

"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 5(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	Bestlink Investments 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	Redasal 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	Yohe 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	Mananarts 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 Merrifield 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 & Invest 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	Care Trust Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	20-Feb-14
23	Kundlia Fin Services Ltd	Policy No 01 Section 5(a) & Article 13	500,000.00	25-Feb-14
24	Mutual Alliance Invest & 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	Walia 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 Invest & 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	Calix 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 Invest & 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

2015				
1	Cadington Securities Limited	Policy No 01 Section 5(a) & Article 13	Suspension	5-Jan-15
2	Enterprise Stockbrokers P/c.	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	DBS 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	Rostum 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	WCM Capital Limited	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 P/c	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	Fuderb Investment & Securities	Article 12	Suspension	19-Jan-15
40	Covenant Securities & Asset Management Ltd	Article 12	Suspension	19-Jan-15
41	Bauch 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 Abiate Securities Ltd	Article 12	Suspension	19-Jan-15
47	Fitico 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	Gombie Securities Ltd	Article 12	Suspension	19-Jan-15
60	Wize Trade Capital & Asset Mgt Ltd	Article 12	Suspension	19-Jan-15
61	Allibond 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	Zama 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	This 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	This 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	PPC 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	Cadlington 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	Walla 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	Byrofel 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 Akarate 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	LWB 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	Support Services Limited	Article 12	Suspension	5-May-15
188	Vision Trust & Investment Limited	Article 12	Suspension	5-May-15
189	Walla 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	GNT securities & Asset Management 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	Dakai 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	Fitco 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	Support Services Limited	Policy No 01 Section 7(b) & Article 15h	Suspension	6-May-15
234	Walla 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 statements 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	Dakai 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	Fitco 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	Rehemy 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	Walla 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	28-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	Fitco 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 Securities & 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	Cadgington 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	Amvn 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	Adanawa 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

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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	F&C 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 Ltd	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	WCM Capital Limited	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	Capington 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	Amvyn Investment Limited	Rule 7.4	Suspension	17-Feb-16
45	Bauchi Investment Corp. Sec Limited	Rule 7.4	Suspension	17-Feb-16
46	Capington 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 Management 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	Starwal Securities Limited	Rule 7.4	Suspension	17-Feb-16
60	Vision Trust & Investment Limited	Rule 7.4	Suspension	17-Feb-16
61	Walla 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	Redeal 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	Forté Financial Limited	Rule 15.3	Suspension	7-Mar-16
72	Forté 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	WCM Capital Limited	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	Transfrica Financial Services Limited	Rule 7.4	Suspension	24-Aug-16
85	Lighthouse Asset Management Limited	Failure to retribute client	Suspension	25-Aug-16
86	Amryn Investment Limited	Failure to retribute 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	23-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	Amryn 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 Ink Investment Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
98	Cardington 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	Transfrica Financial Services Limited	Failure to comply with the Minimum Operating Standards (MOS)	Suspension	28-Nov-16
104	UJDC 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

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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	Dakai 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	Haggal 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	Cadlington Securities Limited	Rule 11.1 and Rule 11.9	Caution	30-Mar-17
90	TRW Stockbrokers Limited	Rule 11.2	Caution	30-Mar-17
91	Royal Crest Finance Limited	Failure to resolve a compliant	Suspension	6-Mar-17
92	Mission Securities Limited	Rule 6.14	100,000.00	11-Apr-17
93	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
94	PIPC Securities Limited	The firm has failed to comply with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	21-Apr-17
95	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
96	Adamawa Securities Limited	Rule 8.9	500,000.00	8-May-17
97	Bytöfel Securities and Investment Limited	Rule 11.9 and 11.10	Expelled as a Dealing Member Firm of The Exchange and a fine of N582,365,000	25-May-17
98	PAC Securities Limited	Failure to provide material document for the merger between Standard Alliance Insurance Plc and Standard Alliance Life Assurance Limited	Caution	30-May-17
99	SFC Securities Limited	Rules 6.12(a)(2) and 6.14(c)	350,000.00	16-Jun-17
100	Marimpex Finance and Investment Company Limited	The firm is operating with only one (1) authorized clerk, Rule 8.9 and 6.11.	Suspension and 600,000.00	12-Sep-17
101	Quantum Securities Limited	Rule 19.5	Suspension	15-Sep-17
102	Cordros Securities Limited	Rule 6.11	100,000.00	19-Sep-17
103	Midland Capital Markets 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	19-Sep-17
104	Supra Commercial Trust Limited	Failure to comply with the directive at the All Parties Meeting (APM)	Suspension	16-Oct-17
105	Anchoria Investment and Securities Limited	Rule 6.12	250,000.00	7-Nov-17
106	Mission Securities Limited	Rule 6.11	Suspension and 100,000.00	23-Nov-17

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1	Standard Alliance Capital & Asset Management Limited	Rules 6.14 and 10.8	600,000.00	2-Jan-18
2	Cashcraft Securities Limited	Rule 16.3(f)		Caution
3	Santrust Securities Limited	Rule 11.6	500,000.00	18-Jan-18
4	Cashville Investments & Securities Ltd	Rule 11.6	500,000.00	19-Jan-18
5	Midas Stockbrokers Limited	Rule 17.5(b)		Admonish
6	Cadington Securities Limited	Rules 13.1 and 19.2(q)		Admonish
7	Golden Securities Limited	Rule 8.9	500,000.00	26-Jan-18
8	Associated Asset Managers Limited	Rule 8.9	500,000.00	26-Jan-18
9	ValueLine Securities & Investments Limited	Rule 11.6 and Rule 6.12	750,000.00	1-Feb-18
10	Smadac Securities Limited	Rule 11.6	500,000.00	1-Feb-18
11	FS Securities Limited	Rule 11.6 and Circular No:NSE/LAR/BDR/CIR/17/05/19.	750,000.00	1-Feb-18
12	Securify Swap Limited	Rule 11.6	500,000.00	2-Feb-18
13	Standard Alliance Capital & Asset Management Limited	Rules 6.14 and 10.8		Suspension
14	Shelong Investment Limited	Rule 6.11(d)	100,000.00	6-Feb-18
15	Networth Securities & Finance Limited	Rule 11.6	500,000.00	9-Feb-18
16	Fortress Capital Limited	Rule 11.6	500,000.00	14-Feb-18
17	Peace Capital Markets Limited	This is a directive from the Securities & Exchange Commission (SEC)		Suspension
18	Adonal Stockbrokers Limited	Rule 7.4	5,000.00	23-Feb-18
19	Falcon Securities Limited	Rule 7.4	5,000.00	23-Feb-18
20	Primera Africa Securities Limited	Rule 7.4	5,000.00	23-Feb-18
21	Traders Trust & Investment Co. Ltd	Rule 7.4	5,000.00	23-Feb-18
22	Kedari Capital Limited	Rule 7.4	10,000.00	23-Feb-18
23	Chapel Hill Denham Securities Limited	Rule 7.4	5,000.00	23-Feb-18
24	Mainstreet Bank Securities Limited	Rule 7.4	30,000.00	23-Feb-18
25	Heritage Capital Markets Limited	Rule 7.4	30,000.00	23-Feb-18
26	Financial Trust Company Limited	Rule 7.4	30,000.00	23-Feb-18
27	Morgan Capital Securities Limited	Rule 7.4	5,000.00	23-Feb-18
28	Newdevco Investment and Securities Limited	Rule 7.4	35,000.00	23-Feb-18
29	GEM Assets Management Limited	Rule 7.4	10,000.00	23-Feb-18
30	Falcon Securities Limited	Rule 11.6	500,000.00	2-Mar-18
31	Fundvine Capital & Securities Limited	Rule 11.6	500,000.00	16-Mar-18
32	Sambic IBFC Stockbrokers Limited	Rule 15.38 (b)		Caution
33	MBC Securities Limited	Rule 11.6	500,000.00	21-Mar-18
34	Primera Africa Securities Limited	Rules 6.6 and 6.12	250,000.00	22-Mar-18
35	Crossworld Securities Limited	Rule 7.4	40,000.00	23-Mar-18
36	Solid Rock Securities & Invest. PLC	Rule 11.6	500,000.00	28-Mar-18
37	Zion Stockbrokers & Securities Limited	Rule 11.6	500,000.00	3-Apr-18
38	TRW Stockbrokers Limited	Rule 11.6	500,000.00	3-Apr-18
39	Investment Shark & Asset Management Limited	Rule 6.14 and Rule 10.8	600,000.00	9-Apr-18
40	Rowet Capital Management Limited	The firm has failed to comply with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	10-Apr-18
41	Standard Alliance Capital & Asset Management Ltd	The firm has failed to comply with the minimum capital requirement of The Securities & Exchange Commission (SEC).	Suspension	10-Apr-18
42	Amyn Investments Limited	The firm was suspended based on findings from the RBS inspections exercise and ongoing investigations being conducted on the firm by the Economic and Financial Crimes Commission (EFCC).	Suspension	11-Apr-18
43	Fundvine Capital & Securities Limited	Rule 6.14	100,000.00	16-Apr-18
44	Amyn Investments Limited	Rule 7.4	35,000.00	20-Apr-18
45	Nova Finance & Securities Limited	Rule 7.4	10,000.00	20-Apr-18
46	Pivot Capital Limited	Rule 11.6	500,000.00	24-Apr-18
47	Amyn Investments Limited	Rules 11.6 and 13.1d	550,000.00	24-Apr-18
48	Resort Securities & Trust Limited	Rules 6.14, 10.7 and 10.8	600,000.00	4-May-18
49	Investors & Trust Company Limited	Rule 7.4	135,000.00	4-May-18
50	PS Securities Limited	Rule 7.4	300,000.00	4-May-18
51	Compass Investment & Securities Limited	Rule 7.4	5,000.00	4-May-18
52	Regency Assets Management Limited	Rule 7.4	5,000.00	4-May-18
53	Royal Crest Finance Limited	Rule 7.4	35,000.00	4-May-18
54	Royal Trust Securities Limited	Rule 7.4	70,000.00	4-May-18
55	Sankore Securities Limited	Rule 7.4	135,000.00	4-May-18
56	Heritage Capital Markets Limited	Rule 7.4	15,000.00	4-May-18
57	Financial & Analytics Capital Limited	Rule 6.6	250,000.00	18-May-18
58	Globalview Capital Limited	Rule 8.9	500,000.00	16-May-18
59	Investment One Stockbrokers International Limited	Rule 6.14	200,000.00	25-May-18
60	SFC Securities Limited	Rule 6.6 and Rule 6.9	200,000.00	19-Jun-18
61	Rowet Capital Management Limited	Rule 11.6, 6.6 and 6.14	600,000.00	22-Jun-18
62	Cashcraft Securities Limited	Rule 8.9	500,000.00	20-Jun-18
63	Heritage Capital Markets Limited	Rule 8.9	500,000.00	23-Jun-18
64	Kundlia Finance Services Limited	Rule 6.14	100,000.00	16-Jul-18
65	Standard Union Securities Limited	Rule 6.6	100,000.00	16-Jul-18
66	Lead Securities and Investment Limited	Rule 6.14	100,000.00	25-Jul-18
67	Finnal Finance Services Limited	Rule 11.6	500,000.00	3-Aug-18
68	Vaimon Securities Limited	Rule 6.12	250,000.00	3-Aug-18
69	Topmost Securities Limited	Rule 11.6	500,000.00	3-Aug-18
70	Portfolio Advisers Limited	Rule 17.5(a) & (b)	1,000,000.00	24-Aug-18
71	Capital Express Securities Limited	Rule 7.4	5,000.00	24-Aug-18
72	Dominion Trust Limited	Rule 7.4	5,000.00	24-Aug-18
73	Enterprise Stockbrokers Plc	Rule 7.4	5,000.00	24-Aug-18
74	Adonal Stockbrokers Limited	Rule 7.4	20,000.00	24-Aug-18
75	Heis Securities Limited	Rule 7.4	15,000.00	24-Aug-18
76	Citi Investment Capital Limited	Rule 7.4	150,000.00	28-Aug-18
77	Resort Securities Limited	Rule 7.4	150,000.00	7-Sep-18
78	Rencap Securities (Nig) Limited	Rule 7.4	5,000.00	12-Sep-18
79	Quantum Zenith Securities & Investment Limited	Rule 7.4	5,000.00	12-Sep-18
80	Kundlia Fin Services Ltd	Rule 7.4	10,000.00	14-Sep-18
81	Fundvine Capital & Securities Limited	The Firm is currently operating below the Minimum Capital Requirement for its licensed function (Broker Dealer).	Suspension	24-Sep-18
82	Nova Finance & Securities Limited	Rule 7.4	N300,000	5-Oct-18
82	Nova Finance & Securities Limited	Rule 7.4	N150,000	17-Oct-18
83	Edgefield Capital Management	Rule 11.6 & Rule 17.5	N1,500,000.00	2-Nov-18
84	City-Code Trust & Investment Limited	Rule 7.4	N10,000	16-Nov-18
85	First stockbrokers Limited	Rule 7.4	N10,000	16-Nov-18
86	Marimpex Finance & Investment Company Limited	Rule 7.4	N140,000	16-Nov-18

87	Kundlia Finance Services Limited	Rule 7.4	N5,000	16-Nov-18
88	Prime Wealth Capital Limited	Rule 7.4	N5,000	16-Nov-18
88	Royal Trust Securities Limited	Rule 17.5	N500,000	2-Nov-18
89	Edgefield Capital Management Limited	Rule 17.5	N500,000	2-Nov-18
90	Traders Trust & Investment Co. Ltd	Rule 11.6	N500,000	27-Dec-18
<b>2019</b>				
1	Andruche Investments Plc	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
2	Angela Eccles Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
3	Associated Trust Investment & Finance Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
4	Beaver Securities Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
5	Betraco Securities Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
6	Cobal Ventures Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
7	Corporate Focus Securities Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
8	Financial Intermediaries Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
9	GF Securities Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
10	IB Finance Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
11	Integrated Securities Ltd	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
12	Integrated Ventures Nigeria Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
13	Intercommerce and Consultant Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
14	Investment & Capital Development Company Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
15	Investment Trust Company Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
16	Kamrash Securities Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
17	Lakeside Asset Management Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
18	M & F Investment & Securities Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
19	Milestone Investment Services Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
20	Millennium Investment Trust Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
21	Moji Securities & Investment Nigeria Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
22	Morgan Trust Asset Management Plc, (formerly known as IMB Morgan Plc and formerly known as IMB Securities Plc)	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
23	Multibank International Securities Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
24	Nationwide Finance and International Securities Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
25	Novelty Investment Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
26	Optimus Finance and Securities Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
27	Pabod Finance & Investment Company Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
28	Pabofin Securities Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
29	Path Securities & Investment Ltd	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
30	Shiroro Finance Ltd	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18

		The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
31	Tassel Finance & Investment Company	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
32	Unique Securities & Finance Services Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
33	Upper Credit Securities and Investments Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
34	Wellsfargo Capital Limited	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
35	Westland Investment Ltd.	The license of the firm had previously been revoked by the Exchange.	The firm has been expelled as a Dealing Member firm of The Exchange.	13-Dec-18
36	Belfry Investments & Securities Limited	Default On Settlement Of Trade Obligations	Caution	11-Jan-19
37	Cordros Securities Limited	Submission of erroneous Monthly Stockbroking Transaction Reports for the periods ended 30 June, 31 July and 31 December 2018 respectively	Caution	18-Jan-19

**\*Key Note: Articles and Policy mean Rules and Regulations Governing Dealing Members**

Rule 2.2 (former Article 12) - Annual Subscription and Fees
Rule 6.6 (formerly Article 7) – Mode of changing of directors and shareholders
Rule 6.9 – Approval of The Exchange about Material Changes
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)- Submission of Financial Reports to The Exchange
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 10.8 - Penalties (Compliance Officers)
Rule 11.1 - Know Your Client
Rule 11.2 - Supervision of Customers Account
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 13.1 - Record of Transactions and Right of Inspection
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 16.3 (f) - Direct Cash Settlement
Rule 17.5 - General Conduct, Sharing of Brokerage Income; and Association with Non-Dealing Members
Rule 17.16 (b) (formerly Article 104A, Amendments and Additions Part I) - Churning, Fictitious or Deceptive Trading Patterns
Rule 19.2 - Specific Powers of Council
Rule 19.5 (formerly Article 51) - Suspension of Dealing Members Pending Investigation
Rule 19.12 (formerly Article 129) - Professional Misconduct