

These instructions should be read in conjunction with the Rules of the NASD Market.

### **Application Process**

An application to participate on the Market shall be made in writing to NASD accompanied by the administrative fee of ₦200, 000 (Two Hundred Thousand Naira only), a duly completed NASD Form 4a and the documents listed on page 3 of this document.

Trading as a Custodian on the NASD OTC platform entails 3 steps:

- **Step 1 (Application)** - Complete and submit the prescribed form in duplicate (NASD Form 4) and attach the supporting documents with the applicable fee.
- **Step 2 (Processing)** – Your application and supporting documents will be reviewed, checked for compliance with NASD requirements and submitted to the Board for approval.
- **Step 3 (Activation)** – Once approved, NASD will advise CSCS to create a non-trading member account for the applicant.

The entire process may take up to 2 weeks and the names of registered custodians will be updated on our website ([www.nasdng.com](http://www.nasdng.com)).

Once you have completed the application, enclose the supporting documents in an envelope marked '**NASD REGISTRATION**' and send to

NASD Plc  
UBA House (9<sup>th</sup> floor)  
57 Marina, Lagos.  
**Attention: Head, Legal and Compliance**  
**Soft copies to be sent to [legalcompliance@nasdng.com](mailto:legalcompliance@nasdng.com)**

Is the company registered with SEC?	<b>Yes</b>	<b>No</b>
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**General Information**

Custodian's Full Corporate Name:		
Registered address:		
RC Number:	Date of Incorporation:	
Website:	Phone:	
Name of Nominated Settlement bank:		
Is the Settlement bank registered with NASD?		
	<b>Yes</b>	<b>No</b>

Principal Officer Contact (Please attach Resume)	Contact Person
Name:	Name:
Phone:	Phone:
Email:	Email:

**Particulars of Nominated Participating Institution Trading On Behalf Of the Custodian**

Name of Nominated Participating Institution:	Name of Nominated Participating Institution:
SEC registered? <b>Yes</b> <b>No</b>	SEC registered? <b>Yes</b> <b>No</b>
Phone:	Phone:
Email:	Email:

\*Use additional sheets if necessary

**Mode of Payment**

Payments can be made by either issuing a Bank draft in favour of NASD or by Bank transfer.

- Kindly tick the mode of payment: **a) Bank draft, b) Bank transfer**

For Bank transfer details, kindly contact an NASD adviser by sending an email to [finance@nasdng.com](mailto:finance@nasdng.com)

### Supporting documents

- Kindly submit copies of the following documents with your application and tick off the box:-

1	Company Profile	
2	Certificate of Incorporation	
3	Memorandum and Articles of Association	
4	Particulars of Directors - CAC Form 7	
5	Particulars of Shareholders - CAC Form 2	
6	Evidence of SEC registration	
7	Evidence of Payment of fees	
8	Copy of letter from nominated Settlement bank for NASD transactions	
9	Reference Letters from Bankers	

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

### Authorisation and Affirmation

This information is provided by the Applicant for the purpose of registering with NASD as a Custodian on the OTC Market. This is to affirm and certify that we are officers of this company and have the legal authority to provide information on the company's application for registration. We declare that to the best of our knowledge, the above information provided is true and correct as of this date and we shall notify NASD if any change occurs.

***Please note that Applicants have a continuing duty to update NASD whenever there is a change to the information provided in this application.***

Name of Director:

Name of Company Secretary:

Signature:

Signature:

Date:

Corporate Seal:

### CONSENT STATEMENT

I have read and fully understand NASD PLC's [Privacy Policy](#) (please click the link or visit NASD's Website to read NASD's Privacy Policy).

I hereby authorize NASD to process and share my personal data with other accredited organisations or agencies in accordance with the Nigeria Data Protection Regulation.

I understand that this consent may be withdrawn at any time by communicating my intention to NASD at [legalcompliance@nasdng.com](mailto:legalcompliance@nasdng.com).

<b>Name of Principal Officer</b>	<b>Name of Enquiries Contact</b>
Signature:	Signature:
Date	Date
<b>OFFICIAL USE ONLY</b>	
Request actioned:	
<b><u>Data Protection Officer</u></b>	
Date:	