**INTERCONNECTEDNESS REPORT**

**(FUNDS RECEIVED FROM CLIENTS)**

Name of Fund Manager……………………………………………………………………………………………………………………………………..

Reporting period……………………………………………………Reporting Date………………………………………………………………………

|  |  |  |  |  |  |  |  |
| --- | --- | --- | --- | --- | --- | --- | --- |
| ***Regulatory Body***  ***(1)*** | ***Customer Category***  ***(2)*** | ***Number in Client Category***  ***(3)*** | ***Total FUM At Beginning of period (Balance from previous period)***  ***(4)*** | ***Total Fund Inflow during the period***  ***(5)*** | ***Total Gains/Losses On the Fund during The period***  ***(6)*** | ***Total Withdrawals On the Fund during the period***  ***(7)*** | ***FUM Balance On Reporting Date***  ***(8)*** |
| Securities & Exchange Commission | Fund Managers |  |  |  |  |  |  |
| Broker Dealers |  |  |  |  |  |  |
| CIS |  |  |  |  |  |  |
| Bank of Ghana | Universal Banks |  |  |  |  |  |  |
| Finance Houses |  |  |  |  |  |  |
| Microfinance Institutions |  |  |  |  |  |  |
| Savings and Loans |  |  |  |  |  |  |
| Rural and Community Banks |  |  |  |  |  |  |
| National Insurance Commission | Insurance – Life |  |  |  |  |  |  |
| Insurance – Non life |  |  |  |  |  |  |
| National Pension Regulatory Authority | Pension fund |  |  |  |  |  |  |
| Provident fund |  |  |  |  |  |  |
| Social Institutions | Religious bodies |  |  |  |  |  |  |
| Hospitals |  |  |  |  |  |  |
| School |  |  |  |  |  |  |
| Corporate | Company – For Profit |  |  |  |  |  |  |
| Company - NGO |  |  |  |  |  |  |
| Individual & Joint Accounts |  |  |  |  |  |  |  |
| Others (Please specify) |  |  |  |  |  |  |  |

Compliance Officer………………………………..……………….Email…………………………………… Signature………………………………..

CEO…………………………………………………………………Email……………………………………Signature………………………………..

**Notes:**

**Note 1**. This is the regulatory body (institution) that regulate, license, and/or supervise the particular business mentioned or listed in column 2 (customer category).

**Note 2.** This is the classification of the business entity that is entering into a funds management agreement with you. eg, universal banks, insurance firms, savings and loans firms.

**Note 3.** This is the number of clients in the each category

**Note 4.** This is the previous total balance on each customer category

**Note 5.** This is additional or new funds received from clients

**Note 6.** This is the gains or losses made on the total receipts from the customer category

**Note 7.** This is the redemptions, deductions or withdrawals made on the total fund in each customer category

**Note 8.** This is the closing balance of each customer category as at the end of the reporting period