

## Blacklisted Dealing Clerks and Other Approved Persons

S/No	BROKER	DESIGNATION	DETAILS	DATE
1	Mr. Kingsley Nnaji	Authorized Clerk, TFS Securities & Investment Co. Limited	Has been blacklisted by The Exchange for unprofessional misconduct.	May-12
2	Mr Kayode Awotile	Managing Director, Lakesworth Securities Limited	Has been blacklisted by The Exchange for unauthorised transfers and sales of clients shares.	26-Feb-14
3	Mr Akinwale Olagundoye	Authorized Clerk, (Colvia Securities Limited)	His membership with The Chartered Institute of Stockbrokers (CIS) has been withdrawn.	28-Mar-14
4	Mr. Agomuo Chidi Solomon	Authorized Clerk, Resort Securities & Trust Limited	Has been blacklisted by The Exchange for Share price/market manipulation	30-Sep-15
5	Alhaji Maina Muninga	Managing Director of Adamawa Securities Limited from 2002 to 2010 and Managing Director of Newdevco from 2010- 2011.	Has been blacklisted by The Exchange for unauthorised sales of clients shares.	28-Jan-16
6	Mr. John Nsofor	Managing Director, Giljohn Investment Limited	Has been blacklisted by The Exchange for unauthorised sales of clients shares	28-Jan-16
7	Mr. Oye Oyefeso	Managing Director, Cadington Securities Limited	Has been blacklisted by The Exchange for unauthorised sales of clients shares.	28-Jan-16
8	Mr Ayokunle Oyedeki	Managing Director (Branch), Express Portfolio Services Limited	Has been blacklisted by The Exchange for unauthorised sales of clients shares.	31-Mar-16
9	Mr. Abioye Eluwole	Managing Director, Bytofel Securities and Investment Limited	Has been blacklisted by The Exchange for unauthorised sales of clients shares	31-Mar-16
10	Mr. Gregory Otsu	Managing Director, Mact Securities Limited	Has been blacklisted by The Exchange for unauthorised sales of clients shares.	31-Mar-16
11	Mr. Albert Okumagba	Chairman, BGL Securities Limited	He was banned by the Securities and Exchange Commission from all capital market activities for life effective January 2017.	30-Jan-17
12	Mr. Chibundu N. Edozie	Director, BGL Securities Limited	He was banned by the Securities and Exchange Commission from all capital market activities for life effective January 2017.	30-Jan-17
13	Mr. Adebola Peter	Managing Director, BGL Securities Limited	He was banned by the Securities and Exchange Commission from all capital market activities for 5 years effective May 2016.	25-May-16
14	Mr. Tajudeen Folaji	Managing Director, First Alstate Securities Limited	Has been blacklisted by The Exchange for unauthorised transfers and sales of clients shares. His name has also been removed from the membership register of the Chartered Institute of Stockbrokers (CIS).	28-Oct-16
15	Mr. Ichie Mike Ejezie	Managing Director, Gosord Securities Limited	Has been blacklisted by The Exchange for unauthorised transfers and sales of clients shares.	28-Oct-16
16	Mr. Segun Adebayo Adams	Authorized Clerk, Fittco Securities Limited	Has been blacklisted by The Exchange for unauthorised transfers and sales of clients shares.	28-Oct-16
17	Ekwy Adinuba	Authorized Clerk, Gosord Securities Limited	Has been blacklisted by The Exchange for unauthorised sales of clients shares.	30-Mar-17
18	Mr. Victor Ogiemwonyi	Chairman, Partnership Securities Limited	He has been banned for life from engaging in capital market activities and from holding directorship position in any public company in Nigeria by the Securities & Exchange Commission (SEC).	13-Sep-17
19	Mr. Victor Ogiemwonyi	Chairman, Partnership Securities Limited	Has been blacklisted by The Exchange for misappropriation of clients funds.	25-Jan-18
20	Mr Joel Okafor	Managing Director, Securities Solution Limited	Has been blacklisted by The Exchange for unauthorised sales of clients shares.	25-Jan-18
21	Mrs Onwordi, Ladi Barbara	Managing Director, Lion Stockbrokers Limited	Has been blacklisted by The Exchange for unauthorised sales of clients shares.	25-Jan-18
<b>OTHER APPROVED PERSONS BLACKLISTED</b>				
S/No	NAME	DESIGNATION	DETAILS	DATE
1	Mr Henry Omoragbon	Chairman, Partnership Investment Company Plc	He has been suspended by the Securities & Exchange Commission (SEC) for a period of five (5) years from engaging in capital market activities in Nigeria.	13-Sep-17
2	Mr. Ojetunde Taiwo	Director, Partnership Investment Company Plc	He has been suspended by the Securities & Exchange Commission (SEC) for a period of five (5) years from engaging in capital market activities and banned from holding directorship positions in any public company in Nigeria.	13-Sep-17
3	Mrs. Ogiemwonyi Olufunke	Director, Partnership Investment Company Plc	She has been suspended by the Securities & Exchange Commission (SEC) for a period of five (5) years from engaging in capital market activities and banned from holding directorship positions in any public company in Nigeria.	13-Sep-17

4	Mrs. Arese Ugwu	Director, Partnership Investment Company Plc	She has been suspended by the Securities & Exchange Commission (SEC) for a period of five (5) years from engaging in capital market activities and banned from holding directorship positions in any public company in Nigeria.	13-Sep-17
5	Mr Fisayo Ibrahim Jassey-Jabarr	Chief Compliance Officer, Partnership Securities Limited	He has been suspended by The Exchange for a period of 5 years and cannot be employed in any capacity, appointed a Director or have shareholdings of 5% and above in any Dealing Member Firm or their sub-broker.	25-Jan-18
6	Mr Adeusi Aladejola Alexander	Managing Director, Partnership Securities Limited	He has been suspended by the Securities & Exchange Commission (SEC) for a period of five (5) years from engaging in capital market activities and banned from holding directorship positions in any public company in Nigeria.	13-Sep-17
7	Mr. Frank Ogiamien	Director, Partnership Investment Company Plc	He has been suspended by the Securities & Exchange Commission (SEC) for a period of five (5) years from engaging in capital market activities and banned from holding directorship positions in any public company in Nigeria.	13-Sep-17
8	Taiwo Ayuba Balogun	Compliance Officer MorganCapital Securities Limited	Has been blacklisted by The Exchange for unauthorized sales of clients' shares.	4-Dec-18
9	Mr. Adewale Ogunbanwo	Former Compliance Officer for Dominion Trust Limited	Has been blacklisted by The Exchange for misconduct and fraudulent activities.	22-Jul-20
10	Mr. Uduma Arunsi	Executive Director, Royal Trust Limited	Has been blacklisted by The Exchange for misconduct and unauthorized sales of clients' shares.	22-Jul-20

**OTHER BLACKLISTED STAFF OF TRADING LICENSE HOLDERS**

S/No	NAME		DETAILS	DATE
1	Mr. Olorunfemi Ayorinde	Accountant	Has been blacklisted by The Exchange for unauthorized transfer and sales of clients' shares.	28-Oct-16
2	Habeeb Suleiman	Registrar Officer, MorganCapital Securities Limited	Has been blacklisted by The Exchange for unauthorized sales of	4-Dec-18
3	Mr. Ademola Adewara	IT officer Resort Securities & Trust Limited	He has been blacklisted by The Exchange for misconduct	12-Mar-19

\*Key Note: Blacklisting means a situation where The Exchange puts the name of a Trading License Holder on a list of persons who are denied privileges, services, access, recognition or are boycotted or punished