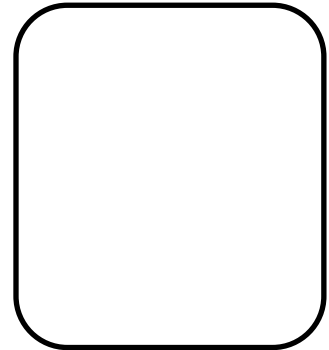


## Registration as an Authorized Trader



**Instructions:**

- A) *This form should be completed by each applicant who wants to register with NASD as an Authorized Trader.*
- B) *Applicants must be CIS qualified and undergo NASD's induction course on the responsible use of the Trading Network to complete the accreditation process.*
- C) *Please attach evidence of payment of applicable fees.*
- D) *Kindly affix two recent passport photographs with applicant's name and signature at the back.*



### PERSONAL DETAILS

Applicant's full Name (Surname first):

Change of Name (If applicable, please give details):

Residential address:

Designation:

Telephone:

Date of Birth:

State of Origin:

Email:

Nationality:

Are you a SEC registered individual?      **Yes**      **No**

Date of Employment:

Full time or Part time:

### DETAILS OF SPONSORING FIRM

Full Name:

Office address:

Telephone:

Email:

Website:

## Registration as an Authorized Trader



### PROFESSIONAL QUALIFICATION

Date of Examination	Qualification	Date Obtained	Name of Institution or Professional Body

### REFEREES

Name	Address	Designation
1.		
2.		
3.		

### SUPPORTING DOCUMENTS

- In support of your application to register as an Authorized Trader, kindly attach and tick copies of the documents attached to this form:

Two recent passport photographs with name and signature at the back	
Detailed and comprehensive curriculum vitae showing dates and explaining any gaps therein	
Evidence of SEC registration	
Evidence of payment of applicable fees	
Proof of residential address of applicant (Certified copy of a utility bill)	
Letter of Employment	
Copy of CIS Membership Card	

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

## Registration as an Authorized Trader



### AUTHORIZATION AND AFFIRMATION

This information is provided by [ \_\_\_\_\_ ]<sup>1</sup> for the purpose of registering the applicant as an Authorized Trader on the NASD OTC Market. This is to certify that we are officers of this company and have the legal authority to provide information in respect of this application. We declare that to the best of its knowledge, the above information provided is true and correct as of this date and will promptly notify NASD if any change occurs.

***Please note that the sponsoring firm has a continuing duty to update this application whenever there is a change to the information previously given.***

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

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<sup>1</sup> Insert name of sponsoring firm here