



**"OTHER" REGULATORY SANCTIONS**

S/N	DEALING MEMBER FIRM	ARTICLE BREACHED/INFRACTIONS	AMOUNT PAID/ACTION TAKEN	DATE
<b>2013</b>				
1	Mayfield Investment Limited	Article 156	100,000.00	4-Feb-13
2	Primewealth Capital Limited	Article 156	100,000.00	14-Mar-13
3	Perfecta Investment Trust Limited	Policy No 01 Section 6(a) & Article 15c	500,000.00	14-Mar-13
4	Afribank Securities Limited	Article 156	100,000.00	4-Apr-13
5	Diamond Securities Limited	Article 156	100,000.00	10-Apr-13
6	Best Link Invsts Limited	Policy No 01 Section 5(a) & Article 13	500,000.00	23-Apr-13
7	PAC Securities Limited	Article 155	100,000.00	30-Apr-13
8	FBN Securities Limited	Article 156	100,000.00	21-May-13
9	Harmony Securities Limited	Article 156	100,000.00	31-May-13
10	PIPC Securities Limited	Article 155	100,000.00	31-May-13
11	Redasel Investment Limited	Article 155	100,000.00	5-Jun-13
12	Fidelity Finance Co. Ltd.	Article 155	100,000.00	14-Aug-13
13	Morgan Capital Securities Ltd.	Article 156	100,000.00	23-Oct-13
14	Camry Securities Ltd.	Article 144	100,000.00	24-Oct-13
15	WSTC Financial Services Ltd.	Articles 7 & 156	100,000.00	13-Nov-13
16	Bytofel Trust Securities Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	22-Nov-13
17	Associated Asset Managers Ltd.	Article 156	100,000.00	11-Dec-13
18	Standard Alliance Capital & Asset Management Ltd	Articles 7 & 155	200,000.00	20-Dec-13
19	Yobe Investment & Securities Ltd.	Article 156	100,000.00	20-Dec-13
20	EDC Securities Limited	Article 7 & 156	100,000.00	30-Dec-13
<b>2014</b>				
1	First Stockbrokers Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	6-Jan-14
2	ITIS Securities Limited	Policy No 01 Section 5(a) & Article 13	500,000.00	8-Jan-14
3	FutureView Securities Limited	Policy No 01 Section 5(a) & Article 13	500,000.00	13-Jan-14
4	Pine field Investment Services Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	16-Jan-14
5	Allbond Investment Limited Limited	Policy No 01 Section 5(a) & Article 13	500,000.00	17-Jan-14
6	Magnartis Finance & investment Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	17-Jan-14
7	Securities & Capital Management Company Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	17-Jan-14
8	Anchorage Securities & Finance Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	17-Jan-14
9	Camry Securities Limited	Policy No 01 Section 5(a) & Article 13	500,000.00	17-Jan-14
10	Dunn Loren Merrifeld Securities Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	17-Jan-14
11	ECL Asset Management Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	20-Jan-14
12	Heritage Capital Markets Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	20-Jan-14
13	Centre Point Investment Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	21-Jan-14

14	Mact Securities Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	22-Jan-14
15	Dependable Sec Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	7-Feb-14
16	Marriot Sec & Invst Coy Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	7-Feb-14
17	DEEP TRUST & INVESTMENT LIMITED	Policy No 01 Section 5(a) & Article 13	500,000.00	7-Feb-14
18	Midas Stockbrokers Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	7-Feb-14
19	Mercov Securities Ltd	Policy No 01 Section 5(a) & Article 13	500,000 & suspension	11-Feb-14
20	Crane Securities Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	12-Feb-14
21	CITI INVESTMENT CAPITAL LIMITED	Policy No 01 Section 5(a) & Article 13	500,000.00	19-Feb-14
22	Core Trust Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	20-Feb-14
23	Kundila Fin Services Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	25-Feb-14
24	Mutual Alliance Invst & Sec Ltd	Unauthorised transactions	100,000.00	26-Feb-14
25	Meristem Securities Limited	Violation of Article 110 and Trading password violation	Suspension	27-Feb-14
26	Compass Investments & Securities Ltd	Trading password violation	Suspension	27-Feb-14
27	Capital Trust Brokers Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	28-Feb-14
28	Standard Union Sec Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	28-Feb-14
29	Waila Securities & Funds Limited	Policy No 01 Section 5(a) & Article 13	500,000.00	28-Feb-14
30	Express Portfolio Services Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	28-Feb-14
31	Investment Shark Asset Mgmt Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	3-Mar-14
32	Trade Link Sec Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	6-Mar-14
33	Reward Invst & Services Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	12-Mar-14
34	Capital Asset Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	14-Mar-14
35	Investment Centre Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	24-Mar-14
36	Calyx Securities Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	24-Mar-14
37	PIPC Securities Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	24-Mar-14
38	Cowry Sec Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	25-Mar-14
39	Apel Asset Ltd	Policy No 01 Section 5(a) & Article 13	500,000	26-Mar-14
40	Spring Trust Securities Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	27-Mar-14
41	Enterprise Stockbrokers Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	28-Mar-14
42	Dominion Trust Ltd	Policy No 01 Section 5(a) & Article 13	500,000	28-Mar-14
43	City Code Investment &	Policy No 01 Section 5(a) & Article 13	500,000	31-Mar-14
44	Long Term Global Capital Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	4-Apr-14
45	Integrated Trust Ltd	Policy No 01 Section 5(a) & Article 13	500,000	9-Apr-14
46	Mutual Alliance Invst & Sec Ltd	Article 102	500,000	28-Apr-14
47	UBA Securities Limited	Policy No 01 Section 1 & 143(b)	1,000,000	6-May-14
48	MBL Securities Limited	Article 155	100,000	13-May-14
49	PML Securities Company Limited	Policy No 01 Section 6(a) & Article 155	600,000	4-Jun-14
50	Camry Securities Limited	Article 156	100,000	9-Jun-14
51	Apel Assets and Trust Limited	Overtrading	Suspension	30-Jul-14
52	Express Discount Assets management Limited	Overtrading	Suspension	30-Jul-14
53	First Alstate Securities Limited	Overtrading	Suspension	30-Jul-14
54	First Integrated Capital Management Limited	Overtrading	Suspension	30-Jul-14
55	Summa Guaranty & Trust Company Limited	Overtrading	Suspension	30-Jul-14
56	FBC Trust & Securities Limited	Article 156	100,000	10-Sep-14
57	Mact Securities Ltd	Absence of MD/CEO from inspection	100,000	24-Sep-14
58	Cadington Securities Limited	Policy No 01 Section 5(a) & Article 13	500,000	24-Sep-14
59	Vetiva Securities Limited	Item 12, Amendments and Additions Part III	Caution	28-Oct-14
60	Rencap Securities (Nig.) Limited	Item 12, Amendments and Additions Part III	Caution	11-Nov-14

