



---

**FMDQ PRIVATE MARKETS LIMITED**  
PROFESSIONAL PARTY APPLICATION FORM

---

---

**2023**

---

**FMDQ PRIVATE MARKETS LIMITED  
PROFESSIONAL PARTY APPLICATION FORM**

**APPLICANT'S INFORMATION**

Company Name:	
RC <sup>1</sup> /BN <sup>2</sup> /IT <sup>3</sup> Number:	
Registered Office Address:	
Date of Incorporation:	
Place of Incorporation:	
Company Telephone Number(s):	
Company Email Address:	
Corporate Website Address:	
Nature of Business:	
Authorised Share Capital/Paid-up Share Capital (as applicable):	

**Primary Contact Details**

Name: \_\_\_\_\_

Telephone/Mobile Number: \_\_\_\_\_

Email Address: \_\_\_\_\_

<sup>1</sup> Registered Company

<sup>2</sup> Business Name

<sup>3</sup> Incorporated Trustee

**CATEGORY OF MEMBERSHIP<sup>4</sup>**

Professional Party (Trustees) <sup>5</sup> :	<input type="checkbox"/>
Professional Party (Solicitor) <sup>6</sup> :	<input type="checkbox"/>
Professional Party (Reporting Accountant): <sup>7</sup>	<input type="checkbox"/>

**BANK DETAILS**

1	Name:	
	Address:	
	Telephone:	Mobile No. of Account Manager:
	Email Address of Account Manager:	
	Type of Account:	
2	Name:	
	Address:	
	Telephone:	Mobile No. of Account Manager:
	Email Address of Account Manager:	
	Type of Account:	

**AUTHORISED REPRESENTATIVES<sup>8</sup>**
**MANAGING DIRECTOR/CHIEF EXECUTIVE OFFICER (MD/CEO)/MANAGING PARTNER**

Name:	
Email:	Telephone/Mobile No.:

**TREASURER**

Name:	
Email:	Telephone/Mobile No.:

**CHIEF COMPLIANCE OFFICER**

Name:	
Email:	Telephone/Mobile No.:

**INTERNAL AUDITOR**

<sup>4</sup> Professional Party Dues will vary based on the category of membership

<sup>5</sup> Registered by their relevant regulators/professional bodies and authorised by FMDQ Private Markets to act as Trustees to Issuers of Private Companies' Securities for noting on FMDQ Private Markets Limited

<sup>6</sup> Registered by their professional bodies and authorised by FMDQ Private Markets to act as Solicitors to Issuers of Private Companies' Securities for noting on FMDQ Private Markets Limited

<sup>7</sup> Registered by their professional bodies and authorised by FMDQ Private Markets to act as Reporting Accountants to Issuers of private companies' securities for noting on FMDQ Private Markets Limited

<sup>8</sup> Authorised Representatives are persons authorised by the applicant to perform activities on its behalf on FMDQ Private Markets Limited

Name:	
Email:	Telephone/Mobile No.:
<b>RISK COMPLIANCE OFFICER</b>	
Name:	
Email:	Telephone/Mobile No.:

### DISCIPLINARY HISTORY

The questions below relate to the company and the key officers listed above. Responses should cover material events which occurred in the past ten (10) years and should include events that have occurred anywhere in the world. If in doubt as to the materiality or relevance of the event, please disclose the event. If the answer to any of the questions below is "YES", the applicant is required to provide additional information/details in a separate sheet.

THE COMPANY	"YES" or "NO"
Has the company or any of its affiliates <sup>9</sup> , been denied registration or expelled from membership of any securities exchange, self-regulatory organisation (SRO) or associations?	
Has your membership, or that of any affiliates, in any of the institutions/ associations mentioned above at any time been revoked, suspended, or withdrawn?	
Has your company, or any of its affiliates, ever been refused any Fidelity Bond?	
Has your company, or any of its affiliates, been subject to any winding up order/receivership arrangement?	
MD/CEO/MANAGING PARTNER	"YES" or "NO"
Ever been convicted of any criminal offence?	
Ever been the subject of an adverse finding by, or settlement with, any government agency, court, securities exchange, SRO, tribunal, or other regulatory authority?	
Ever been a director, partner or otherwise concerned in the management of a business which has gone into insolvency, liquidation, administration, or the equivalent proceedings within or outside of the Nigerian jurisdiction while connected with such organisation within one year of that connection?	
Ever been declared bankrupt or entered any compromise arrangement with creditors related to bankruptcy or insolvency?	
Ever been the subject of any disciplinary or criminal proceedings or been the subject of any investigation by any authority which may lead to such proceedings?	
Ever been refused authorisation or licence to carry on a trade, business, or profession or to be a member of a securities exchange?	
Ever had such authorisation, membership, or licence (referred to above) revoked or terminated?	
Ever been disqualified from acting as a Director/Partner?	

<sup>9</sup> An affiliate, for the purpose of this Application Form, is a company/partnership in which the applicant has a minimum of 20% ownership interest however so called.

CHIEF COMPLIANCE OFFICER	"YES" or "NO"
Ever been convicted of any criminal offence?	
Ever been the subject of an adverse finding by, or settlement with, any government agency, court, securities exchange, SRO, tribunal, or other regulatory authority?	
Ever been concerned in the management of a business which has gone into insolvency, liquidation, administration, or the equivalent proceedings within or outside of the Nigerian jurisdiction while connected with such organisation within one year of that connection?	
Ever been declared bankrupt or entered any compromise arrangement with creditors related to bankruptcy or insolvency?	
Ever been the subject of any disciplinary or criminal proceedings or been the subject of any investigation by any authority which may lead to such proceedings?	

#### SUPPORTING DOCUMENTS<sup>10</sup> (TICK IF ENCLOSED)

Duly Completed Application Form	
Company Profile <ul style="list-style-type: none"> <li>▪ Company Overview</li> <li>▪ Details of Business Services</li> </ul>	
Certificate of Incorporation/Certificate of Registration	
Certified Memorandum and Articles of Association (if applicable)	
Particulars of Directors – <b>CAC Form 7</b> or Particulars of Partners/Proprietors – <b>CAC BN/1</b> or <b>CAC LLP/1</b> or <b>CAC LP/1</b> or Document showing Trustees – <b>CAC IT/1</b>	
Particulars of Shareholders – <b>CAC Form 2 [for Nigerian Private Companies Limited]</b> (if applicable)	
Evidence of registration with a relevant regulator/professional body(s)	
Evidence of the firm/institution's capital markets experience/expertise	
Professional Indemnity Policy	
Evidence of Payment of Professional Eligibility Fee and Annual Professional Party Dues	

*Email submission of documents to be made to [privatemarkets@fmdqgroup.com](mailto:privatemarkets@fmdqgroup.com).*

Completed documents may be submitted to:

**FMDQ Private Markets Limited**

Exchange Place  
35, Idowu Taylor Street  
Victoria Island  
Lagos Nigeria

**Attention: Noting Service Group**

<sup>10</sup> FMDQ Private Markets Limited reserves the right to request additional information and documentation from time to time, where necessary. Upon successful filing of the above documents, the Company will be required to execute a Professional Party Membership Agreement with FMDQ Private Markets Limited before registration can be completed

### APPLICABLE FEE PAYMENT INFORMATION

Accepted Modes of Payment: Cheque/Bank Draft/Online Transfer.

*All cheques are payable to “FMDQ Private Markets Limited”*

**Account Details:**

Bank Name            Access Bank PLC  
Account Name        FMDQ Private Markets Limited  
Account Number     1394502587  
Sort Code            44151106

*In the case of online transfers, kindly specify payment reference in the format below:*

***“FMDQ Private Markets Limited /(Category of Membership)/(Name of Company)/(Payment Date: DD.MM.YYYY)”***

*For example: FMDQ Private Markets Limited/Professional Party/Company Limited/12.06.2021*

### APPLICANT’S DECLARATION

By submitting this application to become a Professional Party of FMDQ Private Markets Limited and signing this form in the manner below:

- We declare that the information provided is complete and accurate and we agree, if approved, to comply with and be bound by the Noting Guidelines, directives, professional party agreement and other terms and conditions of FMDQ Private Markets Limited, which are or may be enforced from time to time
- We further declare that we will ensure reporting of relevant activities of our clients as requested by FMDQ Private Markets Limited, in line with the Noting Guidelines. We will notify FMDQ Private Markets Limited of any additional information which is relevant to the application and of any significant changes in the information provided in this Application Form which may occur after the date of submission of the application
- We understand that misleading or attempting to mislead FMDQ Private Markets Limited representatives during the application process will be deemed an act of misconduct and may render the applicant liable to disciplinary proceedings
- We agree that any entity within FMDQ Group may have access to the information contained herein for marketing purposes
- We undertake to comply with FMDQ Private Markets Limited Guidelines, directives, professional party agreement and other terms and conditions relating to all activities on the FMDQ Private Markets Limited Private Companies’ Securities Information and Distribution Portal (Restricted)

### AUTHORISED SIGNATORY

DIRECTOR/PARTNER	DIRECTOR/PARTNER/SECRETARY
Name:	Name:
Address:	Address:
Signature:	Signature:
Date:	Date: