apr-19 |
| 146 | RMB Nigeria Stockbrokers Limited | December | 1-Apr-19 |
| 147 | Rostrum Investment & Sec Limited | December | 1-Apr-19 |
| 148 | Rowet Capital Management Limited | December | 1-Apr-19 |
| 149 | Royal Crest Finance Limited | December | 1-Apr-19 |
| 150 | Royal Guaranty & Trust Limited | December | 1-Apr-19 |
| 151 | Royal Trust Securities Limited | December | 1-Apr-19 |
| 152 | Sankore Securities Limited | December | 1-Apr-19 |
| 153 | Santrust Securities Limited | December | 1-Apr-19 |
| 154 | Securities Africa Financial Limited | December | 1-Apr-19 |
| 155 | Securities and Capital Management Company Limited | December | 1-Apr-19 |
| 156 | Security Swaps Limited | December | 1-Apr-19 |
| 157 | Shalom Investment and Financial Services Limited | December | 1-Apr-19 |
| 158 | Shelong Investments Limited | December | 1-Apr-19 |
| 159 | Sigma Securities Limited | December | 1-Apr-19 |
| 160 | Signet Investment & Securities Limited | December | 1-Apr-19 |
| 161 | Skyview Capital Limited | December | 1-Apr-19 |
| 162 | Smadac Securities Limited | December | 1-Apr-19 |
| 163 | Solid Rock Securities & Investment Plc | December | 1-Apr-19 |
| 164 | Spring Trust & Securities Limited | December | 1-Apr-19 |
| 165 | Springboard Trust & Investment Limited | December | 1-Apr-19 |
| 166 | Stanbic IBTC Stockbrokers Limited | December | 1-Apr-19 |
| 167 | Standard Union Securities Limited | December | 1-Apr-19 |
| 168 | TFS Securities & Investment Company Limited | December | 1-Apr-19 |
| 169 | The Bridge Securities Limited | December | 1-Apr-19 |
| 170 | Tiddo Securities Limited | December | 1-Apr-19 |
| 171 | Tomil Trust Limited | December | 1-Apr-19 |
| 172 | Topmost Securities Limited | December | 1-Apr-19 |
| 173 | Tower Securities & Investment Company Limited | December | 1-Apr-19 |
| 174 | Trade Link Securities Limited | December | 1-Apr-19 |
| 175 | Traders Trust & Investment Co. Limited | December | 1-Apr-19 |
| 176 | Transworld Investment Limited | December | 1-Apr-19 |
| 177 | Trust Yield Securities Limited | December | 1-Apr-19 |
| 178 | TrustBanc Capital Management Limited | December | 1-Apr-19 |

| | | | |
|------------|-------------------------------------------|----------|----------|
| 179 | Trusthouse Investment Limited | December | 1-Apr-19 |
| 180 | TRW Stockbrokers Limited | December | 1-Apr-19 |
| 181 | Tyndale Securities Limited | December | 1-Apr-19 |
| 182 | UIDC Securities Limited | December | 1-Apr-19 |
| 183 | Unex Capital Limited | December | 1-Apr-19 |
| 184 | Union Capital Markets Limited | December | 1-Apr-19 |
| 185 | United Capital Securities Limited | December | 1-Apr-19 |
| 186 | Valmon Securities Limited | December | 1-Apr-19 |
| 187 | Valueline Securities & Investment Limited | December | 1-Apr-19 |
| 188 | Vetiva Securities Limited | December | 1-Apr-19 |
| 189 | WCM Capital Limited | December | 1-Apr-19 |
| 190 | WSTC Securities Limited | December | 1-Apr-19 |
| 191 | Zion Stockbrokers & Securities Limited | December | 1-Apr-19 |

| INACTIVE AND SUBMITTED | | | |
|---------------------------------|---------------------------------------|-----------------|-----------------|
| S/N | FIRMS | Year End | Due date |
| 1 | Gem Assets Management Limited | December | 1-Apr-19 |
| 2 | Clearview Investments Company Limited | December | 1-Apr-19 |
| ACTIVE AND NOT SUBMITTED | | | |
| S/N | FIRM | Year End | Due Date |
| | | | |

NOT REQUIRED TO SUBMIT DUE TO NEWLY-ACTIVATED LICENSE

| S/N | FIRM | Year End | Due Date |
|------------|-------------|-----------------|-----------------|
| | | | |

INACTIVE AND NOT SUBMITTED

| S/N | FIRM | Year End | Due Date |
|------------|-------------------------------------------------|-----------------|-----------------|
| 1 | Adamawa Securities Limited | December | 1-Apr-19 |
| 2 | Adonai Stockbrokers Limited | December | 1-Apr-19 |
| 3 | Aims Asset Management Limited | December | 1-Apr-19 |
| 4 | Abyn Investment Limited | December | 1-Apr-19 |
| 5 | Cadington Securities Limited | December | 1-Apr-19 |
| 6 | CEB Securities Limited | December | 1-Apr-19 |
| 7 | CLG Stockbrokers Limited | December | 1-Apr-19 |
| 8 | ECL Asset Management Limited | December | 1-Apr-19 |
| 9 | Finbank Securities & Assets Management Limited | December | 1-Apr-19 |
| 10 | GMT Securities & Asset Mangement Limited | December | 1-Apr-19 |
| 11 | Gombe Securities Limited | December | 1-Apr-19 |
| 12 | Horizon Stockbrokers Limited | December | 1-Apr-19 |
| 13 | International Standard Securities Limited | December | 1-Apr-19 |
| 14 | Investment Shark & Asset Mgt Ltd | December | 1-Apr-19 |
| 15 | ITIS Securities Limited | December | 1-Apr-19 |
| 16 | Kakawa Asset Management Limited | December | 1-Apr-19 |
| 17 | Lion Stockbrokers Limited | December | 1-Apr-19 |
| 18 | LMB Stockbrokers Limited | December | 1-Apr-19 |
| 19 | Mact Securities Limited | December | 1-Apr-19 |
| 20 | Maven Asset Management Limited | December | 1-Apr-19 |
| 21 | Midpoint Capital Limited | December | 1-Apr-19 |
| 22 | ML Securities Limited | December | 1-Apr-19 |
| 23 | Monument Sec & Finance Limited | December | 1-Apr-19 |
| 24 | Mutual Alliance Investment & Securities Limited | December | 1-Apr-19 |
| 25 | Profund Securities Limited | December | 1-Apr-19 |
| 26 | Quantum Securities Limited | December | 1-Apr-19 |
| 27 | Standard Alliance Capital Asset Mgt Limited | December | 1-Apr-19 |
| 28 | Supra Commercial Trust Company Limited | December | 1-Apr-19 |

Audited Accounts

DEALING MEMBERS AND THEIR RENDITION STATUS FOR THE YEAR ENDED 31 DECEMBER 2019

| S/N | FIRMS | Year End | Due date |
|-----|---------------------------------------------|----------|-----------|
| 1 | Absa Securities Nigeria Limited | December | 29-May-20 |
| 2 | Afrinvest Securities Limited | December | 29-May-20 |
| 3 | Anchoria Investment and Securities Limited | December | 29-May-20 |
| 4 | Apel Asset Limited | December | 29-May-20 |
| 5 | Apt Securities and Funds Limited | December | 29-May-20 |
| 6 | ARM Securities Limited | December | 29-May-20 |
| 7 | Arthur Stevens Asset Management Limited | December | 29-May-20 |
| 8 | Associated Asset Managers Limited | December | 29-May-20 |
| 9 | Atlass Portfolio Limited | December | 29-May-20 |
| 10 | AVA Securities Limited | December | 29-May-20 |
| 11 | Belfry Investment and Securities Limited | December | 29-May-20 |
| 12 | Bestworth Assets and Trust Limited | December | 29-May-20 |
| 13 | Calyx Securities Limited | December | 29-May-20 |
| 14 | Camry Securities Limited | December | 29-May-20 |
| 15 | Capital Asset Limited | December | 29-May-20 |
| 16 | Capital Bancorp Plc | December | 29-May-20 |
| 17 | Capital Express Securities Limited | December | 29-May-20 |
| 18 | Capital Trust Brokers Limited | December | 29-May-20 |
| 19 | Cardinal Stone Securities Ltd | December | 29-May-20 |
| 20 | Cashcraft Securities Limited | December | 29-May-20 |
| 21 | Cashville Investment and Securities Limited | December | 29-May-20 |
| 22 | CDL Capital Markets Limited | December | 29-May-20 |
| 23 | Century Securities Limited | December | 29-May-20 |
| 24 | Chapel Hill Denham Securities Limited | December | 29-May-20 |
| 25 | Chartwell Securities Limited | December | 29-May-20 |
| 26 | Citi Investment Capital Limited | December | 29-May-20 |
| 27 | Compass Investment and Securities Limited | December | 29-May-20 |
| 28 | Cordros Securities Limited | December | 29-May-20 |
| 29 | Core Securities Limited | December | 29-May-20 |
| 30 | Coronation Securities Limited | December | 29-May-20 |
| 31 | Cowry Securities Limited | December | 29-May-20 |
| 32 | Crossworld Securities Limited | December | 29-May-20 |
| 33 | Crown Capital Limited | December | 29-May-20 |
| 34 | CSL Stockbrokers Limited | December | 29-May-20 |
| 35 | Deep Trust Investment Limited | December | 29-May-20 |
| 36 | Delords Securities Limited | December | 29-May-20 |
| 37 | Dominion Trust Limited | December | 29-May-20 |
| 38 | DSU Brokerage Services Limited | December | 29-May-20 |

| | | | |
|----|---------------------------------------------------|----------|-----------|
| 39 | Dunbell Securities Limited | December | 29-May-20 |
| 40 | Dunn Loren Merrifield Securities Limited | December | 29-May-20 |
| 41 | Dynamic Portfolio Limited | December | 29-May-20 |
| 42 | EDC Securities Limited | December | 29-May-20 |
| 43 | Edgefield Capital Management Limited | December | 29-May-20 |
| 44 | EFG Hermes Nigeria Limited | December | 29-May-20 |
| 45 | El-Elyon Alliance and Securities Ltd | December | 29-May-20 |
| 46 | Elixir Securities Limited | December | 29-May-20 |
| 47 | Equity Capital Solutions Limited | December | 29-May-20 |
| 48 | Eurocomm Securities Limited | December | 29-May-20 |
| 49 | Express Portfolio Services Limited | December | 29-May-20 |
| 50 | Falcon Securities Limited | December | 29-May-20 |
| 51 | FBC Trust and Securities Limited | December | 29-May-20 |
| 52 | FBNQuest Securities Limited | December | 29-May-20 |
| 53 | FCSL Asset Management Company Limited | December | 29-May-20 |
| 54 | Fidelity Finance Company Limited | December | 29-May-20 |
| 55 | Financial Trust Company Limited | December | 29-May-20 |
| 56 | Finmal Finance Services Limited | December | 29-May-20 |
| 57 | First Integrated Capital Management Limited | December | 29-May-20 |
| 58 | FIS Securities Limited | December | 29-May-20 |
| 59 | Foresight Securities and Investment Limited | December | 29-May-20 |
| 60 | Forte Financial Limited | December | 29-May-20 |
| 61 | Forthright Securities and Investments Limited | December | 29-May-20 |
| 62 | Fortress Capital Limited | December | 29-May-20 |
| 63 | FSDH Securities Limited | December | 29-May-20 |
| 64 | FSL Securities Limited | December | 29-May-20 |
| 65 | Funds Matrix and Assets Mgt Limited | December | 29-May-20 |
| 66 | Fundvine Capital and Securities Limited | December | 29-May-20 |
| 67 | Futureview Securities Limited | December | 29-May-20 |
| 68 | Gem Assets Management Limited | December | 29-May-20 |
| 69 | Gidauniya Investment and Securities Limited | December | 29-May-20 |
| 70 | Global Asset Management (Nig) Limited | December | 29-May-20 |
| 71 | GlobalView Capital Limited | December | 29-May-20 |
| 72 | Golden Securities Limited | December | 29-May-20 |
| 73 | Greenwich Securities Limited | December | 29-May-20 |
| 74 | Growth & Development Asset Management Limited | December | 29-May-20 |
| 75 | Gruene Capital Limited | December | 29-May-20 |
| 76 | GTI Securities Limited | December | 29-May-20 |
| 77 | Harmony Securities Limited | December | 29-May-20 |
| 78 | Heartbeat Investment Limited | December | 29-May-20 |
| 79 | Hedge Securities and Investment Limited | December | 29-May-20 |
| 80 | Heritage Capital Markets Limited | December | 29-May-20 |
| 81 | ICMG securities Limited | December | 29-May-20 |
| 82 | Icon Stockbrokers Limited | December | 29-May-20 |
| 83 | Imperial Asset Managers Limited | December | 29-May-20 |
| 84 | Interstate Securities Limited | December | 29-May-20 |
| 85 | Investment One Stockbrokers International Limited | December | 29-May-20 |