61	ECL Asset Management Ltd	Policy No 01 Section 5(a) & Article 13	500,000	14-Nov-14
62	Crane Securities Ltd	Policy No 01 Section 5(a) & Article 13	500,000	14-Nov-14
63	Mainland Trust Limited	Policy No 01 Section 5(a) & Article 13	500,000	19-Nov-14
64	Marimpex Finance & Investment Company Ltd	Policy No 01 Section 5(a) & Article 13	500,000	19-Nov-14
65	Royal Guaranty Trust Limited	Policy No 01 Section 5(a) & Article 13	500,000	19-Nov-14
66	CSL Stockbrokers Limited	Item 12, Amendments and Additions Part III	Caution	20-Nov-14
67	Magnartis Finance & investment Ltd	Policy No 01 Section 5(a) & Article 13	500,000	20-Nov-14

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1	Cadington Securities Limited	Policy No 01 Section 5(a) & Article 13	Suspension	5-Jan-15
2	Enterprise Stockbrokers Plc.	Policy No 01 Section 5(a) & Article 13	500,000	8-Jan-15
3	Spring Trust & Securities Limited	Policy No 01 Section 5(a) & Article 13	500,000	8-Jan-15
4	Capital Bancorp Plc.	Policy No 01 Section 5(a) & Article 13	500,000	12-Jan-15
5	Magnartis Finance & investment Ltd	Policy No 01 Section 5(a) & Article 13	500,000	14-Jan-15
6	Primewealth Capital Limited	Policy No 01 Section 5(a) & Article 13	500,000	14-Jan-15
7	Perfecta Investment & Trust Ltd	Article 12	Suspension	19-Jan-15
8	Global View Consult & investment Ltd	Article 12	Suspension	19-Jan-15
9	Fidelity Securities Limited	Article 12	Suspension	19-Jan-15
10	Dependable Securities Ltd	Article 12	Suspension	19-Jan-15
11	Molten Trust Ltd	Article 12	Suspension	19-Jan-15
12	Yobe Invest. Co. Ltd	Article 12	Suspension	19-Jan-15
13	Alangrange Securities Limited	Article 12	Suspension	19-Jan-15
14	DBSL Securities Ltd	Article 12	Suspension	19-Jan-15
15	FIS Securities Ltd	Article 12	Suspension	19-Jan-15
16	Heartbeat Investment Ltd	Article 12	Suspension	19-Jan-15
17	Maxifund Investment & Sec. Ltd	Article 12	Suspension	19-Jan-15
18	Milestone Capital Management Ltd	Article 12	Suspension	19-Jan-15
19	Mission Securities Ltd	Article 12	Suspension	19-Jan-15
20	Rostrum Invest & sec Ltd	Article 12	Suspension	19-Jan-15
21	Rowet Capital Management Ltd	Article 12	Suspension	19-Jan-15
22	Compass Investment & Sec Ltd	Article 12	Suspension	19-Jan-15
23	Deep Trust & Investment Ltd	Article 12	Suspension	19-Jan-15
24	Quantum Securities Ltd	Article 12	Suspension	19-Jan-15
25	Woodland Capital Markets Plc	Article 12	Suspension	19-Jan-15
26	Kapital Care Trust & Securities Ltd	Article 12	Suspension	19-Jan-15
27	Investment Shark & Asset Management Ltd	Article 12	Suspension	19-Jan-15
28	Primewealth Capital Limited	Article 12	Suspension	19-Jan-15
29	Belfry Investments & Securities Limited	Article 12	Suspension	19-Jan-15
30	Cashville Investments & Securities Limited	Article 12	Suspension	19-Jan-15
31	Altrade Securities Ltd	Article 12	Suspension	19-Jan-15
32	Emi Capital Resources Ltd	Article 12	Suspension	19-Jan-15
33	Options Securities Ltd	Article 12	Suspension	19-Jan-15
34	De-Lords Securities Ltd	Article 12	Suspension	19-Jan-15
35	Enterprise Stockbrokers Plc	Article 12	Suspension	19-Jan-15
36	Financial Trust Co. Ltd	Article 12	Suspension	19-Jan-15
37	Transworld Investment & Securities Limited	Article 12	Suspension	19-Jan-15
38	Crane Securities Ltd	Article 12	Suspension	19-Jan-15

