

SECURITIES AND EXCHANGE COMMISSION, GHANA



APPLICATION FOR THE GRANT/RENEWAL OF A

.....
REPRESENTATIVE LICENCE UNDER THE
SECURITIES INDUSTRY ACT, 2016 (ACT 929)

SEC FORM 3

1. GENERAL INFORMATION

Name of Applicant

Name of Employer

Passport Picture

Residential Address

Date of Birth

Employer's Address

Applicant Telephone Number(s)

Website Address

Email(s)

2. LICENSE TYPE OF PRINCIPAL

Please insert here licensed regulated activity of market operator:

.....

.....

3. TYPE OF APPLICATION

- (1) Please indicate if this is an initial application for a licence or whether it is an application for the renewal of an existing licence -

Initial Application

Renewal of Existing Licence

- (2) If it is for the renewal of an existing licence please furnish the following information

(a) Date of issue of existing licence.....

(b) Licence number.....

4. DECLARATION BY REPRESENTATIVE

I the undersigned certify that the above information is true and accurate.

I undertake to comply with the provisions of the Act, Regulations, Codes, Directives, Guidelines, Circulars, Manuals, Rules, Statements of Principles, Procedures, present and prospective issued from time to time by the Commission under the Act.

I also undertake to inform the Commission immediately of any change in any of the particulars stated in this application.

I CONFIRM THAT I HAVE NOT BEEN

- (i) adjudged bankrupt anywhere.
- (ii) convicted either within the country or elsewhere within the period of 10 years immediately preceding the date on which this application is made of an offence involving fraud or dishonesty punishable on conviction with imprisonment for a term of three months or more.
- (iii) refused a licence as a representative of a market operator; or
- (iv) a director, partner or employee of an entity which has been refused a licence under the Act or has had any licence issued under the Act suspended or revoked.

I ENCLOSE

- *1. Certified true copies of certificates pertaining to my educational, academic and/or professional qualifications;
 - *2. Detailed curriculum vitae;
 - *3. Certificate as to passing an approved GISI course (or such other course as may be specified by the Commission);
 - *4. Receipt in proof of payment of the licence fee prescribed; and
 - *5. A certified true copy of the register of interests required to be maintained under section 127 (1) in Form 5. (Schedule 7).
6. Evidence of completing the prescribed or required Commission's continuous professional development programme (Applicable ONLY FOR RENEWAL)

NB

* Not required in case of a renewal unless there have been changes

.....
Date

.....
Signature of Applicant

DECLARATION BY EMPLOYER

I/We certify that I/we am/are the holder/s of a (please insert here type of licensed regulated activity) issued under the Act and that the applicant above named is employed by me/us and to the best of my/our knowledge-

1. there is no legal impediment to the applicant being granted the licence applied for;
2. the applicant is the holder of the qualifications disclosed in the application;
3. the applicant is a fit and proper person to be granted the representative licence applied for.

.....
Date

.....
Authorised Signatory
Accredited Principal and Licensee

FOR OFFICIAL USE ONLY

Comments

.....
Officer

.....
Sign

.....
Date

Securities and Exchange Commission. No. 30, 3rd Circular Road, Cantonments, Accra
P. O. Box CT 6181, Cantonments, Accra, Tel: 0302 768970-2, Fax: 0302 768984
E-mail: info@sec.gov.gh, Website: www.sec.gov.gh

PAYMENT INSTRUCTIONS

Bank Details:

Bank Name: Consolidated Bank Ghana

Account Name: SEC Revenue Collection Account

Account Number: 177 435 8120 001

Branch: Manet Tower 3

You are to send the payment advice quoting your licence number and duly completed form to the appropriate department as indicated below and copy financecapital@sec.gov.gh

Email

fundsec@sec.gov.gh

brokerdealers@sec.gov.gh

exmarkets@sec.gov.gh

issuers@sec.gov.gh

auditrisk@sec.gov.gh

Market Operator

Fund Managers, Mutual Funds, Unit Trusts, Trustees, Custodians

Broker Dealers, Investment Advisers, Primary Dealers

Securities Exchanges, Depositories, Registrars

Issuing Houses

AML