



**NOTICE OF APPEAL AGAINST PENALTIES ON
TRADING INFRACTIONS**

MARCH 2016

NOTICE OF APPEAL

APPELLANT'S DETAILS

Name of Appellant:

RC Number:

Registered/Head Office Address:

Telephone:

Email Address:

Website Address:

Key Contact(s):

Name: _____

Designation: _____

Telephone/Mobile: _____

Email Address: _____

Name: _____

Designation: _____

Telephone/Mobile: _____

Email Address: _____

Name: _____

Designation: _____

Telephone/Mobile: _____

Email Address: _____

Upon completion, the Notice of Appeal should be submitted to:

Group Head, Control & Audit
FMDQ OTC Securities Exchange
1 Olosa Street
Victoria Island
Lagos.

ABOUT THE DECISION APPEALED AGAINST

1. Decision Appealed Against

- a. Penalty on Trading Infraction
- b. The Trading Infractions Appeal Committee
- c. The Board Regulation and Risk Management Committee

2. Details of the infraction(s) that is/are the subject of the Appeal

3. Grounds of Appeal (Justification for the Appeal)

In this section we need to know why you are appealing. Please write down in your own words the reasons why you disagree with the decision you are appealing against. Failure to complete this form may delay your appeal and the Notice of Appeal may be returned to you. Kindly indicate the supporting documents (if any) you wish to rely on at the appeal.

APPELLANT'S UNDERTAKING

By submitting this Notice of Appeal and signing this form in the manner below we declare and undertake as follows THAT:

1. We understand that misleading or attempting to mislead FMDQ during the appeal process will be deemed an act of misconduct and may render the appellant liable to disciplinary proceedings.
2. We file this Notice of Appeal in good faith conscientiously believing its content to be complete and accurate.

SIGNATURES

Director	Treasurer
Name:	Name:
Signature:	Signature:
Date:	Date: