



To: OTC Authorised Traders
From: Market Operations
Date: February 12 2015

Market Circular 014 TRADING OF CAPP A AND D'ALBERTO

Participating institutions who wish to trade the shares of Cappa and D'Alberto Plc on the NASD OTC market should follow the steps below.

1. Open NASD/CSCS account for all your investors holding Cappa & D'Alberto shares if the accounts have not been opened before.

NB: CSCS account number that ware-houses quoted companies cannot ware-house unquoted companies, hence the need for NASD-CSCS account. Investors that already have NASD-CSCS account do not need to open another one.

2. Participation Institutions write a letter to CSCS on behalf of their client for the transfer of security from its current position to the firm's position in the OTC market

NB: Instruction must contain details of the investors (Name, NSE-CSCS Account number, NASD-CSCS Account number, Volume holding etc.)

3. Submit the letter to CSCS customer service center
4. CSCS effects the transfer to the client's position under the NASD Broker.
5. Broker trades the shares.



Kindly note that this approved process is only open to NASD dealing members.

To apply as a Broker-Dealer with NASD, Kindly download form 1a and b from our website www.nasdng.com. Fill and submit with the supporting documents.

Kindly send a mail to info@nasdng.com or call Eugene/Gbubemi on 07016585355 should you require any clarification and or additional information in this regard.

Best Regards

NASD PLC.

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