| | | | |
|-----|---------------------------------------------------|----------|-----------|
| 86 | Investors and Trust Company Limited | December | 29-May-20 |
| 87 | Kapital Care Trust and Securities Limited | December | 29-May-20 |
| 88 | Kedari Capital Limited | December | 29-May-20 |
| 89 | Kinley Securities Limited | December | 29-May-20 |
| 90 | Kofana Securities and Investment Limited | December | 29-May-20 |
| 91 | Lambeth Capital Limited | December | 29-May-20 |
| 92 | Lead Securities and Investment Limited | December | 29-May-20 |
| 93 | Lighthouse Asset Management Limited | December | 29-May-20 |
| 94 | Magnartis Finance and Investment Limited | December | 29-May-20 |
| 95 | Mainstreet Bank Securities Limited | December | 29-May-20 |
| 96 | Maxifund Investment and Securities Plc | December | 29-May-20 |
| 97 | MBC Securities Limited | December | 29-May-20 |
| 98 | Mega Equities Limited | December | 29-May-20 |
| 99 | Meristem Stockbrokers Limited | December | 29-May-20 |
| 100 | Mission Securities Limited | December | 29-May-20 |
| 101 | Molten Trust Limited | December | 29-May-20 |
| 102 | Morgan Capital Securities Limited | December | 29-May-20 |
| 103 | Mountain Investment and Securities Limited | December | 29-May-20 |
| 104 | Network Capital Limited | December | 29-May-20 |
| 105 | Networth Securities and Finance Limited | December | 29-May-20 |
| 106 | Newdevco Investments and Securities Limited | December | 29-May-20 |
| 107 | Nigerian International Securities Ltd | December | 29-May-20 |
| 108 | Nigerian Stockbrokers Limited | December | 29-May-20 |
| 109 | Nova Finance and Securities Limited | December | 29-May-20 |
| 110 | Osborne Capital Markets Limited | December | 29-May-20 |
| 111 | PAC Securities Limited | December | 29-May-20 |
| 112 | Peace Capital Markets Ltd | December | 29-May-20 |
| 113 | Pilot Securities Limited | December | 29-May-20 |
| 114 | Pinefields Investment Services Limited | December | 29-May-20 |
| 115 | PIPC Securities Limited | December | 29-May-20 |
| 116 | Pivot Capital Limited | December | 29-May-20 |
| 117 | Planet Capital Limited | December | 29-May-20 |
| 118 | Portfolio Advisers Limited | December | 29-May-20 |
| 119 | Premium Capital and Stockbrokers Limited | December | 29-May-20 |
| 120 | Primewealth Capital Limited | December | 29-May-20 |
| 121 | Prominent Securities Limited | December | 29-May-20 |
| 122 | PSI Securities Limited | December | 29-May-20 |
| 123 | PSL Capital Limited | December | 29-May-20 |
| 124 | Pyramid Securities Limited | December | 29-May-20 |
| 125 | Qualinvest Capital Limited | December | 29-May-20 |
| 126 | Quantum Zenith Securities & Investments Limited | December | 29-May-20 |
| 127 | Rainbow Securities and Investment Company Limited | December | 29-May-20 |
| 128 | Readings Investment Limited | December | 29-May-20 |
| 129 | Regency Asset Management Limited | December | 29-May-20 |
| 130 | Rencap Securities (Nig) Limited | December | 29-May-20 |
| 131 | Resort Securities and Trust Limited | December | 29-May-20 |
| 132 | Reward Investment and Service Limited | December | 29-May-20 |

| | | | |
|-----|---------------------------------------------------|----------|-----------|
| 133 | RMB Nigeria Stockbrokers Limited | December | 29-May-20 |
| 134 | Rostrum Investment and Sec Limited | December | 29-May-20 |
| 135 | Rowet Capital Mgt Limited | December | 29-May-20 |
| 136 | Royal Crest Finance Limited | December | 29-May-20 |
| 137 | Royal Guaranty and Trust Limited | December | 29-May-20 |
| 138 | Sankore Securities Limited | December | 29-May-20 |
| 139 | Santrust Securities Limited | December | 29-May-20 |
| 140 | Securities Africa Financial Limited | December | 29-May-20 |
| 141 | Securities and Capital Management Company Limited | December | 29-May-20 |
| 142 | Security Swaps Limited | December | 29-May-20 |
| 143 | Shalom Investment and Financial Services Limited | December | 29-May-20 |
| 144 | Sigma Securities Limited | December | 29-May-20 |
| 145 | Signet Investment and Securities Limited | December | 29-May-20 |
| 146 | Skyview Capital Ltd | December | 29-May-20 |
| 147 | Smadac Securities Limited | December | 29-May-20 |
| 148 | Solid Rock Securities and Investment Plc | December | 29-May-20 |
| 149 | Spring Trust and Securities Limited | December | 29-May-20 |
| 150 | Springboard Trust and Investment Limited | December | 29-May-20 |
| 151 | Stanbic IBTC Stockbrokers Limited | December | 29-May-20 |
| 152 | Standard Union Securities Limited | December | 29-May-20 |
| 153 | Tellimer Capital Limited | December | 29-May-20 |
| 154 | The Bridge Securities Limited | December | 29-May-20 |
| 155 | Tiddo Securities Limited | December | 29-May-20 |
| 156 | Tomil Trust Limited | December | 29-May-20 |
| 157 | Topmost Securities Limited | December | 29-May-20 |
| 158 | Tower Securities and Investment Company Limited | December | 29-May-20 |
| 159 | Trade Link Securities Limited | December | 29-May-20 |
| 160 | Traders Trust and Investment Co. Limited | December | 29-May-20 |
| 161 | Transworld Investment Limited | December | 29-May-20 |
| 162 | Trust Yield Securities Limited | December | 29-May-20 |
| 163 | TrustBanc Capital Management Limited | December | 29-May-20 |
| 164 | Trusthouse Investment Limited | December | 29-May-20 |
| 165 | TRW Stockbrokers Limited | December | 29-May-20 |
| 166 | Tyndale Securities Limited | December | 29-May-20 |
| 167 | UIDC Securities Limited | December | 29-May-20 |
| 168 | Unex Capital Limited | December | 29-May-20 |
| 169 | Union Capital Markets Limited | December | 29-May-20 |
| 170 | United Capital Securities Limited | December | 29-May-20 |
| 171 | Valmon Securities Limited | December | 29-May-20 |
| 172 | Valueline Securities and Investment Limited | December | 29-May-20 |
| 173 | Vetiva Securities Limited | December | 29-May-20 |
| 174 | WCM Capital Limited | December | 29-May-20 |
| 175 | WSTC Securities Limited | December | 29-May-20 |
| 176 | Yuderb Investment and Securities Limited | December | 29-May-20 |
| 177 | Zion Stockbrokers and Securities Limited | December | 29-May-20 |

INACTIVE AND SUBMITTED

| S/N | FIRMS | Year End | Due date |
|-----|-------------------------------------------------|----------|-----------|
| 1 | Crane Securities Limited | December | 29-May-20 |
| 2 | Financial and Analytics Capital Limited | December | 29-May-20 |
| 3 | Kundila Finance Services Limited | December | 29-May-20 |
| 4 | Marimpex Finance and Investment Company Limited | December | 29-May-20 |
| 5 | Milestone Capital Management Limited | December | 29-May-20 |
| 6 | TFS Securities and Investment Company Limited | December | 29-May-20 |

ACTIVE AND NOT SUBMITTED

| S/N | FIRM | Year End | Due Date |
|-----|------------------------------------------------|----------|-----------|
| 1 | Bauchi Investment Corp. Sec Limited | December | 29-May-20 |
| 2 | Centre Point Investment Limited | December | 29-May-20 |
| 3 | City Code Trust and Investment Company Limited | December | 29-May-20 |
| 4 | Integrated Trust and Investment Limited | December | 29-May-20 |
| 5 | Midas Stockbrokers Limited | December | 29-May-20 |
| 6 | Shelong Investments Limited | December | 29-May-20 |

INACTIVE AND NOT SUBMITTED

| S/N | FIRM | Year End | Due Date |
|-----|--------------------------------------------|----------|-----------|
| 1 | Adamawa Securities Limited | December | 29-May-20 |
| 2 | Adonai Stockbrokers Limited | December | 29-May-20 |
| 3 | Aims Asset Management Limited | December | 29-May-20 |
| 4 | Amyr Investment Limited | December | 29-May-20 |
| 5 | Cadington Securities Limited | December | 29-May-20 |
| 6 | CEB Securities Limited | December | 29-May-20 |
| 7 | Clearview Investments Company Limited | December | 29-May-20 |
| 8 | CLG Stockbrokers Limited | December | 29-May-20 |
| 9 | ECL Asset Management Limited | December | 29-May-20 |
| 10 | Enterprise Stockbrokers Limited | December | 29-May-20 |
| 11 | First Stockbrokers Limited | December | 29-May-20 |
| 12 | GMT Securities and Asset Mangement Limited | December | 29-May-20 |
| 13 | Gombe Securities Limited | December | 29-May-20 |
| 14 | Horizon Stockbrokers Limited | December | 29-May-20 |
| 15 | International Standard Securities Limited | December | 29-May-20 |
| 16 | Investment Shark and Asset Mgt Ltd | December | 29-May-20 |
| 17 | ITIS Securities Limited | December | 29-May-20 |
| 18 | Lion Stockbrokers Limited | December | 29-May-20 |
| 19 | LMB Stockbrokers Limited | December | 29-May-20 |
| 20 | Mact Securities Limited | December | 29-May-20 |
| 21 | Maven Asset Management Limited | December | 29-May-20 |
| 22 | Mayfield Investment Limited | December | 29-May-20 |
| 23 | MBL Financial Services Limited | December | 29-May-20 |
| 24 | Midpoint Capital Limited | December | 29-May-20 |
| 25 | ML Securities Limited | December | 29-May-20 |

| | | | |
|-----------|--------------------------------------------------------|----------|-----------|
| 26 | Monument Sec and Finance Limited | December | 29-May-20 |
| 27 | Mutual Alliance Investment and Securities Limited | December | 29-May-20 |
| 28 | Profund Securities Limited | December | 29-May-20 |
| 29 | Quantum Securities Limited | December | 29-May-20 |
| 30 | Royal Trust Securities Limited | December | 29-May-20 |
| 31 | Standard Alliance Capital and Asset Management Limited | December | 29-May-20 |
| 32 | Supra Commercial Trust Company Limited | December | 29-May-20 |

