



Blacklisted Dealing Clerks and Other Approved Persons

Broker TraX

| S/No | BROKER | DESIGNATION | DETAILS | DATE |
|------|---------------------------|--|--|-----------|
| 1 | Mr. Kingsley Nnaji | Authorized Clerk, TFS Securities & Investment Co. Limited | Has been blacklisted by The Exchange for unprofessional misconduct. | May-12 |
| 2 | Mr Kayode Awotile | Managing Director, Lakesworth Securities Limited | Has been blacklisted by The Exchange for unauthorised transfers and sales of clients shares. | 26-Feb-14 |
| 3 | Mr Akinwale Olagundoye | Authorized Clerk, (Colvia Securities Limited) | His membership with The Chartered Institute of Stockbrokers (CIS) has been withdrawn. | 28-Mar-14 |
| 4 | Mr. Agomuo Chidi Solomon | Authorized Clerk, Resort Securities & Trust Limited | Has been blacklisted by The Exchange for Share price/market manipulation | 30-Sep-15 |
| 5 | Alhaji Maina Muninga | Managing Director of Adamawa Securities Limited from 2002 to 2010 and Managing Director of Newdevco from 2010- 2011. | Has been blacklisted by The Exchange for unauthorised sales of clients shares. | 28-Jan-16 |
| 6 | Mr. John Nsofor | Managing Director, Giljohn Investment Limited | Has been blacklisted by The Exchange for unauthorised sales of clients shares | 28-Jan-16 |
| 7 | Mr. Oye Oyefeso | Managing Director, Cadington Securities Limited | Has been blacklisted by The Exchange for unauthorised sales of clients shares. | 28-Jan-16 |
| 8 | Mr Ayokunle Oyedeji | Managing Director (Branch), Express Portfolio Services Limited | Has been blacklisted by The Exchange for unauthorised sales of clients shares. | 31-Mar-16 |
| 9 | Mr. Abioye Eluwole | Managing Director, Bytofel Securities and Investment Limited | Has been blacklisted by The Exchange for unauthorised sales of clients shares | 31-Mar-16 |
| 10 | Mr. Gregory Otsu | Managing Director, Mact Securities Limited | Has been blacklisted by The Exchange for unauthorised sales of clients shares. | 31-Mar-16 |
| 11 | Mr. Albert Okumagba | Chairman, BGL Securities Limited | He was banned by the Securities and Exchange Commission from all capital market activities for life effective January 2017. | 30-Jan-17 |
| 12 | Mr. Chibundu N. Edozie | Director, BGL Securities Limited | He was banned by the Securities and Exchange Commission from all capital market activities for life effective January 2017. | 30-Jan-17 |
| 13 | Mr. Adebola Peter | Managing Director, BGL Securities Limited | He was banned by the Securities and Exchange Commission from all capital market activities for 5 years effective May 2016. | 25-May-16 |
| 14 | Mr. Tajudeen Folaji | Managing Director, First Alstate Securities Limited | Has been blacklisted by The Exchange for unauthorised transfers and sales of clients shares. His name has also been removed from the membership register of the Chartered Institute of Stockbrokers (CIS). | 28-Oct-16 |
| 15 | Mr. Ichie Mike Ejezie | Managing Director, Gosord Securities Limited | Has been blacklisted by The Exchange for unauthorised transfers and sales of clients shares. | 28-Oct-16 |
| 16 | Mr. Segun Adebayo Adams | Authorized Clerk, Fittco Securities Limited | Has been blacklisted by The Exchange for unauthorised transfers and sales of clients shares. | 28-Oct-16 |
| 17 | Ekwy Adinuba | Authorized Clerk, Gosord Securities Limited | Has been blacklisted by The Exchange for unauthorised sales of clients shares. | 30-Mar-17 |
| 18 | Mr. Victor Ogiemwonyi | Chairman, Partnership Securities Limited | He has been banned for life from engaging in capital market activities and from holding directorship position in any public company in Nigeria by the Securities & Exchange Commission (SEC). | 13-Sep-17 |
| 19 | Mr. Victor Ogiemwonyi | Chairman, Partnership Securities Limited | Has been blacklisted by The Exchange for misappropriation of clients funds. | 25-Jan-18 |
| 20 | Mr Joel Okafor | Managing Director, Securities Solution Limited | Has been blacklisted by The Exchange for unauthorised sales of clients shares. | 25-Jan-18 |
| 21 | Mrs Onwordi, Ladi Barbara | Managing Director, Lion Stockbrokers Limited | Has been blacklisted by The Exchange for unauthorised sales of clients shares. | 25-Jan-18 |

| OTHER APPROVED PERSONS BLACKLISTED | | | |
|------------------------------------|---------------------------------|--|--|
| S/No | NAME | | DATE |
| 1 | Mr. Olorunfemi Ayorinde | Accountant | Has been blacklisted by The Exchange for unauthorized transfer and sales of clients' shares. 28-Oct-16 |
| 2 | Mr Henry Omoragbon | Chairman, Partnership Investment Company Plc | He has been suspended by the Securities & Exchange Commission (SEC) for a period of five (5) years from engaging in capital market activities in Nigeria. 13-Sep-17 |
| 3 | Mr. Ojetunde Taiwo | Director, Partnership Investment Company Plc | He has been suspended by the Securities & Exchange Commission (SEC) for a period of five (5) years from engaging in capital market activities and banned from holding directorship positions in any public company in Nigeria. 13-Sep-17 |
| 4 | Mrs. Ogiemwonyi Olufunke | Director, Partnership Investment Company Plc | She has been suspended by the Securities & Exchange Commission (SEC) for a period of five (5) years from engaging in capital market activities and banned from holding directorship positions in any public company in Nigeria. 13-Sep-17 |
| 5 | Mrs. Arese Ugwu | Director, Partnership Investment Company Plc | She has been suspended by the Securities & Exchange Commission (SEC) for a period of five (5) years from engaging in capital market activities and banned from holding directorship positions in any public company in Nigeria. 13-Sep-17 |
| 6 | Mr Fisayo Ibrahim Jassey-Jabarr | Chief Compliance Officer, Partnership Securities Limited | He has been suspended by The Exchange for a period of 5 years and cannot be employed in any capacity, appointed a Director or have shareholdings of 5% and above in any Dealing Member Firm or their sub-broker. 25-Jan-18 |
| 7 | Mr Adeusi Aladejola Alexander | Managing Director, Partnership Securities Limited | He has been suspended by the Securities & Exchange Commission (SEC) for a period of five (5) years from engaging in capital market activities and banned from holding directorship positions in any public company in Nigeria. 13-Sep-17 |
| 8 | Mr. Frank Ogamien | Director, Partnership Investment Company Plc | He has been suspended by the Securities & Exchange Commission (SEC) for a period of five (5) years from engaging in capital market activities and banned from holding directorship positions in any public company in Nigeria. 13-Sep-17 |

*Key Note: Blacklisting means a situation where The Exchange puts the name of a Dealing Member on a list of persons who are denied privileges, services, access, recognition or are boycotted or punished