

## Instructions for trading a new security



This document will guide you through the process of admitting a new security to trade on the Market.

Where a Participating Institution wishes to trade a security that is not currently being traded on the Market, it may apply to admit such security to trade. Please note that where a security is already being traded on the Market, Participating Institutions who want to trade on that same security do not have to apply again to admit the security to trade. A list of currently traded securities shall be made available on the OTC Bulletin Board and the website.

### **Eligibility criteria**

In order for a security to be admitted to trade, the company must have been in operation for a year.

- (a) It must be public company or be held by more than 50 beneficial holders;
- (b) The Security must be registered with the Securities and Exchange Commission (“SEC”);
- (c) The Security must be freely transferable; and
- (d) It must not have any legal or regulatory restriction that prevents it from being traded on the Market.

### **Application process**

The Participating Institution shall make an application in writing to NASD accompanied by the following documents:

- (a) A duly completed NASD Form 3 in duplicate;
- (b) A copy of the Company’s profile;
- (c) A copy of latest audited Statement of Affairs or Accounts.

The Participating Institution must gather and provide NASD with as much information as possible about the Company and its security to help facilitate the process. The application process may take up to 2 weeks.

NASD shall communicate its approval in writing and the security shall be classified as an Admitted Security. The Admitted Security shall be announced on [www.nasdng.com](http://www.nasdng.com) and be admitted to trade on the Market.

Kindly send enquiries through email to [registration@nasdng.com](mailto:registration@nasdng.com) or call the NASD help desk on 01-4605008 for clarification.

**Admission to trade new security**



<b>Stockbroker Information</b>	
Name of firm:	
Registered address:	
Telephone:	Email address:
<b>Principal Officer Contact</b>	<b>Compliance Contact</b>
Name:	Name:
Telephone:	Telephone:
Email address:	Email address:
<b>Company Information</b>	
Name of Company:	Former Name (If applicable):
Registered address:	
RC Number:	Date of Incorporation:
Website address:	Telephone:
ISIN Number (If assigned):	Type of Security:
Number of years in operation:	
Industry Regulator:	Sector/Industry:
Brief description of business:	

<b>Information about the Security</b>			
1. Are the securities or units registered with SEC?	<b>Yes</b>	<b>No</b>	<b>In Progress (Please give details)</b>
2. Title and class of Security:			
3. Description and features of Securities <sup>1</sup> :			

<sup>1</sup> If it is a debt instrument, please attach a copy the Trust deed or the document detailing the terms and conditions of the instrument.

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4. Number of security in issue and outstanding at the end of the Company's most recent fiscal year:
5. Nominal value of security:
6. Quantity of security to be purchased or sold:
7. Has trading on this security been suspended on any other exchange?    No      Yes
If yes, please give details <sup>2</sup>

<b>Company's Financial Information</b>			
1. Fiscal year end:      .....day      .....month	20.....	20.....	20.....
2. Issued Share capital (N'm):			
3. Net Assets (N'm):			
4. Turnover last year (N'm):			
5. Net Profit (N'm):			
6. Dividend per share (N):			
7. Name and address of Auditors:			

<b>Details of Registrars (or Company Secretary)</b>
<ul style="list-style-type: none"> <li>• Name:</li> <li>• Address:</li> <li>• Telephone:</li> <li>• Contact email:</li> <li>• Website:</li> </ul>

<sup>2</sup> Use additional sheets, where necessary

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### Supporting documents

- The review process may take up to 2 weeks.
- Kindly submit copies of the following documents with your application and tick off the box :-

Company's Profile	
Copy of Company's audited Statement of Affairs or Accounts	

- NASD reserves the right to request for additional information and documentation.

### Authorization and Affirmation

..... has made this application for the purpose of admitting a new security to trade on the OTC  
Name of Participating Institution  
 Market. As officers of the Company, we have examined the application and declare that to the best of our knowledge, the information provided is true and correct as of this date.

Name of Managing Director/CEO:	Name of Authorized Trader:
Signature:	Signature:
Corporate Seal:	Date: CIS Number: