



NOMINAL TRANSFER FORM

PARTICIPATING INSTITUTION & CLIENT DETAILS	
	FIRM DETAILS
NAME	
CODE	
TRADERS NAME	
TRADERS INDUCTION NUMBER	
	TRANSFEROR
NAME	
ACCOUNT NUMBER	
MANDATE AVAILABLE (Y/N)	
	TRANSFEEE
NAME	
ACCOUNT NUMBER	
MANDATE AVAILABLE (Y/N)	
TRANSACTION DETAILS	
SECURITY NAME	
SECURITY CODE	
TRANSACTION DATE	
VOLUME	
SECURITY PRICE	Actual Opening: _____ Proposed deal: _____

*****It is the responsibility of the Broker to carry out a proper due diligence on the Transferee***

JUSTIFICATION FOR TRANSFER:

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Trader Signature: _____ Date _____

CEO/ Compliance Signature _____ Date _____

NASD APPROVAL		
% DISCOUNT / PREMIUM		APPROVED (Y/N)
APPROVALS	Operations Manager	Head Compliance
	Managing Director	Head, Finance and Operations

DISCLAIMER

Participating Institutions undertake that they shall strictly adhere to the transaction declared above and agree that NASD PLC retains the right to cancel transactions if the information provided is found to be inconsistent with the executed transaction.

NASD PLC shall not indemnify any party involved in this transaction for any losses, damages, claims and expenses arising out of or in connection with any wrongful disclosure, misconduct, breach or misuse of confidential information that may arise from this transaction.



Supporting documents

- Kindly submit copies of the following documents with your Nominal Transfer form and tick off the box :-

Written Application by the Participating Institution introducing the client and detailing the nature of the transfer	
Original copy of NASD nominal transfer form (form 6), duly completed	
Executed mandate by Transferor in favor of the Participating Institution making the application	
3 Copies of NASD/CSCS Statement indicating the account in which the shares are dematerialised	
For a corporate entity, a duly executed board resolution and a certified true copy of its most recent form CAC 7 (Particulars of Directors) and form CAC 2 (Statement of Share capital and Return on Allotment of Shares)	
Profiles of the individuals participating in the nominal transfers and for corporate entities profile of directors, a summary of the nature of business and a financial report on the company for the 2 years immediately preceding the year of the application	
A Certified True Copy ("CTC") of the trust deed, where applicable	
A CTC of the will and letter of probate or letter of administration, where applicable	
3 copies of Authority letter executed by the Transferor and addressed to NASD	
Means of Identification of Transferor, Transferee or other signatories, where applicable	
Evidence of payment of applicable fees	

Declaration

This information is provided on behalf of the Client for the purpose of executing a Nominal Transfer. This is to affirm and certify that we are officers of the company and have the legal authority to provide the information on behalf of the Client. We declare that to the best of our knowledge, the above information provided by the Client is true and correct as of this date.

Name of Director:	Name of Company Secretary:
Signature:	Signature:
Date:	Corporate Seal: