



QUARTERLY COMPLIANCE OFFICERS FORUM OF DEALING MEMBER FIRMS

Please be informed that the quarterly Compliance Officers forum of Dealing Member Firms will hold as detailed below:

DATE: Wednesday, 22 March 2017

VENUE: 20th Floor, Stock Exchange House
2/4, Customs Street, Lagos

TIME: 10:00 a.m.

AGENDA:

1. Opening remarks – (GC/HoR).
2. Review of the minutes of the second quarter compliance forum held on 13 December 2016.
3. Update from the Compliance Officers Committees:
 - Rules Development and Review Committee;
 - Governance, Risk and Compliance Committee;
 - Monitoring and Reporting Committee.
4. Update on MOS implementation – (GC/HoR & Head, BDR).
5. Update on MOS 'Effective processes' - (Head, BDR).
6. Harmonization of Regulatory reports with the SEC – (Head, BDR).
7. Deadline for recapitalization and review of 3rd Quarter Returns 2016 – (Head, Monitoring and Enforcement).
8. Update on the submission of Audited Financial Statement for December 2016 – (Head, Monitoring and Enforcement).
9. Presentation on Regulatory Capital Management– (Head, Monitoring and Enforcement).
10. Supervision Priorities for 2017 – (Head, Inspections and Examinations).
11. Update on implementation of the SEC Complaints Management Framework – (Head, Tips and Complaints Management).
12. Update on the IPF Settlement of Claims – (Head, Tips and Complaints Management)



13. Update on the Sub-Broker and Representative Office framework – (Head, Licensing and Relationship Management).
14. Update on proposed 2017 Training calendar – (Head, Licensing and Relationship Management).
15. Update on Rules and Regulations - (Acting HOD, Rules and Interpretation).
16. Update on Market Surveillance System – (HOD, Market Surveillance & Investigations)
17. Presentation on Surveillance Insights (HOD, Market Surveillance & Investigations)
18. Any Other Business
19. Refreshments

Please note that attendance at the forum is compulsory for all Chief Compliance Officers of Dealing Member Firms.

Thank you.

Olufemi Shobanjo
Head, Broker Dealer Regulation