



DEALING MEMBER FIRMS WITH INADEQUATE SHAREHOLDERS FUND AS AT 17 JUNE 2019

SN	FIRM	STATUS
1	Financial & Analytics Capital Limited	Active
2	First Stockbrokers Limited	Active
3	Kundila Finance Services Limited	Active
4	MBL Financial Services Limited	Active
5	Nova Finance & Securities Limited	Active
6	Adamawa Securities Limited	Inactive
7	Aims Asset Management Limited	Inactive
8	Cadington Securities Limited	Inactive
9	CEB Securities Limited	Inactive
10	Finbank Securities & Assets Management Limited	Inactive
11	GEM Asset Management Limited	Inactive
12	GMT Securities & Asset Management Limited	Inactive
13	Gombe Securities Limited	Inactive
14	Horizon Stockbrokers Limited	Inactive
15	Investment Shark & Asset Management Limited	Inactive
16	ITIS Securities Limited	Inactive
17	Kakawa Asset Management Limited	Inactive
18	Lion Stockbrokers Limited	Inactive
19	LMB Stockbrokers Limited	Inactive
20	Mact Securities Limited	Inactive
21	Mercov Securities Limited	Inactive
22	ML Securities Limited	Inactive
23	Monument Sec & Finance Limited	Inactive
24	Profund Securities Limited	Inactive
25	Resano Securities Limited	Inactive
26	Standard Alliance Capital & Asset Management Limited	Inactive
27	Stanwal Securities Limited	Inactive
28	Summa Guaranty & Trust Company Limited	Inactive
29	Supra Commercial Trust Company Limited	Inactive
30	Vision Trust & Investment Limited	Inactive

*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.