

Broker TraX

Unauthorized sale of investors' shares and misappropriation of investors' funds

DEALING MEMBER FIRMS/INDIVIDUALS INVOLVED IN UNAUTHORIZED SALE OF INVESTORS' SHARES AND MISAPPROPRIATION OF INVESTORS' FUNDS BETWEEN JANUARY 2012 - 24 JULY 2017

SAMINATE SECURITIES LIMITED STATUS OF COMPLAINT		FIRMS					
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	23	Mountain Investments and Securities Ltd	The Firm restituted the investor.	Resolved			
25 Nova Finance & Securites Limited The Firm restituted the investors. Resolved	24	Mutual Alliance Investments & Securities Limited	The restitution of investors shares is ongoing.	Unresolved			
	25	Nova Finance &Securites Limited	The Firm restituted the investors.	Resolved			

26	Omas Investment and Trust Limited	The Firm was suspended on 31st December, 2010 and is going through The Exchange's disciplinary process.	Unresolved
		going through the exchange 3 disciplinary process.	
27	Partnership Securities Limited	The firm was suspended on 18 October 2016 in line with	Unresolved
		Rule 11.10: Misappropriation of Funds, Rule Book of The	
		Exchange, 2015 (Dealing Members' Rules).	
28	Prime Wealth Capital Limited	The Firm restituted the investor.	Resolved
29	Royal Crest Securities Limited	The firm was suspended on 6 March 2017 for failure to	Unresolved
		resolve investor's complaint (in line with the SEC	
		Complaints Management Framework) on alleged	i
		unauthorized sales of shares.	
30	Securities Solutions Limited	The Firm is suspended and is before the Disciplinary	/ Unresolved
		Committee of Council of The Exchange.	
31	UBA Securities Limited	The firm was sanctioned in line with NSE Policy 01 or	Resolved
		unathorised sale of shares. The investor has also beer	n
		restituted.	
32	WT Securities Limited	The Firm was suspended on 31st of October, 2011 and is	Unresolved
		going through The Exchange's disciplinary process.	
33	Woodland Capital Markets Plc	The firm was suspended on the 20th March 2015 for	Resolved
		failure to pay a penalty due to The Securities & Exchange	:
		Commission (SEC) for the unauthorized sales of clients	
		shares.	

INDIVIDUALS						
S/N	BROKER	ENFORCEMENT ACTION	STATUS OF COMPLAINT			
1	Mr. Kingsley Nnaji	Has been blacklisted by The Exchange for misconduct	Resolved			
2	Mr. Joel Okafor	He has been refered to the Disciplinary Committee of Cou	Unresolved			
3	Mr. George Nchedo Okafor	Investigation is ongoing (by SEC)	Unresolved			
4	Mr. Samuel Adebanjo	Has been blacklisted by The Exchange for misconduct	Resolved			
5	Maina Muniga	Revocation of registration as an Authorized clerk	Resolved			
6	Mr. John Nsofor (Giljohn Investment Limited)	Revocation of registration as an Authorized clerk	Unresolved			
7	Mr. Ayokunle Oyedeji	Revocation of registration as an Authorized clerk	Resolved			