39	Yuderb Investment & Securities	Article 12	Suspension	19-Jan-15
40	Covenant Securities & Asset Management Ltd	Article 12	Suspension	19-Jan-15
41	Bauchi Investment Corporation Securities Limited	Article 12	Suspension	19-Jan-15
42	CEB Securities Limited	Article 12	Suspension	19-Jan-15
43	Midpoint Capital Limited	Article 12	Suspension	19-Jan-15
44	Aims Asset Management Limited	Article 12	Suspension	19-Jan-15
45	Arian Capital Management Limited	Article 12	Suspension	19-Jan-15
46	First Alstate Securities Ltd	Article 12	Suspension	19-Jan-15
47	Fittco Securities Ltd	Article 12	Suspension	19-Jan-15
48	LB Securities Ltd	Article 12	Suspension	19-Jan-15
49	LMB Stockbrokers Ltd	Article 12	Suspension	19-Jan-15
50	Profund Securities Ltd	Article 12	Suspension	19-Jan-15
51	Waila Securities & Fund Ltd	Article 12	Suspension	19-Jan-15
52	Bytofel Trust & Securities Ltd	Article 12	Suspension	19-Jan-15
53	Falcon Securities Ltd	Article 12	Suspension	19-Jan-15
54	International Standard Securities Ltd	Article 12	Suspension	19-Jan-15
55	Mainstreet Bank Securities Limited	Article 12	Suspension	19-Jan-15
56	ITIS Securities Ltd	Article 12	Suspension	19-Jan-15
57	Mact Securities Ltd	Article 12	Suspension	19-Jan-15
58	Summa Guaranty & Trust Co. Ltd	Article 12	Suspension	19-Jan-15
59	Gombe Securities Ltd	Article 12	Suspension	19-Jan-15
60	Wize Trade Capital & Asset Mgt Ltd	Article 12	Suspension	19-Jan-15
61	Allbond Investment Limited & Trust	Article 12	Suspension	19-Jan-15
62	SURPORT SERVICES LTD	Article 12	Suspension	19-Jan-15
63	Omas Invest. & Trust Co. Ltd	Article 12	Suspension	19-Jan-15
64	Consolidated Investment Ltd	Article 12	Suspension	19-Jan-15
65	Dakal Services LTD	Article 12	Suspension	19-Jan-15
66	Zuma Securities Limited	Article 12	Suspension	19-Jan-15
67	Davandy Finance & Securities	Article 12	Suspension	19-Jan-15
68	WT Securities Ltd	Article 12	Suspension	19-Jan-15
69	Peninsula Asset & Invest Co.	Article 12	Suspension	19-Jan-15
70	MANINVEST ASSET MANAGEMENT LTD	Article 12	Suspension	19-Jan-15
71	Lion Stockbrokers Ltd	Article 12	Suspension	19-Jan-15
72	Professional Stockbrokers Ltd	Article 12	Suspension	19-Jan-15
73	De-Canon Investment Ltd	Article 12	Suspension	19-Jan-15
74	Empire Securities Ltd	Article 12	Suspension	19-Jan-15
75	Securities Solutions Ltd	Article 12	Suspension	19-Jan-15
76	Prudential Securities Ltd	Article 12	Suspension	19-Jan-15
77	Securities Trading & Investment	Article 12	Suspension	19-Jan-15
78	Northbridge Investment & Trust	Article 12	Suspension	19-Jan-15
79	Platinum Capital Ltd	Article 12	Suspension	19-Jan-15
80	FinBank Securities and Assets Management Limited	Inadequate Shareholders Funds	Suspension	16-Feb-15
81	Cadington Securities Limited	This firm is currently operating below the minimum capital requirement for Broker Dealers.	Suspension	19-Feb-15
82	CSL Stockbrokers Limited	Article 156	100,000	9-Mar-15

83	Northbridge Investment & Trust Ltd	The is a directive from The Securities & Exchange Commission (SEC) to suspend the firm for operating below the minimum paid up capital permissible.	Suspension	16-Mar-15
84	Profund Securities Limited	The is a directive from The Securities & Exchange Commission (SEC) to suspend the firm for operating below the minimum paid up capital permissible.	Suspension	16-Mar-15
85	PIPC SECURITIES LIMITED	Article 156	100,000	20-Mar-15
86	PML Securities Company Limited	Policy 01NSE Section 6(a)- Appointment of Compliance Officer	Suspension	20-Mar-15
87	Mainstreet Bank securities limited	The firms has failed to pay the penalty due for late submission of the monthly transaction report	Suspension	30-Mar-15
88	Rainbow securities limited	The firms has failed to pay the penalty due for late submission of the monthly transaction report	Suspension	30-Mar-15
89	Cashville Investments & Securities Limited	Policy No 01 Section 6(a) & Article 15c	Suspension	13-Apr-15
90	Cadington Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
91	DBSL Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
92	Emi Capital Resources Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
93	Finbank Securities & Assets Management Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
94	Funds Matrix & Assets Mgt Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
95	International Standard Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
96	Summa Guaranty & Trust Company Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
97	Aims Asset Management Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
98	Allbond Investment Limited Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
99	Arian Capital Management Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
100	Bytofel Trust & Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
101	CEB Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
102	Consolidated Investment Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
103	Dakal Services Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
104	Davandy Finance & Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15

105	Decanon Investment Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
106	Empire Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
107	Falcon Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
108	First Alstate Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
109	Fittco Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
110	Gombe Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
111	HIP Asset Management Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
112	ITIS Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
113	LB Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
114	Lion Stockbrokers Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
115	LMB Stockbrokers Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
116	Mact Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
117	Maninvest Asset Management Plc	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
118	Maven Asset Management Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
119	Metropolitan Trust Nigeria Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
120	Midpoint Capital Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
121	ML Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
122	Monument Sec & Finance Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
123	Northbridge Investment & Trust Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
124	Omas Investment & Trust Company Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
125	Peninsula Asset Management & Investment Company Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
126	Platinum Capital Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15

127	PML Securities & Company Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
128	Professional Stockbrokers Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
129	Profund Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
130	Prudential Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
131	Regency Finance Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
132	Securities Solutions Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
133	Securities Trading & Investments Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
134	Shalom Investment & Financial Services Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
135	Supra Commercial Trust Company Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
136	Surport Services Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
137	Vision Trust & Investment Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
138	Waila Securities and Funds Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
139	Wema Asset Management Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
140	WizeTrade Capital & Asset Management Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
141	WT Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
142	Zuma Securities Limited	Failure to submit their Minimum Operating Standard (MOS) Compliance Report after the due date.	Suspension	16-Apr-15
143	Crane Securities Limited	Failure to respond to spot check report, Non appointment of compliance officer and non payment of penalty issued	Suspension	16-Apr-15
144	TFS Securities & Investment Co. Ltd	Article 156	100,000	20-Apr-15
145	Delords Securities Limited	Article 12	Suspension	5-May-15
146	Emi Capital Resources Limited	Article 12	Suspension	5-May-15
147	Financial Trust Company Limited	Article 12	Suspension	5-May-15
148	Shelong Investments Limited	Article 12	Suspension	5-May-15
149	Aims Asset Management Limited	Article 12	Suspension	5-May-15
150	Allbond Investment Limited Limited	Article 12	Suspension	5-May-15
151	Arian Capital Management Limited	Article 12	Suspension	5-May-15
152	Bytofel Trust & Securities Limited	Article 12	Suspension	5-May-15
153	CEB Securities Limited	Article 12	Suspension	5-May-15
154	Consolidated Investment Limited	Article 12	Suspension	5-May-15
155	Dakal Services Limited	Article 12	Suspension	5-May-15

156	Davandy Finance & Securities Limited	Article 12	Suspension	5-May-15
157	Decanon Investment Limited	Article 12	Suspension	5-May-15
158	Empire Securities Limited	Article 12	Suspension	5-May-15
159	Falcon Securities Limited	Article 12	Suspension	5-May-15
160	First Alstate Securities Limited	Article 12	Suspension	5-May-15
161	Fittco Securities Limited	Article 12	Suspension	5-May-15
162	Gombe Securities Limited	Article 12	Suspension	5-May-15
163	ITIS Securities Limited	Article 12	Suspension	5-May-15
164	LB Securities Limited	Article 12	Suspension	5-May-15
165	Lion Stockbrokers Limited	Article 12	Suspension	5-May-15
166	LMB Stockbrokers Limited	Article 12	Suspension	5-May-15
167	Mact Securities Limited	Article 12	Suspension	5-May-15
168	Maninvest Asset Management Plc	Article 12	Suspension	5-May-15
169	Maven Asset Management Limited	Article 12	Suspension	5-May-15
170	Metropolitan Trust Nigeria Limited	Article 12	Suspension	5-May-15
171	Midpoint Capital Limited	Article 12	Suspension	5-May-15
172	ML Securities Limited	Article 12	Suspension	5-May-15
173	Monument Sec & Finance Limited	Article 12	Suspension	5-May-15
174	Northbridge Investment & Trust Limited	Article 12	Suspension	5-May-15
175	Omas Investment & Trust Company Limited	Article 12	Suspension	5-May-15
176	Peninsula Asset Management & Investment Co. Ltd	Article 12	Suspension	5-May-15
177	Platinum Capital Limited	Article 12	Suspension	5-May-15
178	PML Securities & Company Limited	Article 12	Suspension	5-May-15
179	Professional Stockbrokers Limited	Article 12	Suspension	5-May-15
180	Profund Securities Limited	Article 12	Suspension	5-May-15
181	Prudential Securities Limited	Article 12	Suspension	5-May-15
182	Regency Finance Limited	Article 12	Suspension	5-May-15
183	Securities Solutions Limited	Article 12	Suspension	5-May-15
184	Securities Trading & Investments Limited	Article 12	Suspension	5-May-15
185	Shalom Investment & Financial Services Limited	Article 12	Suspension	5-May-15
186	Supra Commercial Trust Company Limited	Article 12	Suspension	5-May-15
187	Surport Services Limited	Article 12	Suspension	5-May-15
188	Vision Trust & Investment Limited	Article 12	Suspension	5-May-15
189	Waila Securities and Funds Limited	Article 12	Suspension	5-May-15
190	WizeTrade Capital & Asset Management Limited	Article 12	Suspension	5-May-15
191	WT Securities Limited	Article 12	Suspension	5-May-15
192	Zuma Securities Limited	Article 12	Suspension	5-May-15
193	Bestlink Investment Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
194	Crane Securities Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
195	GMT Securities & Asset Mangement Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
196	Mainstreet Bank Securities Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
197	Shelong Investments Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
198	Stanwal Securities Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
199	Emi Capital Resources Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
200	Aims Asset Management Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
201	Allbond Investment Limited Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
202	Arian Capital Management Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
203	Bytofel Trust & Securities Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15



204	CEB Securities Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
205	Consolidated Investment Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
206	Dakal Services Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
207	Davandy Finance & Securities Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
208	Decanon Investment Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
209	Empire Securities Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
210	Falcon Securities Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
211	First Alstate Securities Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
212	Fittco Securities Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
213	LB Securities Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
214	Lion Stockbrokers Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
215	LMB Stockbrokers Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
216	Mact Securities Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
217	Maninvest Asset Management Plc	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
218	Metropolitan Trust Nigeria Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
219	Midpoint Capital Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
220	ML Securities Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
221	Monument Sec & Finance Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
222	Northbridge Investment & Trust Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
223	Omas Investment & Trust Company Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
224	Peninsula Asset Management & Investment Co. Ltd	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
225	Platinum Capital Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
226	Professional Stockbrokers Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
227	Profund Securities Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
228	Prudential Securities Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
229	Regency Finance Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
230	Securities Solutions Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
231	Securities Trading & Investments Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
232	Shalom Investment & Financial Services Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
233	Surport Services Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
234	Waila Securities and Funds Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
235	WizeTrade Capital & Asset Management Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
236	WT Securities Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
237	Zuma Securities Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
238	Finbank Securities Limited	Failure to pay the penalty for the late submission of the Audited financial statement6 for year ended 31 Dec 2014	Suspension	8-May-15
239	Investment Shark & Asset Mngt Limited	The firm failed to pay the penalty for breaching Article 110, 144c & 165 2c	Suspension	18-May-15
240	BGL Securities Limited	A directive from The SEC to suspend the Firm, its Directors and sponsored individuals from all Capital Market activities.	Suspension	20-May-15
241	Vetiva Securities Limited	Article 100 (d) (2)	Caution	22-May-15
242	Adamawa Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
243	Bauchi Investment Corp. Sec Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
244	Bestlink Investment Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
245	Cadington Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
246	Cradle Trust Finance & Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
247	Delords Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
248	Funds Matrix & Assets Mgt Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
249	Kofana Securities & Investment Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15