Audited Accounts

TRADING LICENSE HOLDERS AND THEIR RENDITION STATUS FOR THE YEAR ENDED 31 DECEMBER 2020

| S/N | FIRMS | Year End | Due date |
|-----|------------------------------------------------|----------|-----------|
| 1 | Absa Securities Nigeria Limited | December | 31-Mar-21 |
| 2 | Afrinvest Securities Limited | December | 31-Mar-21 |
| 3 | Anchoria Investment and Securities Limited | December | 31-Mar-21 |
| 4 | Apel Asset Limited | December | 31-Mar-21 |
| 5 | Apt Securities and Funds Limited | December | 31-Mar-21 |
| 6 | ARM Securities Limited | December | 31-Mar-21 |
| 7 | Arthur Stevens Asset Management Limited | December | 31-Mar-21 |
| 8 | Associated Asset Managers Limited | December | 31-Mar-21 |
| 9 | Atlass Portfolio Limited | December | 31-Mar-21 |
| 10 | AVA Securities Limited | December | 31-Mar-21 |
| 11 | Bauchi Investment Corp. Sec Limited | December | 31-Mar-21 |
| 12 | Belfry Investment and Securities Limited | December | 31-Mar-21 |
| 13 | Bestworth Assets and Trust Limited | December | 31-Mar-21 |
| 14 | Calyx Securities Limited | December | 31-Mar-21 |
| 15 | Camry Securities Limited | December | 31-Mar-21 |
| 16 | Capital Asset Limited | December | 31-Mar-21 |
| 17 | Capital Bancorp Plc | December | 31-Mar-21 |
| 18 | Capital Express Securities Limited | December | 31-Mar-21 |
| 19 | Capital Trust Brokers Limited | December | 31-Mar-21 |
| 20 | Cardinal Stone Securities Ltd | December | 31-Mar-21 |
| 21 | Cashcraft Securities Limited | December | 31-Mar-21 |
| 22 | Cashville Investment and Securities Limited | December | 31-Mar-21 |
| 23 | CDL Capital Markets Limited | December | 31-Mar-21 |
| 24 | Centre Point Investment Limited | December | 31-Mar-21 |
| 25 | Century Securities Limited | December | 31-Mar-21 |
| 26 | Chapel Hill Denham Securities Limited | December | 31-Mar-21 |
| 27 | Chartwell Securities Limited | December | 31-Mar-21 |
| 28 | Citi Investment Capital Limited | December | 31-Mar-21 |
| 29 | City Code Trust and Investment Company Limited | December | 31-Mar-21 |
| 30 | Compass Investment and Securities Limited | December | 31-Mar-21 |
| 31 | Cordros Securities Limited | December | 31-Mar-21 |
| 32 | Core Securities Limited | December | 31-Mar-21 |
| 33 | Coronation Securities Limited | December | 31-Mar-21 |
| 34 | Cowry Securities Limited | December | 31-Mar-21 |
| 35 | Crossworld Securities Limited | December | 31-Mar-21 |
| 36 | Crown Capital Limited | December | 31-Mar-21 |
| 37 | CSL Stockbrokers Limited | December | 31-Mar-21 |
| 38 | Deep Trust Investment Limited | December | 31-Mar-21 |
| 39 | Delords Securities Limited | December | 31-Mar-21 |

| | | | |
|----|-----------------------------------------------|----------|-----------|
| 40 | DLM Securities Limited | December | 31-Mar-21 |
| 41 | Dominion Trust Limited | December | 31-Mar-21 |
| 42 | DSU Brokerage Services Limited | December | 31-Mar-21 |
| 43 | Dunbell Securities Limited | December | 31-Mar-21 |
| 44 | Dynamic Portfolio Limited | December | 31-Mar-21 |
| 45 | EDC Securities Limited | December | 31-Mar-21 |
| 46 | Edgefield Capital Management Limited | December | 31-Mar-21 |
| 47 | EFG Hermes Nigeria Limited | December | 31-Mar-21 |
| 48 | EI-Elyon Alliance and Securities Ltd | December | 31-Mar-21 |
| 49 | Elixir Securities Limited | December | 31-Mar-21 |
| 50 | Equity Capital Solutions Limited | December | 31-Mar-21 |
| 51 | Eurocomm Securities Limited | December | 31-Mar-21 |
| 52 | Express Portfolio Services Limited | December | 31-Mar-21 |
| 53 | Falcon Securities Limited | December | 31-Mar-21 |
| 54 | FBC Trust and Securities Limited | December | 31-Mar-21 |
| 55 | FBNQuest Securities Limited | December | 31-Mar-21 |
| 56 | FCSL Asset Management Company Limited | December | 31-Mar-21 |
| 57 | Fidelity Finance Company Limited | December | 31-Mar-21 |
| 58 | Financial Trust Company Nigeria Limited | December | 31-Mar-21 |
| 59 | Finmal Finance Services Limited | December | 31-Mar-21 |
| 60 | First Integrated Capital Management Limited | December | 31-Mar-21 |
| 61 | FIS Securities Limited | December | 31-Mar-21 |
| 62 | Foresight Securities and Investment Limited | December | 31-Mar-21 |
| 63 | Forte Financial Limited | December | 31-Mar-21 |
| 64 | Forthright Securities and Investments Limited | December | 31-Mar-21 |
| 65 | Fortress Capital Limited | December | 31-Mar-21 |
| 66 | FSDH Capital Limited | December | 31-Mar-21 |
| 67 | FSL Securities Limited | December | 31-Mar-21 |
| 68 | Funds Matrix and Assets Mgt Limited | December | 31-Mar-21 |
| 69 | Fundvine Capital and Securities Limited | December | 31-Mar-21 |
| 70 | Futureview Securities Limited | December | 31-Mar-21 |
| 71 | Gem Assets Management Limited | December | 31-Mar-21 |
| 72 | Gidauniya Investment and Securities Limited | December | 31-Mar-21 |
| 73 | Global Asset Management (Nig) Limited | December | 31-Mar-21 |
| 74 | GlobalView Capital Limited | December | 31-Mar-21 |
| 75 | Golden Securities Limited | December | 31-Mar-21 |
| 76 | Greenwich Securities Limited | December | 31-Mar-21 |
| 77 | Growth & Development Asset Management Limited | December | 31-Mar-21 |
| 78 | Gruene Capital Limited | December | 31-Mar-21 |
| 79 | GTI Securities Limited | December | 31-Mar-21 |
| 80 | Harmony Securities Limited | December | 31-Mar-21 |
| 81 | Heartbeat Investment Limited | December | 31-Mar-21 |
| 82 | Hedge Securities and Investment Limited | December | 31-Mar-21 |
| 83 | Heritage Capital Markets Limited | December | 31-Mar-21 |
| 84 | ICMG securities Limited | December | 31-Mar-21 |
| 85 | Icon Stockbrokers Limited | December | 31-Mar-21 |
| 86 | Imperial Asset Managers Limited | December | 31-Mar-21 |
| 87 | Integrated Trust and Investment Limited | December | 31-Mar-21 |

| | | | |
|-----|---------------------------------------------------|----------|-----------|
| 88 | Interstate Securities Limited | December | 31-Mar-21 |
| 89 | Investment One Stockbrokers International Limited | December | 31-Mar-21 |
| 90 | Investors and Trust Company Limited | December | 31-Mar-21 |
| 91 | Kapital Care Trust and Securities Limited | December | 31-Mar-21 |
| 92 | Kedari Capital Limited | December | 31-Mar-21 |
| 93 | Kinley Securities Limited | December | 31-Mar-21 |
| 94 | Kofana Securities and Investment Limited | December | 31-Mar-21 |
| 95 | Lambeth Capital Limited | December | 31-Mar-21 |
| 96 | Lead Securities and Investment Limited | December | 31-Mar-21 |
| 97 | Lighthouse Asset Management Limited | December | 31-Mar-21 |
| 98 | Magnartis Finance and Investment Limited | December | 31-Mar-21 |
| 99 | Marimpex Finance and Investment Company Limited | December | 31-Mar-21 |
| 100 | Maxifund Investment and Securities Plc | December | 31-Mar-21 |
| 101 | MBC Securities Limited | December | 31-Mar-21 |
| 102 | Mega Equities Limited | December | 31-Mar-21 |
| 103 | Meristem Stockbrokers Limited | December | 31-Mar-21 |
| 104 | Mission Securities Limited | December | 31-Mar-21 |
| 105 | Molten Trust Limited | December | 31-Mar-21 |
| 106 | Morgan Capital Securities Limited | December | 31-Mar-21 |
| 107 | Mountain Investment and Securities Limited | December | 31-Mar-21 |
| 108 | Network Capital Limited | December | 31-Mar-21 |
| 109 | Network Securities and Finance Limited | December | 31-Mar-21 |
| 110 | Newdevco Investments and Securities Limited | December | 31-Mar-21 |
| 111 | Nigerian International Securities Ltd | December | 31-Mar-21 |
| 112 | Nigerian Stockbrokers Limited | December | 31-Mar-21 |
| 113 | Nova Finance and Securities Limited | December | 31-Mar-21 |
| 114 | NOVAMBL Securities Limited | December | 31-Mar-21 |
| 115 | Osborne Capital Markets Limited | December | 31-Mar-21 |
| 116 | PAC Securities Limited | December | 31-Mar-21 |
| 117 | Peace Capital Markets Ltd | December | 31-Mar-21 |
| 118 | Pilot Securities Limited | December | 31-Mar-21 |
| 119 | Pinefields Investment Services Limited | December | 31-Mar-21 |
| 120 | PIPC Securities Limited | December | 31-Mar-21 |
| 121 | Pivot Capital Limited | December | 31-Mar-21 |
| 122 | Planet Capital Limited | December | 31-Mar-21 |
| 123 | Portfolio Advisers Limited | December | 31-Mar-21 |
| 124 | Premium Capital and Stockbrokers Limited | December | 31-Mar-21 |
| 125 | Primewealth Capital Limited | December | 31-Mar-21 |
| 126 | Prominent Securities Limited | December | 31-Mar-21 |
| 127 | PSI Securities Limited | December | 31-Mar-21 |
| 128 | PSL Capital Limited | December | 31-Mar-21 |
| 129 | Pyramid Securities Limited | December | 31-Mar-21 |
| 130 | Qualinvest Capital Limited | December | 31-Mar-21 |
| 131 | Quantum Zenith Securities & Investments Limited | December | 31-Mar-21 |
| 132 | Rainbow Securities and Investment Company Limited | December | 31-Mar-21 |
| 133 | Readings Investment Limited | December | 31-Mar-21 |
| 134 | Regency Asset Management Limited | December | 31-Mar-21 |
| 135 | Rencap Securities (Nig) Limited | December | 31-Mar-21 |

