



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 ₦50, 000 (Fifty Thousand Naira only), a duly completed NASD Form 4b 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 4b) 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 the Pension Custodian as clearing member.

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:

**The Managing Director**

NASD Plc

UBA House (9<sup>th</sup> floor) 57 Marina, Lagos.

Attn: Head, Legal and Compliance

Soft copies should be sent to  
[legalcompliance@nasdng.com](mailto:legalcompliance@nasdng.com)

Kindly send enquiries through email to [legalcompliance@nasdng.com](mailto:legalcompliance@nasdng.com) or [marketoperations@nasdng.com](mailto:marketoperations@nasdng.com) or call the NASD help desk on +234 902 455 9686 for clarification.



General Information	
Custodian's Full Corporate Name:	
Registered address:	
RC Number:	Date of Incorporation:
Website:	Phone:
Is company registered with PENCOT? <b>Yes</b> <b>No</b>	
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
<p>Payments can be made by either issuing a Bank draft in favour of NASD or by Bank transfer.</p> <p><input type="checkbox"/> Kindly tick the mode of payment: <b>a) Bank draft, b) Bank transfer</b></p> <p>For Bank transfer details, kindly contact an NASD adviser by sending an email to <a href="mailto:finance@nasdng.com">finance@nasdng.com</a></p>



### Supporting documents

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

Company Profile	
Certificate of Incorporation	
Memorandum and Articles of Association	
Particulars of Directors - CAC Form 7	
Particulars of Shareholders - CAC Form 2	
Evidence of PENCOM Registration	
Evidence of Payment of fees	
Copy of letter from nominated Settlement bank for NASD transactions	
Reference Letter from Banker	

- 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 Pension 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).

Name of Principal Officer	Name of Enquiries Contact	Name of Compliance Contact
Signature:	Signature:	Signature:
Date	Date	Date

**OFFICIAL USE ONLY**

Request actioned:

**Data Protection Officer**

Date: