



THE Nigerian STOCK EXCHANGE

PRESENTATION TO CAMCAN:

BROKER OVERSIGHT & SUPERVISION SYSTEM

Presented by

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The Nigerian Stock Exchange

1

- About Us

2

- Background to the System

3

- Solutions Proffered

4

- Benefits to key Stakeholders

5

- Conclusion

6

- Awards & Accolades

7

- Q & A

Our Mission

To provide investors and businesses a reliable, efficient and an adaptable exchange hub in Africa, to save and to access capital.

Our Vision

To be Africa's foremost securities exchange driven by regulation, efficiency, liquidity and innovation.



- The Broker Oversight & Supervision System is geared towards the enhancement and the automation of the **regulatory & oversight** function of The Exchange over its Dealing Members including:


- Automated rendition of Regulatory filings
- Analysis of Various ratios of financial renditions
- Capital and Liquidity Monitoring
- Compliance Monitoring
- Compliance reporting

- Maintenance and update of details of Dealing Member Firms including corporate profile, compliance history and records of approved persons.
- Regulatory reports to the SEC.

- Complaints management and tracking resolution.

- Management of Inspections and Examinations.

Solutions



Automation of Key regulatory functions with notification capabilities (e.g. monitoring of capital and liquidity)

Development of a central information repository of Dealing Members and approved persons.

Controlled access to information on Dealing Members based on access rights granted.

Enhanced regulation based on global best practice.



Regulators

- Enhanced visibility and first hand information on the regulation of Dealing Members.

Media

- Transparency - Quick feed to the website on current DM information including corporate profiles and regulatory breaches

Other Exchanges and OTC markets

- Economies of scale – The system can be leveraged to automate and enhance the regulatory program.

Dealing Member Community

- Enhanced and automated regulatory experience.

Other market participants

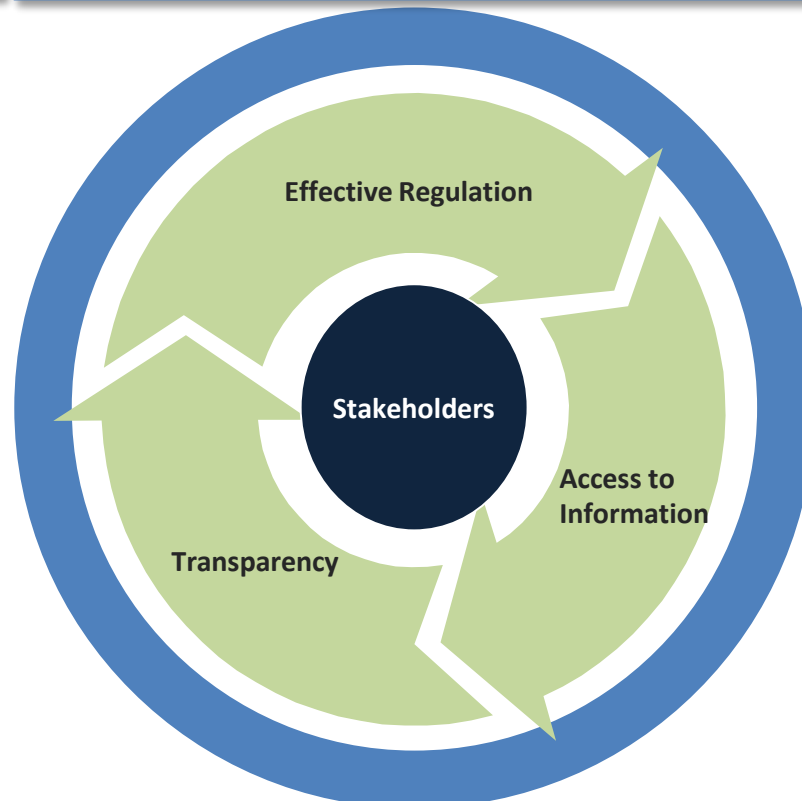
- Access to Dealing Member information on a near real time basis.

Investors

- Enhanced Investors confidence.

Regulation

- Effective regulation in line with global best practice.
- Enhance capabilities for market integrity.



The application will support The Exchange's strategic objectives in its quest to become Africa's foremost securities exchange driven by regulation, efficiency, liquidity and innovation.



**African Regulator of
The Year 2015 Award**

**AFRICAN BUSINESS LEADERSHIP
AWARDS 2015**



**Financial Institution
of The Year**

**THE OIL & GAS YEAR
NIGERIA 2015**



**Award For Promoting Best Practice
Reporting and Corporate Disclosure**

**LAGOS CHAMBER OF COMMERCE & INDUSTRY (LCCI)
COMMERCE & INDUSTRY AWARD 2015**



**Best Initiative In Support of SMEs
& The Millenium Development Goals (2014 Winner)**

**AFRICAN INVESTOR (Ai) INVESTOR
AND BUSINESS LEADER AWARDS**



**THE Nigerian
STOCK EXCHANGE**

THANK YOU

Questions & Answers

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