| | | | |
|-----|---------------------------------------------------|----------|-----------|
| 136 | Resort Securities and Trust Limited | December | 31-Mar-21 |
| 137 | Reward Investment and Service Limited | December | 31-Mar-21 |
| 138 | RMB Nigeria Stockbrokers Limited | December | 31-Mar-21 |
| 139 | Rostrum Investment and Sec Limited | December | 31-Mar-21 |
| 140 | Rowet Capital Mgt Limited | December | 31-Mar-21 |
| 141 | Royal Crest Finance Limited | December | 31-Mar-21 |
| 142 | Royal Guaranty and Trust Limited | December | 31-Mar-21 |
| 143 | Shalom Investment and Financial Services Limited | December | 31-Mar-21 |
| 144 | Santrust Securities Limited | December | 31-Mar-21 |
| 145 | Securities Africa Financial Limited | December | 31-Mar-21 |
| 146 | Securities and Capital Management Company Limited | December | 31-Mar-21 |
| 147 | Security Swaps Limited | December | 31-Mar-21 |
| 148 | Shalom Investment and Financial Services Limited | December | 31-Mar-21 |
| 149 | Shelong Investments Limited | December | 31-Mar-21 |
| 150 | Sigma Securities Limited | December | 31-Mar-21 |
| 151 | Signet Investment and Securities Limited | December | 31-Mar-21 |
| 152 | Skyview Capital Ltd | December | 31-Mar-21 |
| 153 | Smadac Securities Limited | December | 31-Mar-21 |
| 154 | Solid Rock Securities and Investment Plc | December | 31-Mar-21 |
| 155 | Spring Trust and Securities Limited | December | 31-Mar-21 |
| 156 | Springboard Trust and Investment Limited | December | 31-Mar-21 |
| 157 | Stanbic IBTC Stockbrokers Limited | December | 31-Mar-21 |
| 158 | Standard Union Securities Limited | December | 31-Mar-21 |
| 159 | StoneX Financial Nigeria Limited | December | 31-Mar-21 |
| 160 | TFS Securities and Investment Company Limited | December | 31-Mar-21 |
| 161 | The Bridge Securities Limited | December | 31-Mar-21 |
| 162 | Tiddo Securities Limited | December | 31-Mar-21 |
| 163 | Tomil Trust Limited | December | 31-Mar-21 |
| 164 | Topmost Securities Limited | December | 31-Mar-21 |
| 165 | Tower Securities and Investment Company Limited | December | 31-Mar-21 |
| 166 | Trade Link Securities Limited | December | 31-Mar-21 |
| 167 | Traders Trust and Investment Co. Limited | December | 31-Mar-21 |
| 168 | Transworld Investment Limited | December | 31-Mar-21 |
| 169 | Trust Yield Securities Limited | December | 31-Mar-21 |
| 170 | TrustBanc Capital Management Limited | December | 31-Mar-21 |
| 171 | Trusthouse Investment Limited | December | 31-Mar-21 |
| 172 | TRW Stockbrokers Limited | December | 31-Mar-21 |
| 173 | Tyndale Securities Limited | December | 31-Mar-21 |
| 174 | UCML Capital Limited | December | 31-Mar-21 |
| 175 | UIDC Securities Limited | December | 31-Mar-21 |
| 176 | Unex Capital Limited | December | 31-Mar-21 |
| 177 | United Capital Securities Limited | December | 31-Mar-21 |
| 178 | Valmon Securities Limited | December | 31-Mar-21 |
| 179 | Valueline Securities and Investment Limited | December | 31-Mar-21 |
| 180 | Vetiva Securities Limited | December | 31-Mar-21 |
| 181 | WCM Capital Limited | December | 31-Mar-21 |
| 182 | WSTC Securities Limited | December | 31-Mar-21 |
| 183 | Zion Stockbrokers and Securities Limited | December | 31-Mar-21 |

INACTIVE AND SUBMITTED

| S/N | FIRMS | Year End | Due date |
|-----|-----------------------------------------|----------|-----------|
| 1 | Crane Securities Limited | December | 31-Mar-21 |
| 2 | Financial and Analytics Capital Limited | December | 31-Mar-21 |
| 3 | Investment Shark and Asset Mgt Ltd | December | 31-Mar-21 |
| 4 | Kundila Finance Services Limited | December | 31-Mar-21 |
| 5 | Milestone Capital Management Limited | December | 31-Mar-21 |
| | | | |

ACTIVE AND NOT SUBMITTED

| S/N | FIRM | Year End | Due Date |
|-----|------------------------------------|----------|-----------|
| 1 | Mainstreet Bank Securities Limited | December | 31-Mar-21 |
| | | | |

INACTIVE AND NOT SUBMITTED

| S/N | FIRM | Year End | Due Date |
|-----|--------------------------------------------------------|----------|-----------|
| 1 | Adamawa Securities Limited | December | 31-Mar-21 |
| 2 | Adonai Stockbrokers Limited | December | 31-Mar-21 |
| 3 | Abyn Investment Limited | December | 31-Mar-21 |
| 4 | CEB Securities Limited | December | 31-Mar-21 |
| 5 | Clearview Investments Company Limited | December | 31-Mar-21 |
| 6 | CLG Stockbrokers Limited | December | 31-Mar-21 |
| 7 | ECL Asset Management Limited | December | 31-Mar-21 |
| 8 | Enterprise Stockbrokers Limited | December | 31-Mar-21 |
| 9 | First Stockbrokers Limited | December | 31-Mar-21 |
| 10 | GMT Securities and Asset Mangement Limited | December | 31-Mar-21 |
| 11 | Gombe Securities Limited | December | 31-Mar-21 |
| 12 | Horizon Stockbrokers Limited | December | 31-Mar-21 |
| 13 | ITIS Securities Limited | December | 31-Mar-21 |
| 14 | Maven Asset Management Limited | December | 31-Mar-21 |
| 15 | Mayfield Investment Limited | December | 31-Mar-21 |
| 16 | MBL Financial Services Limited | December | 31-Mar-21 |
| 17 | Midas Stockbrokers Limited | December | 31-Mar-21 |
| 18 | Midpoint Capital Limited | December | 31-Mar-21 |
| 19 | ML Securities Limited | December | 31-Mar-21 |
| 20 | Mutual Alliance Investment and Securities Limited | December | 31-Mar-21 |
| 21 | Quantum Securities Limited | December | 31-Mar-21 |
| 22 | Royal Trust Securities Limited | December | 31-Mar-21 |
| 23 | Standard Alliance Capital and Asset Management Limited | December | 31-Mar-21 |
| 24 | Supra Commercial Trust Company Limited | December | 31-Mar-21 |

Audited Accounts

TRADING LICENSE HOLDERS AND THEIR RENDITION STATUS FOR THE YEAR ENDED 31 DECEMBER 2021

| S/N | FIRMS | Year End | Due date |
|-----|------------------------------------------------|----------|-----------|
| 1 | Absa Securities Nigeria Limited | December | 31-Mar-22 |
| 2 | Afrinvest Securities Limited | December | 31-Mar-22 |
| 3 | Anchoria Investment and Securities Limited | December | 31-Mar-22 |
| 4 | Apel Asset Limited | December | 31-Mar-22 |
| 5 | Apt Securities and Funds Limited | December | 31-Mar-22 |
| 6 | ARM Securities Limited | December | 31-Mar-22 |
| 7 | Arthur Stevens Asset Management Limited | December | 31-Mar-22 |
| 8 | Associated Asset Managers Limited | December | 31-Mar-22 |
| 9 | Atlass Portfolio Limited | December | 31-Mar-22 |
| 10 | AVA Securities Limited | December | 31-Mar-22 |
| 11 | Bancorp Securities Limited | December | 31-Mar-22 |
| 12 | Bauchi Investment Corp. Sec Limited | December | 31-Mar-22 |
| 13 | Belfry Investment and Securities Limited | December | 31-Mar-22 |
| 14 | Bestworth Assets and Trust Limited | December | 31-Mar-22 |
| 15 | Calyx Securities Limited | December | 31-Mar-22 |
| 16 | Camry Securities Limited | December | 31-Mar-22 |
| 17 | Capital Asset Limited | December | 31-Mar-22 |
| 18 | Capital Express Securities Limited | December | 31-Mar-22 |
| 19 | Capital Trust Brokers Limited | December | 31-Mar-22 |
| 20 | Cardinal Stone Securities Ltd | December | 31-Mar-22 |
| 21 | Cashville Investment and Securities Limited | December | 31-Mar-22 |
| 22 | CDL Capital Markets Limited | December | 31-Mar-22 |
| 23 | Centre Point Investment Limited | December | 31-Mar-22 |
| 24 | Century Securities Limited | December | 31-Mar-22 |
| 25 | Chapel Hill Denham Securities Limited | December | 31-Mar-22 |
| 26 | Chartwell Securities Limited | December | 31-Mar-22 |
| 27 | Citi Investment Capital Limited | December | 31-Mar-22 |
| 28 | City Code Trust and Investment Company Limited | December | 31-Mar-22 |
| 29 | Compass Investment and Securities Limited | December | 31-Mar-22 |
| 30 | Cordros Securities Limited | December | 31-Mar-22 |
| 31 | Core Securities Limited | December | 31-Mar-22 |
| 32 | Coronation Securities Limited | December | 31-Mar-22 |
| 33 | Cowry Securities Limited | December | 31-Mar-22 |
| 34 | Crossworld Securities Limited | December | 31-Mar-22 |
| 35 | Crown Capital Limited | December | 31-Mar-22 |
| 36 | CSL Stockbrokers Limited | December | 31-Mar-22 |
| 37 | Deep Trust Investment Limited | December | 31-Mar-22 |
| 38 | Delords Securities Limited | December | 31-Mar-22 |
| 39 | DLM Securities Limited | December | 31-Mar-22 |

| | | | |
|----|--------------------------------------------------|----------|-----------|
| 40 | Dominion Trust Limited | December | 31-Mar-22 |
| 41 | DSU Brokerage Services Limited | December | 31-Mar-22 |
| 42 | Dunbell Securities Limited | December | 31-Mar-22 |
| 43 | Dynamic Portfolio Limited | December | 31-Mar-22 |
| 44 | EDC Securities Limited | December | 31-Mar-22 |
| 45 | Edgefield Capital Management Limited | December | 31-Mar-22 |
| 46 | EFG Hermes Nigeria Limited | December | 31-Mar-22 |
| 47 | El-Elyon Alliance and Securities Ltd | December | 31-Mar-22 |
| 48 | Elixir Securities Limited | December | 31-Mar-22 |
| 49 | Equity Capital Solutions Limited | December | 31-Mar-22 |
| 50 | Eurocomm Securities Limited | December | 31-Mar-22 |
| 51 | Express Portfolio Services Limited | December | 31-Mar-22 |
| 52 | Falcon Securities Limited | December | 31-Mar-22 |
| 53 | FBC Trust and Securities Limited | December | 31-Mar-22 |
| 54 | FBNQuest Securities Limited | December | 31-Mar-22 |
| 55 | FCSL Asset Management Company Limited | December | 31-Mar-22 |
| 56 | Fidelity Finance Company Limited | December | 31-Mar-22 |
| 57 | Financial and Analytics Capital Limited | December | 31-Mar-22 |
| 58 | Financial Trust Company Nigeria Limited | December | 31-Mar-22 |
| 59 | Finmal Finance Services Limited | December | 31-Mar-22 |
| 60 | First Integrated Capital Management Limited | December | 31-Mar-22 |
| 61 | FIS Securities Limited | December | 31-Mar-22 |
| 62 | Foresight Securities and Investment Limited | December | 31-Mar-22 |
| 63 | Forte Financial Limited | December | 31-Mar-22 |
| 64 | Forthright Securities and Investments Limited | December | 31-Mar-22 |
| 65 | Fortress Capital Limited | December | 31-Mar-22 |
| 66 | FSDH Capital Limited | December | 31-Mar-22 |
| 67 | FSL Securities Limited | December | 31-Mar-22 |
| 68 | Funds Matrix and Assets Mgt Limited | December | 31-Mar-22 |
| 69 | Fundvine Capital and Securities Limited | December | 31-Mar-22 |
| 70 | Futureview Securities Limited | December | 31-Mar-22 |
| 71 | Gem Assets Management Limited | December | 31-Mar-22 |
| 72 | Gidauniya Investment and Securities Limited | December | 31-Mar-22 |
| 73 | Global Asset Management (Nig) Limited | December | 31-Mar-22 |
| 74 | GlobalView Capital Limited | December | 31-Mar-22 |
| 75 | Golden Securities Limited | December | 31-Mar-22 |
| 76 | Greenwich Securities Limited | December | 31-Mar-22 |
| 77 | Growth & Development Asset Management Limited | December | 31-Mar-22 |
| 78 | Gruene Capital Limited | December | 31-Mar-22 |
| 79 | GTI Securities Limited | December | 31-Mar-22 |
| 80 | Harmony Securities Limited | December | 31-Mar-22 |
| 81 | Heartbeat Investment Limited | December | 31-Mar-22 |
| 82 | Hedge Securities and Investments Company Limited | December | 31-Mar-22 |
| 83 | Heritage Capital Markets Limited | December | 31-Mar-22 |
| 84 | ICMG securities Limited | December | 31-Mar-22 |
| 85 | Icon Stockbrokers Limited | December | 31-Mar-22 |
| 86 | Imperial Asset Managers Limited | December | 31-Mar-22 |
| 87 | Integrated Trust and Investment Limited | December | 31-Mar-22 |

