



Broker TraX

## Operating without Compliance Officer

TRADING LICENSE HOLDERS OPERATING WITHOUT COMPLIANCE OFFICERS AS AT 12 APRIL 2021

### ACTIVE FIRMS

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### INACTIVE FIRMS

1	Cadington Securities Limited
2	CEB Securities Limited
3	Enterprise Stockbrokers Limited
4	GMT Securities & Asset Management Limited
5	Investment Shark & Asset Management Limited
6	Mact Securities Limited
7	ML Securities Limited
8	Monument Securities & Finance Limited
9	Profund Securities Limited
10	Standard Alliance Capital & Asset Management Limited

\*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.