



“Ensuring Investor Protection”

SECURITIES AND EXCHANGE COMMISSION

DIRECTIVE TO ALL MARKET OPERATORS ON THE SUBMISSION OF AN ELECTRONIC VERSION OF THE DIRECTORS AND PRINCIPAL OFFICER’S PERSONAL NOTES (E-DPN) ON THE REGULATORY COMPLIANCE PORTAL

(NOTICE NO. SEC/DIR/001/02/2025)

1.0 PREAMBLE

The Securities and Exchange Commission (hereinafter referred to as “SEC”) is the statutory body mandated by the Securities Industry Act 2016 (Act 929) as amended by the Securities Industry (Amendment) Act 2021 (Act 1062), (hereinafter referred to as ‘the Act’) to promote the orderly growth and development of an efficient, fair, and transparent securities market in which investors and the integrity of the market are protected.

The SEC is further mandated to maintain surveillance over activities in securities to ensure orderly, fair, and equitable dealings in securities and to protect the integrity of the market in accordance with Sections 2 and 3 of the Act.

2.0 THE DIRECTIVE

Pursuant to sections 2, 3 and 209 of Act 929 as amended, the SEC hereby directs all Directors and Principal Officers of all CMOs to complete and submit the e-DPN via the Regulatory Compliance Portal (this process starts with a registration using the link <https://rcp.sec.gov.gh/account/register>) on or before 30th April 2025.

3.0 PURPOSE OF THIS DIRECTIVE

This Directive shall ensure that the SEC’s database on Directors and Principal Officers of CMOs is up to date for regulatory purposes.

4.0 REVISION, AMENDMENT, VARIATION, OR REVOCATION

The SEC may revise, amend, vary, or revoke this Directive.

5.0 INTERPRETATION

Where any doubt arises about the meaning of any provision contained in this Directive, the same shall be referred to the SEC and the interpretation provided by the SEC shall be final.

6.0 SANCTIONS FOR NON-COMPLIANCE

Where there is a breach of any provision in this Directive, the SEC may take any action(s) specified under section 209(4) as amended or any other provision applicable under the Act.

7.0 COMMENCEMENT OF THIS DIRECTIVE

This Directive is issued pursuant to sections 2, 3 and 209 of Act 929 as amended and shall take immediate effect and remain in force until otherwise revised, amended, varied, or revoked.

8.0 ENQUIRIES

All questions or clarification required under this Directive shall be referred to the SEC through info@sec.gov.gh or through 0302768970-2 or its toll-free number 0800100065 or refer to the [Frequently Asked Questions \(FAQs\) On Electronic Directors Personal Note](#) on the SEC's website.

**ISSUED BY ORDER OF
THE SECURITIES AND EXCHANGE COMMISSION
DATE: FEBRUARY 11, 2025**