| | | | |
|-----|---------------------------------------------------|----------|-----------|
| 88 | Interstate Securities Limited | December | 31-Mar-22 |
| 89 | Investment One Stockbrokers International Limited | December | 31-Mar-22 |
| 90 | Investors and Trust Company Limited | December | 31-Mar-22 |
| 91 | Kapital Care Trust and Securities Limited | December | 31-Mar-22 |
| 92 | Kedari Capital Limited | December | 31-Mar-22 |
| 93 | Kinley Securities Limited | December | 31-Mar-22 |
| 94 | Kofana Securities and Investment Limited | December | 31-Mar-22 |
| 95 | Lambeth Capital Limited | December | 31-Mar-22 |
| 96 | Lead Securities and Investment Limited | December | 31-Mar-22 |
| 97 | Lighthouse Capital Limited | December | 31-Mar-22 |
| 98 | Magnartis Finance and Investment Limited | December | 31-Mar-22 |
| 99 | Mainstreet Bank Securities Limited | December | 31-Mar-22 |
| 100 | Marimpex Finance and Investment Company Limited | December | 31-Mar-22 |
| 101 | Maxifund Investment and Securities Plc | December | 31-Mar-22 |
| 102 | MBC Securities Limited | December | 31-Mar-22 |
| 103 | Mega Equities Limited | December | 31-Mar-22 |
| 104 | Meristem Stockbrokers Limited | December | 31-Mar-22 |
| 105 | Mission Securities Limited | December | 31-Mar-22 |
| 106 | Molten Trust Limited | December | 31-Mar-22 |
| 107 | Morgan Capital Securities Limited | December | 31-Mar-22 |
| 108 | Mountain Investment and Securities Limited | December | 31-Mar-22 |
| 109 | Network Capital Limited | December | 31-Mar-22 |
| 110 | Networth Securities and Finance Limited | December | 31-Mar-22 |
| 111 | Newdevco Investments and Securities Limited | December | 31-Mar-22 |
| 112 | Nigerian International Securities Ltd | December | 31-Mar-22 |
| 113 | Nigerian Stockbrokers Limited | December | 31-Mar-22 |
| 114 | Norrenberger Securities Limited | December | 31-Mar-22 |
| 115 | Nova Finance and Securities Limited | December | 31-Mar-22 |
| 116 | NOVAMBL Securities Limited | December | 31-Mar-22 |
| 117 | Osborne Capital Markets Limited | December | 31-Mar-22 |
| 118 | PAC Securities Limited | December | 31-Mar-22 |
| 119 | Parthian Securities Limited | December | 31-Mar-22 |
| 120 | Peace Capital Markets Ltd | December | 31-Mar-22 |
| 121 | Pilot Securities Limited | December | 31-Mar-22 |
| 122 | Pinefields Investment Services Limited | December | 31-Mar-22 |
| 123 | PIPC Securities Limited | December | 31-Mar-22 |
| 124 | Pivot Capital Limited | December | 31-Mar-22 |
| 125 | Planet Capital Limited | December | 31-Mar-22 |
| 126 | Portfolio Advisers Limited | December | 31-Mar-22 |
| 127 | Premium Capital and Stockbrokers Limited | December | 31-Mar-22 |
| 128 | Prominent Securities Limited | December | 31-Mar-22 |
| 129 | PSI Securities Limited | December | 31-Mar-22 |
| 130 | Pyramid Securities Limited | December | 31-Mar-22 |
| 131 | Qualinvest Capital Limited | December | 31-Mar-22 |
| 132 | Quantum Zenith Securities & Investments Limited | December | 31-Mar-22 |
| 133 | Rainbow Securities and Investment Company Limited | December | 31-Mar-22 |
| 134 | Readings Investment Limited | December | 31-Mar-22 |
| 135 | Regency Asset Management Limited | December | 31-Mar-22 |

| | | | |
|-----|---------------------------------------------------|----------|-----------|
| 136 | Rencap Securities (Nig) Limited | December | 31-Mar-22 |
| 137 | Resort Securities and Trust Limited | December | 31-Mar-22 |
| 138 | Reward Investment and Service Limited | December | 31-Mar-22 |
| 139 | RMB Nigeria Stockbrokers Limited | December | 31-Mar-22 |
| 140 | Rostrum Investment and Sec Limited | December | 31-Mar-22 |
| 141 | Rowet Capital Mgt Limited | December | 31-Mar-22 |
| 142 | Royal Crest Finance Limited | December | 31-Mar-22 |
| 143 | Shalom Investment and Financial Services Limited | December | 31-Mar-22 |
| 144 | Sankore Securities Limited | December | 31-Mar-22 |
| 145 | Santrust Securities Limited | December | 31-Mar-22 |
| 146 | Securities Africa Financial Limited | December | 31-Mar-22 |
| 147 | Securities and Capital Management Company Limited | December | 31-Mar-22 |
| 148 | Security Swaps Limited | December | 31-Mar-22 |
| 149 | Shalom Investment and Financial Services Limited | December | 31-Mar-22 |
| 150 | Shelong Investments Limited | December | 31-Mar-22 |
| 151 | Sigma Securities Limited | December | 31-Mar-22 |
| 152 | Signet Investment and Securities Limited | December | 31-Mar-22 |
| 153 | Skyview Capital Ltd | December | 31-Mar-22 |
| 154 | Smadac Securities Limited | December | 31-Mar-22 |
| 155 | Solid Rock Securities and Investment Plc | December | 31-Mar-22 |
| 156 | Spring Trust and Securities Limited | December | 31-Mar-22 |
| 157 | Springboard Trust and Investment Limited | December | 31-Mar-22 |
| 158 | Stanbic IBTC Stockbrokers Limited | December | 31-Mar-22 |
| 159 | Standard Union Securities Limited | December | 31-Mar-22 |
| 160 | StoneX Financial Nigeria Limited | December | 31-Mar-22 |
| 161 | The Bridge Securities Limited | December | 31-Mar-22 |
| 162 | Tiddo Securities Limited | December | 31-Mar-22 |
| 163 | Tomil Trust Limited | December | 31-Mar-22 |
| 164 | Topmost Securities Limited | December | 31-Mar-22 |
| 165 | Tower Securities and Investment Company Limited | December | 31-Mar-22 |
| 166 | Trade Link Securities Limited | December | 31-Mar-22 |
| 167 | Traders Trust and Investment Co. Limited | December | 31-Mar-22 |
| 168 | Transworld Investment Limited | December | 31-Mar-22 |
| 169 | Trust Yield Securities Limited | December | 31-Mar-22 |
| 170 | TrustBanc Capital Management Limited | December | 31-Mar-22 |
| 171 | Trusthouse Investment Limited | December | 31-Mar-22 |
| 172 | TRW Stockbrokers Limited | December | 31-Mar-22 |
| 173 | Tyndale Securities Limited | December | 31-Mar-22 |
| 174 | UCML Capital Limited | December | 31-Mar-22 |
| 175 | UIDC Securities Limited | December | 31-Mar-22 |
| 176 | Unex Capital Limited | December | 31-Mar-22 |
| 177 | United Capital Securities Limited | December | 31-Mar-22 |
| 178 | Valmon Securities Limited | December | 31-Mar-22 |
| 179 | Valueline Securities and Investment Limited | December | 31-Mar-22 |
| 180 | Vetiva Securities Limited | December | 31-Mar-22 |
| 181 | WCM Capital Limited | December | 31-Mar-22 |
| 182 | WSTC Securities Limited | December | 31-Mar-22 |
| 183 | Zion Stockbrokers and Securities Limited | December | 31-Mar-22 |

INACTIVE AND SUBMITTED

| S/N | FIRMS | Year End | Due date |
|-----|--------------------------------------|----------|-----------|
| 1 | CLG Stockbrokers Limited | December | 31-Mar-22 |
| 2 | Crane Securities Limited | December | 31-Mar-22 |
| 3 | Enterprise Stockbrokers Limited | December | 31-Mar-22 |
| 4 | Investment Shark and Asset Mgt Ltd | December | 31-Mar-22 |
| 5 | Kundila Finance Services Limited | December | 31-Mar-22 |
| 6 | Maven Asset Management Limited | December | 31-Mar-22 |
| 7 | Midas Stockbrokers Limited | December | 31-Mar-22 |
| 8 | Milestone Capital Management Limited | December | 31-Mar-22 |

ACTIVE AND NOT SUBMITTED

| S/N | FIRM | Year End | Due Date |
|-----|------|----------|----------|
|-----|------|----------|----------|

INACTIVE AND NOT SUBMITTED

| S/N | FIRM | Year End | Due Date |
|-----|--------------------------------------------------------|----------|-----------|
| 1 | Adamawa Securities Limited | December | 31-Mar-22 |
| 2 | Adonai Stockbrokers Limited | December | 31-Mar-22 |
| 3 | Abyn Investment Limited | December | 31-Mar-22 |
| 4 | Cashcraft Securities Limited | December | 31-Mar-22 |
| 5 | CEB Securities Limited | December | 31-Mar-22 |
| 6 | Clearview Investments Company Limited | December | 31-Mar-22 |
| 7 | ECL Asset Management Limited | December | 31-Mar-22 |
| 8 | First Stockbrokers Limited | December | 31-Mar-22 |
| 9 | GMT Securities and Asset Mangement Limited | December | 31-Mar-22 |
| 10 | Gombe Securities Limited | December | 31-Mar-22 |
| 11 | Horizon Stockbrokers Limited | December | 31-Mar-22 |
| 12 | ITIS Securities Limited | December | 31-Mar-22 |
| 13 | Mayfield Investment Limited | December | 31-Mar-22 |
| 14 | Midpoint Capital Limited | December | 31-Mar-22 |
| 15 | ML Securities Limited | December | 31-Mar-22 |
| 16 | Mutual Alliance Investment and Securities Limited | December | 31-Mar-22 |
| 17 | Primewealth Capital Limited | December | 31-Mar-22 |
| 18 | Quantum Securities Limited | December | 31-Mar-22 |
| 19 | Royal Trust Securities Limited | December | 31-Mar-22 |
| 20 | Standard Alliance Capital and Asset Management Limited | December | 31-Mar-22 |
| 21 | Supra Commercial Trust Limited | December | 31-Mar-22 |

Audited Accounts

TRADING LICENSE HOLDERS AND THEIR RENDITION STATUS FOR THE YEAR ENDED 31 DECEMBER 2022
ACTIVE AND SUBMITTED

| S/N | FIRMS | Year End | Due date |
|-----|------------------------------------------------|----------|-----------|
| 1 | Absa Securities Nigeria Limited | December | 31-Mar-23 |
| 2 | Afrinvest Securities Limited | December | 31-Mar-23 |
| 3 | Anchoria Investment and Securities Limited | December | 31-Mar-23 |
| 4 | Apel Asset Limited | December | 31-Mar-23 |
| 5 | Apt Securities and Funds Limited | December | 31-Mar-23 |
| 6 | ARM Securities Limited | December | 31-Mar-23 |
| 7 | Arthur Stevens Asset Management Limited | December | 31-Mar-23 |
| 8 | Associated Asset Managers Limited | December | 31-Mar-23 |
| 9 | Atlass Portfolio Limited | December | 31-Mar-23 |
| 10 | AVA Securities Limited | December | 31-Mar-23 |
| 11 | Bancorp Securities Limited | December | 31-Mar-23 |
| 12 | Bauchi Investment Corp. Sec Limited | December | 31-Mar-23 |
| 13 | Belfry Investment and Securities Limited | December | 31-Mar-23 |
| 14 | Bestworth Assets and Trust Limited | December | 31-Mar-23 |
| 15 | Calyx Securities Limited | December | 31-Mar-23 |
| 16 | Camry Securities Limited | December | 31-Mar-23 |
| 17 | Capital Asset Limited | December | 31-Mar-23 |
| 18 | Capital Express Securities Limited | December | 31-Mar-23 |
| 19 | Capital Trust Brokers Limited | December | 31-Mar-23 |
| 20 | Cardinal Stone Securities Ltd | December | 31-Mar-23 |
| 21 | Cashville Investment and Securities Limited | December | 31-Mar-23 |
| 22 | CDL Capital Markets Limited | December | 31-Mar-23 |
| 23 | Centre Point Investment Limited | December | 31-Mar-23 |
| 24 | Century Securities Limited | December | 31-Mar-23 |
| 25 | Chapel Hill Denham Securities Limited | December | 31-Mar-23 |
| 26 | Chartwell Securities Limited | December | 31-Mar-23 |
| 27 | Citi Investment Capital Limited | December | 31-Mar-23 |
| 28 | City Code Trust and Investment Company Limited | December | 31-Mar-23 |
| 29 | Compass Investment and Securities Limited | December | 31-Mar-23 |
| 30 | Cordros Securities Limited | December | 31-Mar-23 |
| 31 | Coronation Securities Limited | December | 31-Mar-23 |
| 32 | Cowry Securities Limited | December | 31-Mar-23 |
| 33 | Crossworld Securities Limited | December | 31-Mar-23 |
| 34 | Crown Capital Limited | December | 31-Mar-23 |
| 35 | CSL Stockbrokers Limited | December | 31-Mar-23 |
| 36 | Deep Trust Investment Limited | December | 31-Mar-23 |
| 37 | Delords Securities Limited | December | 31-Mar-23 |
| 38 | DLM Securities Limited | December | 31-Mar-23 |
| 39 | Dominion Trust Limited | December | 31-Mar-23 |
| 40 | DSU Brokerage Services Limited | December | 31-Mar-23 |

| | | | |
|----|---------------------------------------------------|----------|-----------|
| 41 | Dunbell Securities Limited | December | 31-Mar-23 |
| 42 | Dynamic Portfolio Limited | December | 31-Mar-23 |
| 43 | EDC Securities Limited | December | 31-Mar-23 |
| 44 | Edgefield Capital Management Limited | December | 31-Mar-23 |
| 45 | EFG Hermes Nigeria Limited | December | 31-Mar-23 |
| 46 | El-Elyon Alliance and Securities Ltd | December | 31-Mar-23 |
| 47 | Equity Capital Solutions Limited | December | 31-Mar-23 |
| 48 | Eurocomm Securities Limited | December | 31-Mar-23 |
| 49 | Express Portfolio Services Limited | December | 31-Mar-23 |
| 50 | Falcon Securities Limited | December | 31-Mar-23 |
| 51 | FBC Trust and Securities Limited | December | 31-Mar-23 |
| 52 | FBNQuest Securities Limited | December | 31-Mar-23 |
| 53 | FCSL Asset Management Company Limited | December | 31-Mar-23 |
| 54 | Fidelity Finance Company Limited | December | 31-Mar-23 |
| 55 | Financial and Analytics Capital Limited | December | 31-Mar-23 |
| 56 | Financial Trust Company Nigeria Limited | December | 31-Mar-23 |
| 57 | Finmal Finance Services Limited | December | 31-Mar-23 |
| 58 | First Integrated Capital Management Limited | December | 31-Mar-23 |
| 59 | FIS Securities Limited | December | 31-Mar-23 |
| 60 | Foresight Securities and Investment Limited | December | 31-Mar-23 |
| 61 | Forte Financial Limited | December | 31-Mar-23 |
| 62 | Forthright Securities and Investments Limited | December | 31-Mar-23 |
| 63 | Fortress Capital Limited | December | 31-Mar-23 |
| 64 | FSDH Capital Limited | December | 31-Mar-23 |
| 65 | FSL Securities Limited | December | 31-Mar-23 |
| 66 | Funds Matrix and Assets Mgt Limited | December | 31-Mar-23 |
| 67 | Fundvine Capital and Securities Limited | December | 31-Mar-23 |
| 68 | Futureview Securities Limited | December | 31-Mar-23 |
| 69 | Gem Assets Management Limited | December | 31-Mar-23 |
| 70 | Gidauniya Investment and Securities Limited | December | 31-Mar-23 |
| 71 | Global Asset Management (Nig) Limited | December | 31-Mar-23 |
| 72 | GlobalView Capital Limited | December | 31-Mar-23 |
| 73 | Golden Securities Limited | December | 31-Mar-23 |
| 74 | Greenwich Securities Limited | December | 31-Mar-23 |
| 75 | Growth & Development Asset Management Limited | December | 31-Mar-23 |
| 76 | Gruene Capital Limited | December | 31-Mar-23 |
| 77 | GTI Securities Limited | December | 31-Mar-23 |
| 78 | Harmony Securities Limited | December | 31-Mar-23 |
| 79 | Heartbeat Investment Limited | December | 31-Mar-23 |
| 80 | Hedge Securities and Investments Company Limited | December | 31-Mar-23 |
| 81 | Heritage Capital Markets Limited | December | 31-Mar-23 |
| 82 | ICMG securities Limited | December | 31-Mar-23 |
| 83 | Icon Stockbrokers Limited | December | 31-Mar-23 |
| 84 | Imperial Asset Managers Limited | December | 31-Mar-23 |
| 85 | Integrated Trust and Investment Limited | December | 31-Mar-23 |
| 86 | Interstate Securities Limited | December | 31-Mar-23 |
| 87 | Investment One Stockbrokers International Limited | December | 31-Mar-23 |
| 88 | Investors and Trust Company Limited | December | 31-Mar-23 |
| 89 | Kapital Care Trust and Securities Limited | December | 31-Mar-23 |
| 90 | Kedari Capital Limited | December | 31-Mar-23 |

| | | | |
|-----|---------------------------------------------------|----------|-----------|
| 91 | Kinley Securities Limited | December | 31-Mar-23 |
| 92 | Kofana Securities and Investment Limited | December | 31-Mar-23 |
| 93 | Kundila Finance Services Limited | December | 31-Mar-23 |
| 94 | Lambeth Capital Limited | December | 31-Mar-23 |
| 95 | Lead Securities and Investment Limited | December | 31-Mar-23 |
| 96 | Lighthouse Capital Limited | December | 31-Mar-23 |
| 97 | Magnartis Finance and Investment Limited | December | 31-Mar-23 |
| 98 | Mainstreet Bank Securities Limited | December | 31-Mar-23 |
| 99 | Marimpex Finance and Investment Company Limited | December | 31-Mar-23 |
| 100 | Maxifund Investment and Securities Plc | December | 31-Mar-23 |
| 101 | MBC Securities Limited | December | 31-Mar-23 |
| 102 | Mega Equities Limited | December | 31-Mar-23 |
| 103 | Meristem Stockbrokers Limited | December | 31-Mar-23 |
| 104 | Milestone Capital Management Limited | December | 31-Mar-23 |
| 105 | Mission Securities Limited | December | 31-Mar-23 |
| 106 | Molten Trust Limited | December | 31-Mar-23 |
| 107 | Morgan Capital Securities Limited | December | 31-Mar-23 |
| 108 | Mountain Investment and Securities Limited | December | 31-Mar-23 |
| 109 | Network Capital Limited | December | 31-Mar-23 |
| 110 | Networth Securities and Finance Limited | December | 31-Mar-23 |
| 111 | Newdevco Investments and Securities Limited | December | 31-Mar-23 |
| 112 | Nigerian Stockbrokers Limited | December | 31-Mar-23 |
| 113 | Norrenberger Securities Limited | December | 31-Mar-23 |
| 114 | Nova Finance and Securities Limited | December | 31-Mar-23 |
| 115 | NOVAMBL Securities Limited | December | 31-Mar-23 |
| 116 | Osborne Capital Markets Limited | December | 31-Mar-23 |
| 117 | PAC Securities Limited | December | 31-Mar-23 |
| 118 | Parthian Securities Limited | December | 31-Mar-23 |
| 119 | Peace Capital Markets Ltd | December | 31-Mar-23 |
| 120 | Pilot Securities Limited | December | 31-Mar-23 |
| 121 | Pinefields Investment Services Limited | December | 31-Mar-23 |
| 122 | PIPC Securities Limited | December | 31-Mar-23 |
| 123 | Pivot Capital Limited | December | 31-Mar-23 |
| 124 | Planet Capital Limited | December | 31-Mar-23 |
| 125 | Portfolio Advisers Limited | December | 31-Mar-23 |
| 126 | Premium Capital and Stockbrokers Limited | December | 31-Mar-23 |
| 127 | Prominent Securities Limited | December | 31-Mar-23 |
| 128 | PSI Securities Limited | December | 31-Mar-23 |
| 129 | Pyramid Securities Limited | December | 31-Mar-23 |
| 130 | Qualinvest Capital Limited | December | 31-Mar-23 |
| 131 | Quantum Zenith Securities & Investments Limited | December | 31-Mar-23 |
| 132 | Rainbow Securities and Investment Company Limited | December | 31-Mar-23 |
| 133 | Readings Investment Limited | December | 31-Mar-23 |
| 134 | Regency Asset Management Limited | December | 31-Mar-23 |
| 135 | Rencap Securities (Nig) Limited | December | 31-Mar-23 |
| 136 | Resort Securities and Trust Limited | December | 31-Mar-23 |
| 137 | Reward Investment and Service Limited | December | 31-Mar-23 |
| 138 | RMB Nigeria Stockbrokers Limited | December | 31-Mar-23 |
| 139 | Rostrum Investment and Sec Limited | December | 31-Mar-23 |
| 140 | Rowet Capital Mgt Limited | December | 31-Mar-23 |