250	Shelong Investments Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
251	Stanwal Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
252	Yuderb Investment & Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
253	Aims Asset Management Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
254	Allbond Investment Limited Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
255	Bytofel Trust & Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
256	CEB Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
257	Consolidated Investment Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
258	Dakal Services Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
259	Davandy Finance & Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
260	Decanon Investment Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
261	Empire Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
262	First Alstate Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
263	Fittco Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
264	Gombe Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
265	Kakawa Asset Management Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
266	LB Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
267	Lion Stockbrokers Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
268	LMB Stockbrokers Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
269	Mact Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
270	Maninvest Asset Management Plc	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
271	Maven Asset Management Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
272	Metropolitan Trust Nigeria Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
273	Midpoint Capital Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
274	ML Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
275	Monument Sec & Finance Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
276	Omas Investment & Trust Company Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
277	Peninsula Asset Management & Investment Co. Ltd	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
278	Platinum Capital Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
279	Professional Stockbrokers Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
280	Profund Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
281	Prudential Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
282	Regency Finance Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
283	Securities Solutions Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
284	Securities Trading & Investments Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
285	Shalom Investment & Financial Services Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
286	Surport Services Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
287	Waila Securities and Funds Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
288	WizeTrade Capital & Asset Management Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
289	WT Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
290	Zuma Securities Limited	Policy No 01 Section 7(a) & Article 15h	Suspension	22-May-15
291	GMT Securities & Asset Management Limited	Overtrading	Suspension	11-Jun-15
292	Diamond Securities Limited	Article 155	100,000	17-Jun-15
293	Aims Asset Management Limited	Article 155	100,000	17-Jun-15
294	Capital Express Securities Limited	Article 156	100,000	17-Jun-15
295	Lead Securities & Investment Limited	Article 156	100,000	17-Jun-15
296	GTI Securities Limited	Article 155	100,000	18-Jun-15

297	Rencap Securities (Nig.) Limited	Attempt to Execute Large Volume Transaction without the prior approval of the Nigerian Stock Exchange	Caution	25-Jun-15
298	Magnartis Finance & Investment Limited	Item 12, Amendments and Additions Part III	Caution	14-Jul-15
299	Rencap Securities (Nig.) Limited	Article 156	100,000	19-Aug-15
300	Networth Securities & Finance Limited	Article 155	100,000 & suspension	31-Aug-15
301	Cardinalstone Securities Limited	Article 156	100,000	3-Sep-15
302	Kedari Securities Limited	Article 155	100,000 & suspension	7-Sep-15
303	Fittco Securities Limited	Article 59 (v)	Expulsion and revocation of its Dealing Member License	30-Sep-15
304	Maxifund Investment & Sec. Ltd	The firm failed to fully execute client's mandate	Public Censure	30-Sep-15
305	Resort Securites & Trust Limited	Article 100 (d)	3,740,415 & suspension	2-Oct-15
306	Mercov Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
307	Summa Guaranty & Trust Company Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
308	Resano Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
309	Excel Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
310	Finbank Securities & Assets Management Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
311	First Stockbrokers Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
312	Cradle Trust Finance & Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
313	Covenant Securities & Asset Management Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
314	Yobe Investment & Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
315	Stanwal Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
316	Yuderb Investment & Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
317	Redasel Investments Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
318	Standard Alliance Capital Asset Mgt Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
319	UIDC Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
320	Cadington Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
321	GMT Securities & Asset Mangement Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
322	Vision Trust & Investment Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
323	Aims Asset Management Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15

324	Allbond Investment Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
325	CEB Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
326	Consolidated Investment Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
327	Dakal Services Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
328	Davandy Finance & Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
329	Decanon Investment Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
330	Emi Capital Resources Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
331	Empire Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
332	Fittco Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
333	Gombe Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
334	Kakawa Asset Management Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
335	Mact Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
336	Maninvest Asset Management Plc	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
337	Metropolitan Trust Nigeria Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
338	Midpoint Capital Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
339	ML Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
340	Monument Sec & Finance Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
341	Omas Investment & Trust Company Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
342	Peninsula Asset Management & Investment Company Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
343	Platinum Capital Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
344	Profund Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
345	Regency Finance Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
346	Securities Solutions Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
347	Securities Trading & Investments Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15

348	Waila Securities and Funds Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
349	WizeTrade Capital & Asset Management Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
350	Wema Asset Management Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
351	WT Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
352	Zuma Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
353	Bytofel Trust & Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
354	LB Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
355	LMB Stockbrokers Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
356	Prudential Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
357	First Alstate Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
358	Lion Stockbrokers Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Oct-15
359	Amyn Investments Limited	Article 143 B	Suspension	6-Oct-15
360	Regency Finance Limited	The firm placed a newspaper advert without The Exchange's approval.	Article 144	8-Oct-15
361	Heritage Capital Market Limited	This is a request from CSCS to suspend the firm for trading on an unfunded account.	Suspension & Caution	14-Oct-15
362	APT Securities & Funds Limited	Article 33	Caution	10-Dec-15
363	Bestlink Investment Limited	Item 21, Amendments and Additions Part II	N500,000	14-Dec-15
364	Royal Crest Finance Limited	Item 21, Amendments and Additions Part II	N500,000	14-Dec-15
365	Milestone Capital Management Limited	Item 21, Amendments and Additions Part II	N500,000	14-Dec-15
366	Adamawa Securities Limited	Item 21, Amendments and Additions Part II	N500,000	14-Dec-15
367	AAA Securities Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
368	BFCL Asset & Securities Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
369	BIC Securities Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
370	Colvia Securities Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15

