



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, 25 October 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 29 June 2017.
3. Update from the Compliance Officers Committees:
 - Rules Development and Review Committee;
 - Governance, Risk and Compliance Committee;
 - Monitoring and Reporting Committee.
4. Prohibition of Guaranteed investments – (GC/HoR).
5. Due Diligence Book- (GC/HoR).
6. Update on Broker Ancillary Services - (Head, BDR).
7. Unbundling of Dealing Member Firms with Multiple Registration Functions – (Head, BDR).
8. Upcoming X-Academy events – (Head, Licensing and Relationship Training).
9. Submission of Regulatory Reports – (Head, Monitoring and Enforcement).
10. 2017 Supervision Priorities and Risk Based Examinations – (Head, Inspections and Examinations).
11. Update on implementation of the SEC Complaints Management Framework – (Head, Tips and Complaints Management).
12. Update on X-BOSS (X-BOSS Admin).



13. Update on Rules and Regulations - (Acting HOD, Rules and Interpretation).
14. Integrating Sustainability into Our Business- (Head, Corporate Communication).
15. Training on Legal and Risk Aspects of Derivatives and Central Counterparty Clearing Transactions organized by the Legal Department – (Head, Legal)
16. Any Other Business.
17. 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