| | | | |
|-----|---------------------------------------------------|----------|-----------|
| 141 | Royal Crest Finance Limited | December | 31-Mar-23 |
| 142 | Shalom Investment and Financial Services Limited | December | 31-Mar-23 |
| 143 | Sankore Securities Limited | December | 31-Mar-23 |
| 144 | Santrust Securities Limited | December | 31-Mar-23 |
| 145 | Securities Africa Financial Limited | December | 31-Mar-23 |
| 146 | Securities and Capital Management Company Limited | December | 31-Mar-23 |
| 147 | Security Swaps Limited | December | 31-Mar-23 |
| 148 | Shalom Investment and Financial Services Limited | December | 31-Mar-23 |
| 149 | Shelong Investments Limited | December | 31-Mar-23 |
| 150 | Sigma Securities Limited | December | 31-Mar-23 |
| 151 | Signet Investment and Securities Limited | December | 31-Mar-23 |
| 152 | Skyview Capital Ltd | December | 31-Mar-23 |
| 153 | Smadac Securities Limited | December | 31-Mar-23 |
| 154 | Solid Rock Securities and Investment Plc | December | 31-Mar-23 |
| 155 | Spring Trust and Securities Limited | December | 31-Mar-23 |
| 156 | Springboard Trust and Investment Limited | December | 31-Mar-23 |
| 157 | Stanbic IBTC Stockbrokers Limited | December | 31-Mar-23 |
| 158 | Standard Union Securities Limited | December | 31-Mar-23 |
| 159 | StoneX Financial Nigeria Limited | December | 31-Mar-23 |
| 160 | The Bridge Securities Limited | December | 31-Mar-23 |
| 161 | Tiddo Securities Limited | December | 31-Mar-23 |
| 162 | Tomil Trust Limited | December | 31-Mar-23 |
| 163 | Topmost Securities Limited | December | 31-Mar-23 |
| 164 | Tower Securities and Investment Company Limited | December | 31-Mar-23 |
| 165 | Trade Link Securities Limited | December | 31-Mar-23 |
| 166 | Traders Trust and Investment Co. Limited | December | 31-Mar-23 |
| 167 | Transworld Investment Limited | December | 31-Mar-23 |
| 168 | Trust Yield Securities Limited | December | 31-Mar-23 |
| 169 | TrustBanc Capital Management Limited | December | 31-Mar-23 |
| 170 | Trusthouse Investment Limited | December | 31-Mar-23 |
| 171 | TRW Stockbrokers Limited | December | 31-Mar-23 |
| 172 | Tyndale Securities Limited | December | 31-Mar-23 |
| 173 | UCML Capital Limited | December | 31-Mar-23 |
| 174 | UIDC Securities Limited | December | 31-Mar-23 |
| 175 | Unex Capital Limited | December | 31-Mar-23 |
| 176 | United Capital Securities Limited | December | 31-Mar-23 |
| 177 | Valmon Securities Limited | December | 31-Mar-23 |
| 178 | Valueline Securities and Investment Limited | December | 31-Mar-23 |
| 179 | Vetiva Securities Limited | December | 31-Mar-23 |
| 180 | WCM Capital Limited | December | 31-Mar-23 |
| 181 | WSTC Securities Limited | December | 31-Mar-23 |
| 182 | Zion Stockbrokers and Securities Limited | December | 31-Mar-23 |

INACTIVE AND SUBMITTED

| S/N | FIRMS | Year End | Due date |
|-----|---------------------------------|----------|-----------|
| 1 | CLG Stockbrokers Limited | December | 31-Mar-23 |
| 2 | Crane Securities Limited | December | 31-Mar-23 |
| 3 | Enterprise Stockbrokers Limited | December | 31-Mar-23 |

| | | | |
|---|------------------------------------|----------|-----------|
| 4 | Investment Shark and Asset Mgt Ltd | December | 31-Mar-23 |
| 5 | Maven Asset Management Limited | December | 31-Mar-23 |
| 6 | Midas Stockbrokers Limited | December | 31-Mar-23 |
| 7 | Primewealth Capital Limited | December | 31-Mar-23 |
| | | | |

ACTIVE AND NOT SUBMITTED

| S/N | FIRM | Year End | Due Date |
|-----|-------------------------|----------|-----------|
| 1 | Core Securities Limited | December | 31-Mar-23 |
| | | | |

INACTIVE AND NOT SUBMITTED

| S/N | FIRM | Year End | Due Date |
|-----|--------------------------------------------------------|----------|-----------|
| 1 | Adamawa Securities Limited | December | 31-Mar-23 |
| 2 | Adonai Stockbrokers Limited | December | 31-Mar-23 |
| 3 | Abyn Investment Limited | December | 31-Mar-23 |
| 4 | Cashcraft Securities Limited | December | 31-Mar-23 |
| 5 | CEB Securities Limited | December | 31-Mar-23 |
| 6 | Clearview Investments Company Limited | December | 31-Mar-23 |
| 7 | ECL Asset Management Limited | December | 31-Mar-23 |
| 8 | Elixir Securities Limited | December | 31-Mar-23 |
| 9 | First Stockbrokers Limited | December | 31-Mar-23 |
| 10 | GMT Securities and Asset Mangement Limited | December | 31-Mar-23 |
| 11 | Gombe Securities Limited | December | 31-Mar-23 |
| 12 | Horizon Stockbrokers Limited | December | 31-Mar-23 |
| 13 | ITIS Securities Limited | December | 31-Mar-23 |
| 14 | Mayfield Investment Limited | December | 31-Mar-23 |
| 15 | Midpoint Capital Limited | December | 31-Mar-23 |
| 16 | ML Securities Limited | December | 31-Mar-23 |
| 17 | Mutual Alliance Investment and Securities Limited | December | 31-Mar-23 |
| 18 | Nigerian International Securities Ltd | December | 31-Mar-23 |
| 19 | Quantum Securities Limited | December | 31-Mar-23 |
| 20 | Royal Trust Securities Limited | December | 31-Mar-23 |
| 21 | Standard Alliance Capital and Asset Management Limited | December | 31-Mar-23 |
| 22 | Supra Commercial Trust Limited | December | 31-Mar-23 |

Audited Accounts

TRADING LICENSE HOLDERS AND THEIR RENDITION STATUS FOR THE YEAR ENDED 31 DECEMBER 2023
ACTIVE AND SUBMITTED

| S/N | FIRMS | Year End | Due date |
|-----|------------------------------------------------|----------|-----------|
| | | | |
| | | | |
| | | | |
| 1 | Absa Securities Nigeria Limited | December | 30-Mar-24 |
| 2 | Afrinvest Securities Limited | December | 30-Mar-24 |
| 3 | Anchoria Investment and Securities Limited | December | 30-Mar-24 |
| 4 | Apel Asset Limited | December | 30-Mar-24 |
| 5 | Apt Securities and Funds Limited | December | 30-Mar-24 |
| 6 | ARM Securities Limited | December | 30-Mar-24 |
| 7 | Arthur Stevens Asset Management Limited | December | 30-Mar-24 |
| 8 | Associated Asset Managers Limited | December | 30-Mar-24 |
| 9 | Atlass Portfolio Limited | December | 30-Mar-24 |
| 10 | AVA Securities Limited | December | 30-Mar-24 |
| 11 | Bancorp Securities Limited | December | 30-Mar-24 |
| 12 | Bauchi Investment Corp. Sec Limited | December | 30-Mar-24 |
| 13 | Belfry Investment and Securities Limited | December | 30-Mar-24 |
| 14 | Bestworth Assets and Trust Limited | December | 30-Mar-24 |
| 15 | Calyx Securities Limited | December | 30-Mar-24 |
| 16 | Camry Securities Limited | December | 30-Mar-24 |
| 17 | Capital Asset Limited | December | 30-Mar-24 |
| 18 | Capital Express Securities Limited | December | 30-Mar-24 |
| 19 | Capital Trust Brokers Limited | December | 30-Mar-24 |
| 20 | Cardinal Stone Securities Ltd | December | 30-Mar-24 |
| 21 | Cashville Investment and Securities Limited | December | 30-Mar-24 |
| 22 | CDL Capital Markets Limited | December | 30-Mar-24 |
| 23 | Centre Point Investment Limited | December | 30-Mar-24 |
| 24 | Century Securities Limited | December | 30-Mar-24 |
| 25 | Chapel Hill Denham Securities Limited | December | 30-Mar-24 |
| 26 | Chartwell Securities Limited | December | 30-Mar-24 |
| 27 | Citi Investment Capital Limited | December | 30-Mar-24 |
| 28 | City Code Trust and Investment Company Limited | December | 30-Mar-24 |
| 29 | Compass Investment and Securities Limited | December | 30-Mar-24 |
| 30 | Cordros Securities Limited | December | 30-Mar-24 |
| 31 | Coronation Securities Limited | December | 30-Mar-24 |
| 32 | Cowry Securities Limited | December | 30-Mar-24 |
| 33 | Crossworld Securities Limited | December | 30-Mar-24 |
| 34 | Crown Capital Limited | December | 30-Mar-24 |
| 35 | CSL Stockbrokers Limited | December | 30-Mar-24 |
| 36 | Deep Trust Investment Limited | December | 30-Mar-24 |

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| 37 | Delords Securities Limited | December | 30-Mar-24 |
| 38 | DLM Securities Limited | December | 30-Mar-24 |
| 39 | Dominion Trust Limited | December | 30-Mar-24 |
| 40 | DSU Brokerage Services Limited | December | 30-Mar-24 |
| 41 | Dunbell Securities Limited | December | 30-Mar-24 |
| 42 | Dynamic Portfolio Limited | December | 30-Mar-24 |
| 43 | EDC Securities Limited | December | 30-Mar-24 |
| 44 | Edgefield Capital Management Limited | December | 30-Mar-24 |
| 45 | EFG Hermes Nigeria Limited | December | 30-Mar-24 |
| 46 | El-Elyon Alliance and Securities Ltd | December | 30-Mar-24 |
| 47 | Equity Capital Solutions Limited | December | 30-Mar-24 |
| 48 | Eurocomm Securities Limited | December | 30-Mar-24 |
| 49 | Express Portfolio Services Limited | December | 30-Mar-24 |
| 50 | Falcon Securities Limited | December | 30-Mar-24 |
| 51 | FBC Trust and Securities Limited | December | 30-Mar-24 |
| 52 | FBNQuest Securities Limited | December | 30-Mar-24 |
| 53 | FCSL Asset Management Company Limited | December | 30-Mar-24 |
| 54 | Fidelity Finance Company Limited | December | 30-Mar-24 |
| 55 | Financial and Analytics Capital Limited | December | 30-Mar-24 |
| 56 | Financial Trust Company Nigeria Limited | December | 30-Mar-24 |
| 57 | Finmal Finance Services Limited | December | 30-Mar-24 |
| 58 | First Integrated Capital Management Limited | December | 30-Mar-24 |
| 59 | FIS Securities Limited | December | 30-Mar-24 |
| 60 | Foresight Securities and Investment Limited | December | 30-Mar-24 |
| 61 | Forte Financial Limited | December | 30-Mar-24 |
| 62 | Forthright Securities and Investments Limited | December | 30-Mar-24 |
| 63 | Fortress Capital Limited | December | 30-Mar-24 |
| 64 | FSDH Capital Limited | December | 30-Mar-24 |
| 65 | FSL Securities Limited | December | 30-Mar-24 |
| 66 | Funds Matrix and Assets Mgt Limited | December | 30-Mar-24 |
| 67 | Fundvine Capital and Securities Limited | December | 30-Mar-24 |
| 68 | Futureview Securities Limited | December | 30-Mar-24 |
| 69 | GDL Stockbrokers Limited | December | 30-Mar-24 |
| 70 | Gem Assets Management Limited | December | 30-Mar-24 |
| 71 | Gidauniya Investment and Securities Limited | December | 30-Mar-24 |
| 72 | Global Asset Management (Nig) Limited | December | 30-Mar-24 |
| 73 | GlobalView Capital Limited | December | 30-Mar-24 |
| 74 | Golden Securities Limited | December | 30-Mar-24 |
| 75 | Greenwich Securities Limited | December | 30-Mar-24 |
| 76 | Gruene Capital Limited | December | 30-Mar-24 |
| 77 | GTI Securities Limited | December | 30-Mar-24 |
| 78 | Harmony Securities Limited | December | 30-Mar-24 |
| 79 | Heartbeat Investment Limited | December | 30-Mar-24 |
| 80 | Hedge Securities and Investment Limited | December | 30-Mar-24 |
| 81 | Heritage Capital Markets Limited | December | 30-Mar-24 |
| 82 | ICMG Securities Limited | December | 30-Mar-24 |
| 83 | Icon Stockbrokers Limited | December | 30-Mar-24 |
| 84 | Imperial Asset Managers Limited | December | 30-Mar-24 |
| 85 | Integrated Trust and Investment Limited | December | 30-Mar-24 |