371	Davandy Finance Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
372	Epic Investment Trust Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
373	Equator Stockbrokers Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
374	Empire Securities Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
375	First Atlantic Securities Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
376	Folu Securities Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
377	Genesis Sec. & Inv. Ltd	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
378	Indemnity Finance Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
379	Midlands Inv. & Trust Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
380	RIV Trust Securities Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
381	Riverside Trust Limited	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
382	Sikon Securities & Investment Trust Ltd	The firm has been expelled from membership of The Exchange and its dealing license revoked due to its de-registration by the Securities and Exchange Commission (SEC).	Expulsion and revocation of its Dealing Member License	14-Dec-15
383	Afro-Arab Investment Limited	Failure of the firm to activate its Dealing Member license.	Expulsion and revocation of its Dealing Member License	14-Dec-15
384	Al-Pina Investment & Trust Co. Limited	Failure of the firm to activate its Dealing Member license.	Expulsion and revocation of its Dealing Member License	14-Dec-15
385	Barakat Investment Limited	Failure of the firm to activate its Dealing Member license.	Expulsion and revocation of its Dealing Member License	14-Dec-15
386	BBL Asset Management Limited	Failure of the firm to activate its Dealing Member license.	Expulsion and revocation of its Dealing Member License	14-Dec-15
387	Enabell Capital & Investment Limited	Failure of the firm to activate its Dealing Member license.	Expulsion and revocation of its Dealing Member License	14-Dec-15
388	First Express Limited	Failure of the firm to activate its Dealing Member license.	Expulsion and revocation of its Dealing Member License	14-Dec-15

389	Integrated & Allied Securities Limited	Failure of the firm to activate its Dealing Member license.	Expulsion and revocation of its Dealing Member License	14-Dec-15
390	Kingdom Securities Limited	Failure of the firm to activate its Dealing Member license.	Expulsion and revocation of its Dealing Member License	14-Dec-15
391	Standard Chartered Securities Limited	Failure of the firm to activate its Dealing Member license.	Expulsion and revocation of its Dealing Member License	14-Dec-15
392	Translux Services Limited	Failure of the firm to activate its Dealing Member license.	Expulsion and revocation of its Dealing Member License	14-Dec-15
393	Multi Trust Securities Limited	Failure of the firm to activate its Dealing Member license.	Expulsion and revocation of its Dealing Member License	14-Dec-15

**2016**

1	Nova Finance & Securities Limited	This is a directive of The Securities & Exchange Commission (SEC)	Suspension	4-Jan-16
2	Lighthouse Asset Management Limited	This is a directive of The Securities & Exchange Commission (SEC)	Suspension	4-Jan-16
3	Adamawa Securities Limited	Item 21, Amendments and Additions Part II	Suspension	5-Jan-16
4	Milestone Capital Management Limited	Item 21, Amendments and Additions Part II	Suspension	5-Jan-16
5	Adamawa Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
6	Arian Capital Management Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
7	Arthur Steven Asset Management Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
8	Bestlink Investment Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
9	Crane Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
10	Deep Trust Investment Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
11	Edgefield Capital Management Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
12	FBC Trust and Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
13	GEM Asset Management Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
14	Horizon Stockbrokers Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
15	Investment Shark & Asset Management Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
16	Kapital Care Trust & Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
17	Mainland Trust Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
18	Marriot Securities & Investment Co. Ltd	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
19	Maxifund Investments & Securities Plc	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
20	Mayfield Investment Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
21	Milestone Capital Management Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
22	Options Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
23	Perfecta Investment Trust Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Jan-16



24	Resort Securities & Trust Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
25	Rowet Capital Management Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
26	Royal Crest Finance Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
27	Shalom Investment Financial Services Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
28	Woodland Capital Market Plc	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	6-Jan-16
29	Kofana Securities & Investment Limited	Rule 10.7	Caution	28-Jan-16
30	BGL Securities Limited	Rule 6.11	100,000	1-Feb-16
31	BGL Securities Limited	Rule 6.11	Suspension	5-Feb-16
32	Adamawa Securities Limited	The firm does not have an authorized clerk.	Suspension	5-Feb-16
33	Transworld Investment & Securities Limited	The firm does not have an authorized clerk.	Suspension	8-Feb-16
34	Cadington Securities Limited	The firm does not have an authorized clerk.	Suspension	8-Feb-16
35	Adamawa Securities Limited	Rule 7.4	Suspension	17-Feb-16
36	Crane Securities Limited	Rule 7.4	Suspension	17-Feb-16
37	Resort Securities & Trust Limited	Rule 7.4	Suspension	17-Feb-16
38	Mainland Trust Limited	Rule 7.4	Suspension	17-Feb-16
39	Shalom Investment & Financial Services Limited	Rule 7.4	Suspension	17-Feb-16
40	ECL Asset Management Limited	Rule 7.4	Suspension	17-Feb-16
41	Finmal Finance Services Limited	Rule 7.4	Suspension	17-Feb-16
42	Tower Asset Management Limited	Rule 7.4	Suspension	17-Feb-16
43	Aims Asset Management Limited	Rule 7.4	Suspension	17-Feb-16
44	Amyr Investment Limited	Rule 7.4	Suspension	17-Feb-16
45	Bauchi Investment Corp. Sec Limited	Rule 7.4	Suspension	17-Feb-16
46	Cadington Securities Limited	Rule 7.4	Suspension	17-Feb-16
47	CEB Securities Limited	Rule 7.4	Suspension	17-Feb-16
48	Covenant Securities & Asset Management Limited	Rule 7.4	Suspension	17-Feb-16
49	Excel Securities Limited	Rule 7.4	Suspension	17-Feb-16
50	GMT Securities & Asset Mangement Limited	Rule 7.4	Suspension	17-Feb-16
51	Gombe Securities Limited	Rule 7.4	Suspension	17-Feb-16
52	Kakawa Asset Management Limited	Rule 7.4	Suspension	17-Feb-16
53	Mact Securities Limited	Rule 7.4	Suspension	17-Feb-16
54	Mercov Securities Limited	Rule 7.4	Suspension	17-Feb-16

