



**RULEBOOK OF THE NIGERIAN STOCK EXCHANGE, 2015**  
**PROPOSED AMENDMENTS TO ~~DEALING MEMBERS'~~ / TRADING LICENCE HOLDERS' RULES**

**RULE 10.3(a): CHIEF COMPLIANCE OFFICER**

**Legend:** additions underlined, deletions ~~struck through~~

**Rule 10.3(a): Chief Compliance Officer**

- (a) ~~Dealing Member~~ Trading License Holder Firms shall register a compliance officer with The Exchange.
- (1) The individual registered as Compliance Officer will be treated, for all intents and purposes, as the 'Chief Compliance Officer' of that ~~Dealing Member~~ Trading License Holder Firm.
- (2) To qualify for appointment as Chief Compliance Officer of a ~~Dealing Member~~ Trading License Holder, a Compliance Officer shall have either:
- (A) Undertaken and completed relevant courses recognized ~~and certified~~ by The Exchange; or
- (B) Undertaken and completed the relevant courses under the *Compliance Officers Training Program* of The Exchange.