



**Broker TraX**

## Non-Compliance with the Minimum Operating Standards (MOS)

**TRADING LICENSE HOLDERS NON-COMPLIANT WITH THE MINIMUM OPERATING STANDARDS (MOS) AS AT 12 APRIL 2021**

SN	FIRM	STATUS
1	Cadington Securities Limited	Inactive
2	Clearview Investments & Securities Ltd	Inactive
3	GMT Securities & Asset Management Limited	Inactive
4	Maven Asset Management Limited	Inactive

\*An inactive Firm is a firm that has been suspended for a period of more than 3 months by The Exchange or SEC; or has not recorded any activity for a period of 3 or more months without being suspended.