

**SEC/REMI/REG/VOL.1/2025**

**August 25, 2025**

**The Managing Director**

**Zigma Alpha Asset Management Limited**

**29, Panama Street**

**Maitama Abuja**

**Dear Sir,**

# PROVISIONAL LETTER OF REGISTRATION AS FUND/PORTFOLIO MANAGER

We refer to the application for registration of your company and its sponsored individuals. Following your successful performance at the interview held on **August 1, 2025**, we wish to inform you that the Commission has approved your registration.

By the exercise of the powers conferred on the Securities and Exchange Commission (the Commission) by the Investments & Securities Act (ISA) 2025 and the Rules and Regulations made thereunder, the Commission has granted your company registration to perform the function of **Fund/Portfolio Manager** in the Capital Market with effect from **August 18, 2025**.

The following are your company’s registered sponsored individuals:

|  |  |
| --- | --- |
| **Name of Sponsored Individual(s)** | **Type of Registration** |
| 1. Bello Charles Kolawole | Managing Director |
| 2. Anum Msughaondo Joseph | Officer (Fund/Portfolio Manager) |
| 3. Kanabe Ogbe Ayegbeni | Compliance Officer |

By virtue of this registration, you are authorised to perform the function for which you are registered, subject to the following conditions:

 Your company complies with the provisions of the ISA 2025, the Rules and Regulations of the Commission and all other laws governing operations within the Nigerian Capital Market.

You conduct all capital market transactions with due professional care and diligence.

You keep proper records and render returns as currently prescribed by the Rules and Regulations of the Commission and any other returns as may be deemed necessary from time to time by the Commission.

 You submit to the Commission a copy of a valid annual Fidelity Bond Insurance Policy/Professional Indemnity Policy of your firm each year covering the period of January 1 to December 31.

**PLOT 272. SAMUEL ADESUJO ADEMULEGUN STREET,**

**CENTRAL BUSINESS DISTRICT**

**FEDERAL CAPITAL TERRITORY**

## +23402094621168-9 SEC.GOV.NG SEC@SEC.GOV.NG

 You inform the Commission promptly of any change(s) in the information supplied in your application for this registration and/or any new information after obtaining the registration.

 Your company ensures at all times that it has the required minimum of **3** Sponsored Individuals registered for this function(s), including the Managing Director/Partner and the Compliance Officer .

 Your sponsored individuals provide evidence of attendance of capital market related courses each year.

 Your Company registers and shows evidence of membership of its Capital Market Trade Group within three (3) months from the date of receipt of this approval.

The Company renews its registration by January 31 of every year.

Violation of the ISA 2025, the Rules and Regulations of the Commission, other laws governing operations within the Nigerian Capital Market, and circulars issued by the Commission will attract appropriate sanctions.

A certificate evidencing the registration of your company as a capital market operator would be issued to you in due course.

**Yours faithfully,**

**Hafsat O. Rufai (Mrs.)**

**Director: Registration, Exchanges and Market Infrastructure Department For: Director General**

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