55	Metropolitan Trust Nigeria Limited	Rule 7.4	Suspension	17-Feb-16
56	ML Securities Limited	Rule 7.4	Suspension	17-Feb-16
57	Profund Securities Limited	Rule 7.4	Suspension	17-Feb-16
58	Regency Finance Limited	Rule 7.4	Suspension	17-Feb-16
59	Stanwal Securities Limited	Rule 7.4	Suspension	17-Feb-16
60	Vision Trust & Investment Limited	Rule 7.4	Suspension	17-Feb-16
61	Waila Securities and Funds Limited	Rule 7.4	Suspension	17-Feb-16
62	Wema Asset Management Limited	Rule 7.4	Suspension	17-Feb-16
63	Bytofel Trust & Securities Limited	Rule 7.4	Suspension	17-Feb-16
64	LB Securities Limited	Rule 7.4	Suspension	17-Feb-16
65	LMB Stockbrokers Limited	Rule 7.4	Suspension	17-Feb-16
66	Redasel Investments Limited	Rule 7.4	Suspension	17-Feb-16
67	UIDC Securities Limited	Rule 7.4	Suspension	17-Feb-16
68	First Alstate Securities Limited	Rule 7.4	Suspension	17-Feb-16
69	Supra Commercial Trust Company Limited	Rule 7.4	Suspension	17-Feb-16
70	Heritage Capital Markets Limited	Rule 15.3	Suspension	17-Feb-16
71	Forte Financial Limited	Rule 15.3	Suspension	7-Mar-16
72	Forte Financial Limited	Rule 15.3	Caution	10-Mar-16
73	Delords Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	29-Mar-16
74	Gruene Capital Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	30-Mar-16
75	Prominent Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	30-Mar-16
76	Signet Investment & Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	30-Mar-16
77	Standard Union Securities Limited	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	30-Mar-16
78	Woodland Capital Market Plc	The firm has not complied with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	30-Mar-16
79	Partnership Securities Limited	Rule 10.7	500,000.00	18-Apr-16
80	Royal Crest Finance Limited	Rule 10.7	500,000.00	18-Apr-16
81	Shalom Investment & Financial Services Limited	Rule 10.7	500,000.00	18-Apr-16
82	Morgan Capital Securities Limited	Rule 17.16 (b)	Caution	28-Jul-16
83	ECL Asset Management Limited	Rule 7.4	Suspension	12-Aug-16
84	Transafrika Financial Services Limited	Rule 7.4	Suspension	24-Aug-16
85	Lighthouse Asset Management Limited	Failure to restate client	Suspension	25-Aug-16
86	Amyn Investment Limited	Failure to restate client	Suspension	29-Aug-16
87	Mutual Alliance Investment & Securities Limited	Failure buy back clients shares.	Suspension	5-Sep-16
88	Partnership Securities Limited	Rule 19.12	Suspension	18-Oct-16
89	Investment One Stockbrokers International Limited	Rule 6.11	100,000.00	20-Oct-16
90	MorganCapital Securities Limited	Rule 19.5	Suspension	21-Oct-16
91	ECL Asset Management Limited	Rule 8.9 (b)	500,000.00	16-Nov-16
92	ECL Asset Management Limited	Rule 11.6	500,000.00	25-Nov-16

93	Amy Investment Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
94	Integrated Trust & Invests Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
95	Clearview Investments & Securities Ltd	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
96	Maven Asset Management Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
97	Best link Investment Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
98	Cadington Securities Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
99	GMT Securities & Asset Management Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
100	Mercov Securities Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
101	Resano Securities Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
102	Stanwal Securities Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
103	Transafrica Financial Services Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
104	UIDC Securities Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
105	Summa Guaranty & Trust Co. Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
106	Yuderb Investments & Securities Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
107	Tower Asset Management Limited	The firm failed to submit requested documents in relation to its connection in a charge of money laundering being prosecuted by the EFCC.	Suspension	9-Dec-16
108	APT Securites & Funds Limited	Rule 15.3	Suspension	22-Dec-16
109	Heritage Capital Markets Limited	This is a directive of The Securities & Exchange Commission (SEC)	Suspension	23-Dec-16

## 2017

1	Allbond Investment Limited	The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Expulsion and revocation of its Dealing Member License	26-Jan-17
2	Consolidated Investment Limited	The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Expulsion and revocation of its Dealing Member License	26-Jan-17
3	Dakal Services Limited	The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Expulsion and revocation of its Dealing Member License	26-Jan-17
4	Emi Capital Resources Limited	The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Expulsion and revocation of its Dealing Member License	26-Jan-17
5	First Equity Securities Ltd	The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Expulsion and revocation of its Dealing Member License	26-Jan-17
6	Ideal Securities Limited	The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Expulsion and revocation of its Dealing Member License	26-Jan-17
7	Maninvest Asset Management Plc.	The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Expulsion and revocation of its Dealing Member License	26-Jan-17
8	Metropolitan Trust Nigeria Limited	The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Expulsion and revocation of its Dealing Member License	26-Jan-17
9	Omas Investment & Trust Company Limited	The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Expulsion and revocation of its Dealing Member License	26-Jan-17
10	Pennisula Asset Management & Investment Company Limited	The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Expulsion and revocation of its Dealing Member License	26-Jan-17
11	Prudential Securities Limited	The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Expulsion and revocation of its Dealing Member License	26-Jan-17

12	Securities Trading & Investments Limited	The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Expulsion and revocation of its Dealing Member License	26-Jan-17
13	Transglobe Investment & Finance Company Limited	The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Expulsion and revocation of its Dealing Member License	26-Jan-17
14	Tropics Securities Limited	The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Expulsion and revocation of its Dealing Member License	26-Jan-17
15	Wizetrade Capital & Asset Management Limited	The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Expulsion and revocation of its Dealing Member License	26-Jan-17
16	WT Securities Limited	The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Expulsion and revocation of its Dealing Member License	26-Jan-17
17	Zuma Securities Limited	The firm has been deregistered by the Securities & Exchange Commission (SEC) as a Capital Market Operator (CMO).	Expulsion and revocation of its Dealing Member License	26-Jan-17
18	Bosson Capital Assets Limited	The firm has failed to activate its Dealing Member License.	Expulsion and revocation of its Dealing Member License	26-Jan-17
19	KFF Worldwide Solutions Limited	The firm has failed to activate its Dealing Member License.	Expulsion and revocation of its Dealing Member License	26-Jan-17
20	Silver & Gold Securities Limited	The firm has failed to activate its Dealing Member License.	Expulsion and revocation of its Dealing Member License	26-Jan-17
21	First Alstate Securities Limited	Rule 11.9 and 11.10	Expulsion and revocation of its Dealing Member License	26-Jan-17
22	A.T.I.F Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
23	Abacus Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
24	ABC Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
25	Akitorch Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
26	All Wealth Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
27	Apex Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
28	Asset Plus Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17

29	Associated Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
30	Avon Finance and Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
31	Beachgroove Securities & Investments Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
32	Broadedge Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
33	Bullion Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
34	Cardinal Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
35	City Investment Management Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
36	Comment Finance & Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
37	Corporate Trust Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
38	Crown Merchant Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
39	Dalgo Investment & Trust Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
40	Devcom Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
41	Devserv Finance & Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
42	EBN Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
43	Equity securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
44	Farida Investment and Finance Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17

45	Gilts and Hedge Finance Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
46	Global Investment & Sec Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
47	Goldworth Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
48	Haggai Investment & Trust Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
49	Halsec Finance Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
50	HP Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
51	Investicon Nigeria Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
52	Investment Resources Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
53	Island Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
54	Jenkins Investments Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
55	Kapital Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
56	Lozinger Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
57	M&M Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
58	M. J Securities & Investment Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
59	Majestic Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
60	Matrix Capital Management Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17

61	MBA Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
62	MBCOM Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
63	Merchant Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
64	Metropolitan Trust Nigeria Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
65	MMB Securities & Trust Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
66	MMG Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
67	Nationwide Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
68	New Horizons Finance and Investment Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
69	Nigbel Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
70	Omega Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
71	Omnisource International Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
72	OpenGate Finance Company Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
73	Pacific Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
74	Pamal Finance Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
75	Peak Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
76	Prime Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17

77	Prudent Stockbrokers Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
78	Royal Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
79	Source Finance and Trust Company Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
80	Supreme Finance & Investment Co. Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
81	Synergy and Assets Trust Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
82	Thomas Kinsley Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
83	Tradestamp Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
84	Trust Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
85	Unit Trust Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
86	Universal Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
87	Viva Securities Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
88	Wintrust Limited	The license of the firm had previously been revoked by the Exchange.	Expelled as a Dealing Member Firm of The Exchange.	30-Mar-17
89	Royal Crest Finance Limited	Failure to resolve a compliant	Suspension	6-Mar-17
90	Mission Securities Limited	Rule 6.14	100,000.00	11-Apr-17
91	Kofana Securities & Investment Limited	The firm has failed to comply with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	21-Apr-17
92	PIPC Securities Limited	The firm has failed to comply with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	21-Apr-17
93	Maxifund Investment and Securities Plc	The firm has failed to comply with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	21-Apr-17
94	Adamawa Securities Limited	Rule 8.9	500,000.00	8-May-17



<b>*Key Note: Articles and Policy mean Rules and Regulations Governing Dealing Members</b>	
	Rule 2.2 (former Article 12) - Annual Subscription and Fees
	Rule 6.6 (formerly Article 7) – Mode of changing of directors and shareholders
	Rule 6.11 (formerly Article 155) – The Chief Executive Officer & Managing Director's Position
	Rule 6.12 (formerly Article 144) – Specific actions requiring prior consent of The Exchange
	Rule 6.14 - Notification of Changed of Approved Persons
	Rule 7.4 (formerly Article 15h and Policy 01NSE Section 7)- Annual and Quarterly Financial Statement
	Rule 7.6 (formerly Item 21, Amendments and Additions Part II) - Prohibition of Manipulation of Financial Statements
	Rule 8.9(b) - Change of Employment of Authorized Clerks
	Rule 10.7 - Termination/Resignation of Compliance Officer
	Rule 11.6 {formerly Article 13 & Policy 01NSE Section 5(a)} - Maintenance of Client's Account
	Rule 11.9 (formerly Article 143B) - Prohibition of Unauthorized Sale of Securities
	Rule 11.10 - Misappropriation of Funds
	Rule 15.29 (formerly Article 100) - Pricing methodology
	Rule 15.3 (formerly Article 33) - Valid Transactions
	Rule 15.38 (formerly Item 12, Amendments and Additions Part III) - Short Selling
	Rule 17.16 (b) (formerly Article 104A, Amendments and Additions Part I) - Churning; Fictitious or Deceptive Trading Patterns
	Rule 19.5 (formerly Article 51) - Suspension of Dealing Members Pending Investigation
	Rule 19.12 (formerly Article 129) - Professional Misconduct