### FIRMS AND THEIR SUBMISSION STATUS FOR THE QUARTER ENDED 31ST JANUARY 2014

#### ACTIVE AND SUBMITTED

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<th>S/N</th>
<th>FIRMS</th>
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#### INACTIVE AND NOT SUBMITTED

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## FIRMS AND THEIR SUBMISSION STATUS FOR THE QUARTER ENDED 30TH APRIL, 2014

### ACTIVE AND SUBMITTED

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### INACTIVE AND NOT SUBMITTED

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### FIRMS AND THEIR SUBMISSION STATUS FOR THE QUARTER ENDED 31ST JULY, 2014

#### ACTIVE AND SUBMITTED

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#### INACTIVE AND NOT SUBMITTED

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### FIRMS AND THEIR SUBMISSION STATUS FOR THE QUARTER ENDED 31ST AUGUST 2014

#### ACTIVE AND SUBMITTED

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#### INACTIVE AND NOT SUBMITTED

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### Quarterly Returns

**Firms and Their Submission Status for the Quarter Ended 30th September, 2014**

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**Broker TraX**

**FIRMS AND THEIR SUBMISSION STATUS FOR THE QUARTER ENDED 30 JUNE 2015**

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<td>Wala Securities and Funds Limited</td>
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**NEWLY LICENSED FIRMS NOT REQUIRED TO SUBMIT RETURNS**

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**ACTIVE AND NOT SUBMITTED**

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**INACTIVE AND NOT SUBMITTED**

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## Quarterly Returns

**Broker TraX**

**Firms and Their Submission Status for the Quarter Ended 30 June 2016**

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### Newly Licensed Firms Not Required To Submit Returns

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FIRMS AND THEIR SUBMISSION STATUS FOR THE QUARTER ENDED 31 DECEMBER 2016

ACTIVE AND SUBMITTED
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### INACTIVE AND SUBMITTED

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### NEWLY LICENSED FIRMS NOT REQUIRED TO SUBMIT RETURNS

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### INACTIVE AND NOT SUBMITTED

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## FIRMS AND THEIR SUBMISSION STATUS FOR THE QUARTER ENDED 31 MARCH 2017

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<td>Marimpex Finance &amp; Investment Company Limited</td>
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<td>Apt Securities &amp; Funds Limited</td>
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<td>Arthur Stevens Asset Management Limited</td>
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<td>Belfry Investment &amp; Securities Limited</td>
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<td>84</td>
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<td>Icon Stockbrokers Limited</td>
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<td>Imperial Asset Managers Limited</td>
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### FIRMS AND THEIR SUBMISSION STATUS FOR THE QUARTER ENDED 31 MARCH 2020

**ACTIVE AND SUBMITTED**

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# Quarterly Returns

**FIRMS AND THEIR SUBMISSION STATUS FOR THE QUARTER ENDED 30 JUNE 2020**

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## FIRMS AND THEIR SUBMISSION STATUS FOR THE QUARTER ENDED 30 SEPTEMBER 2020

### ACTIVE AND SUBMITTED

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**INACTIVE AND SUBMITTED**

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**ACTIVE AND NOT SUBMITTED**

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**INACTIVE AND NOT SUBMITTED**

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## FIRMS AND THEIR SUBMISSION STATUS FOR THE QUARTER ENDED 30 JUNE 2021

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### ACTIVE AND NOT SUBMITTED

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### INACTIVE AND NOT SUBMITTED

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## FIRMS AND THEIR SUBMISSION STATUS FOR THE QUARTER ENDED 31 DECEMBER 2021

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## FIRMS AND THEIR SUBMISSION STATUS FOR THE QUARTER ENDED 31 MARCH 2022

### ACTIVE AND SUBMITTED

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**INACTIVE AND SUBMITTED**

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### FIRMS AND THEIR SUBMISSION STATUS FOR THE QUARTER ENDED SEPTEMBER 2023

#### ACTIVE AND SUBMITTED

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