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| 86 | Interstate Securities Limited | December | 30-Mar-24 |
| 87 | Investment One Stockbrokers International Ltd | December | 30-Mar-24 |
| 88 | Investors and Trust Co. Ltd | December | 30-Mar-24 |
| 89 | ITIS Securities Limited | December | 30-Mar-24 |
| 90 | Kapital Care Trust and Securities Limited | December | 30-Mar-24 |
| 91 | Kedari Capital Limited | December | 30-Mar-24 |
| 92 | Kinley Securities Limited | December | 30-Mar-24 |
| 93 | Kofana Securities and Investment Limited | December | 30-Mar-24 |
| 94 | Kundila Finance Services Limited | December | 30-Mar-24 |
| 95 | Lambeth Capital Limited | December | 30-Mar-24 |
| 96 | Lead Securities and Investment Limited | December | 30-Mar-24 |
| 97 | Lighthouse Capital Limited | December | 30-Mar-24 |
| 98 | Magnartis Finance and Investment Limited | December | 30-Mar-24 |
| 99 | Mainstreet Bank Securities Limited | December | 30-Mar-24 |
| 100 | Marimpex Finance and Investment Company Limited | December | 30-Mar-24 |
| 101 | MBC Securities Limited | December | 30-Mar-24 |
| 102 | Mega Equities Limited | December | 30-Mar-24 |
| 103 | Meristem Stockbrokers Limited | December | 30-Mar-24 |
| 104 | Midas Stockbrokers Limited | December | 30-Mar-24 |
| 105 | Midpoint Capital Limited | December | 30-Mar-24 |
| 106 | Milestone Capital Management Limited | December | 30-Mar-24 |
| 107 | Mission Securities Limited | December | 30-Mar-24 |
| 108 | Molten Trust Limited | December | 30-Mar-24 |
| 109 | Morgan Capital Securities Limited | December | 30-Mar-24 |
| 110 | Mountain Investment and Securities Limited | December | 30-Mar-24 |
| 111 | Network Capital Limited | December | 30-Mar-24 |
| 112 | Networkth Securities and Finance Limited | December | 30-Mar-24 |
| 113 | Newdevco Investments and Securities Limited | December | 30-Mar-24 |
| 114 | Nigerian Stockbrokers Limited | December | 30-Mar-24 |
| 115 | Norrenberger Securities Limited | December | 30-Mar-24 |
| 116 | Nova Finance and Securities Limited | December | 30-Mar-24 |
| 117 | NOVAMBL Securities Limited | December | 30-Mar-24 |
| 118 | Osborne Capital Markets Limited | December | 30-Mar-24 |
| 119 | PAC Securities Limited | December | 30-Mar-24 |
| 120 | Parthian Securities Limited | December | 30-Mar-24 |
| 121 | Pilot Securities Limited | December | 30-Mar-24 |
| 122 | Pinefields Investment Services Limited | December | 30-Mar-24 |
| 123 | PIPC Securities Limited | December | 30-Mar-24 |
| 124 | Pivot Capital Limited | December | 30-Mar-24 |
| 125 | Planet Capital Limited | December | 30-Mar-24 |
| 126 | Portfolio Advisers Limited | December | 30-Mar-24 |
| 127 | Premium Capital and Stockbrokers Limited | December | 30-Mar-24 |
| 128 | Primewealth Capital Limited | December | 30-Mar-24 |
| 129 | Prominent Securities Limited | December | 30-Mar-24 |
| 130 | PSI Securities Limited | December | 30-Mar-24 |
| 131 | Pyramid Securities Limited | December | 30-Mar-24 |
| 132 | Qualinvest Capital Limited | December | 30-Mar-24 |
| 133 | Quantum Zenith Securities & Investments Limited | December | 30-Mar-24 |
| 134 | Rainbow Securities & Investment Company Limited | December | 30-Mar-24 |

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| 135 | Readings Investment Limited | December | 30-Mar-24 |
| 136 | Regency Asset Management Limited | December | 30-Mar-24 |
| 137 | Rencap Securities (Nig) Limited | December | 30-Mar-24 |
| 138 | Resort Securities and Trust Limited | December | 30-Mar-24 |
| 139 | Reward Investment and Service Limited | December | 30-Mar-24 |
| 140 | RMB Nigeria Stockbrokers Limited | December | 30-Mar-24 |
| 141 | Rostrum Investment and Sec Limited | December | 30-Mar-24 |
| 142 | Rowet Capital Mgt Limited | December | 30-Mar-24 |
| 144 | Royal Guaranty and Trust Limited | December | 30-Mar-24 |
| 145 | Sankore Securities Limited | December | 30-Mar-24 |
| 146 | Santrust Securities Limited | December | 30-Mar-24 |
| 147 | Securities Africa Financial Limited | December | 30-Mar-24 |
| 148 | Securities and Capital Management Company Limited | December | 30-Mar-24 |
| 149 | Security Swaps Limited | December | 30-Mar-24 |
| 143 | Shalom Investment and Financial Services Limited | December | 30-Mar-24 |
| 150 | Shalom Investment and Financial Services Limited | December | 30-Mar-24 |
| 151 | Shelong Investments Limited | December | 30-Mar-24 |
| 152 | Sigma Securities Limited | December | 30-Mar-24 |
| 153 | Signet Investment and Securities Limited | December | 30-Mar-24 |
| 154 | Skyview Capital Ltd | December | 30-Mar-24 |
| 155 | Smadac Securities Limited | December | 30-Mar-24 |
| 156 | Solid Rock Securities and Investment Plc | December | 30-Mar-24 |
| 157 | Spring Trust and Securities Limited | December | 30-Mar-24 |
| 158 | Springboard Trust and Investment Limited | December | 30-Mar-24 |
| 159 | Stanbic IBTC Stockbrokers Limited | December | 30-Mar-24 |
| 160 | Standard Union Securities Limited | December | 30-Mar-24 |
| 161 | StoneX Financial Nigeria Limited | December | 30-Mar-24 |
| 162 | The Bridge Securities Limited | December | 30-Mar-24 |
| 163 | Tiddo Securities Limited | December | 30-Mar-24 |
| 164 | Tomil Trust Limited | December | 30-Mar-24 |
| 165 | Topmost Securities Limited | December | 30-Mar-24 |
| 166 | Tower Securities and Investment Company Limited | December | 30-Mar-24 |
| 167 | Trade Link Securities Limited | December | 30-Mar-24 |
| 168 | Traders Trust and Investment Co. Limited | December | 30-Mar-24 |
| 169 | Transworld Investment Limited | December | 30-Mar-24 |
| 170 | TrustBanc Capital Management Limited | December | 30-Mar-24 |
| 171 | Trusthouse Investment Limited | December | 30-Mar-24 |
| 172 | TRW Stockbrokers Limited | December | 30-Mar-24 |
| 173 | Tyndale Securities Limited | December | 30-Mar-24 |
| 174 | UCML Securities Limited | December | 30-Mar-24 |
| 175 | UIDC Securities Limited | December | 30-Mar-24 |
| 176 | Unex Capital Limited | December | 30-Mar-24 |
| 177 | United Capital Securities Limited | December | 30-Mar-24 |
| 178 | Valmon Securities Limited | December | 30-Mar-24 |
| 179 | Valueline Securities and Investment Limited | December | 30-Mar-24 |
| 180 | Vetiva Securities Limited | December | 30-Mar-24 |
| 181 | WCM Capital Limited | December | 30-Mar-24 |
| 182 | WSTC Securities Limited | December | 30-Mar-24 |
| 183 | Zion Stockbrokers and Securities Limited | December | 30-Mar-24 |

| INACTIVE AND SUBMITTED | | | |
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| S/N | FIRMS | Year End | Due date |
| 1 | Crane Securities Limited | December | 30-Mar-24 |
| 2 | Enterprise Stockbrokers Limited | December | 30-Mar-24 |
| 3 | Investment Shark and Asset Mgt Ltd | December | 30-Mar-24 |
| 4 | Maven Asset Management Limited | December | 30-Mar-24 |
| 5 | Maxifund Investment and Securities Plc | December | 30-Mar-24 |
| 6 | Peace Capital Markets Ltd | December | 30-Mar-24 |
| 7 | Trust Yield Securities Limited | December | 30-Mar-24 |
| ACTIVE AND NOT SUBMITTED | | | |
| S/N | FIRM | Year End | Due Date |
| | | | |
| INACTIVE AND NOT SUBMITTED | | | |
| S/N | FIRM | Year End | Due Date |
| 1 | Adamawa Securities Limited | December | 30-Mar-24 |
| 2 | Adonai Stockbrokers Limited | December | 30-Mar-24 |
| 3 | Amyr Investment Limited | December | 30-Mar-24 |
| 4 | Cashcraft Securities Limited | December | 30-Mar-24 |
| 5 | CEB Securities Limited | December | 30-Mar-24 |
| 6 | Clearview Investments Company Limited | December | 30-Mar-24 |
| 7 | CLG Stockbrokers Limited | December | 30-Mar-24 |
| 8 | Core Securities Limited | December | 30-Mar-24 |
| 9 | ECL Asset Management Limited | December | 30-Mar-24 |
| 10 | Elixir Securities Limited | December | 30-Mar-24 |
| 11 | First Stockbrokers Limited | December | 30-Mar-24 |
| 12 | GMT Securities and Asset Management Limited | December | 30-Mar-24 |
| 13 | Gombe Securities Limited | December | 30-Mar-24 |
| 14 | Horizon Stockbrokers Limited | December | 30-Mar-24 |
| 15 | Mayfield Investment Limited | December | 30-Mar-24 |
| 16 | ML Securities Limited | December | 30-Mar-24 |
| 17 | Mutual Alliance Investment and Securities Limited | December | 30-Mar-24 |
| 18 | Nigerian International Securities Limited | December | 30-Mar-24 |
| 19 | Quantum Securities Limited | December | 30-Mar-24 |
| 20 | Royal Trust Securities Limited | December | 30-Mar-24 |
| 21 | Standard Alliance Capital and Asset Management Limited | December | 30-Mar-24 |
| 22 | Supra Commercial Trust Company Limited | December | 30-Mar-24 |