

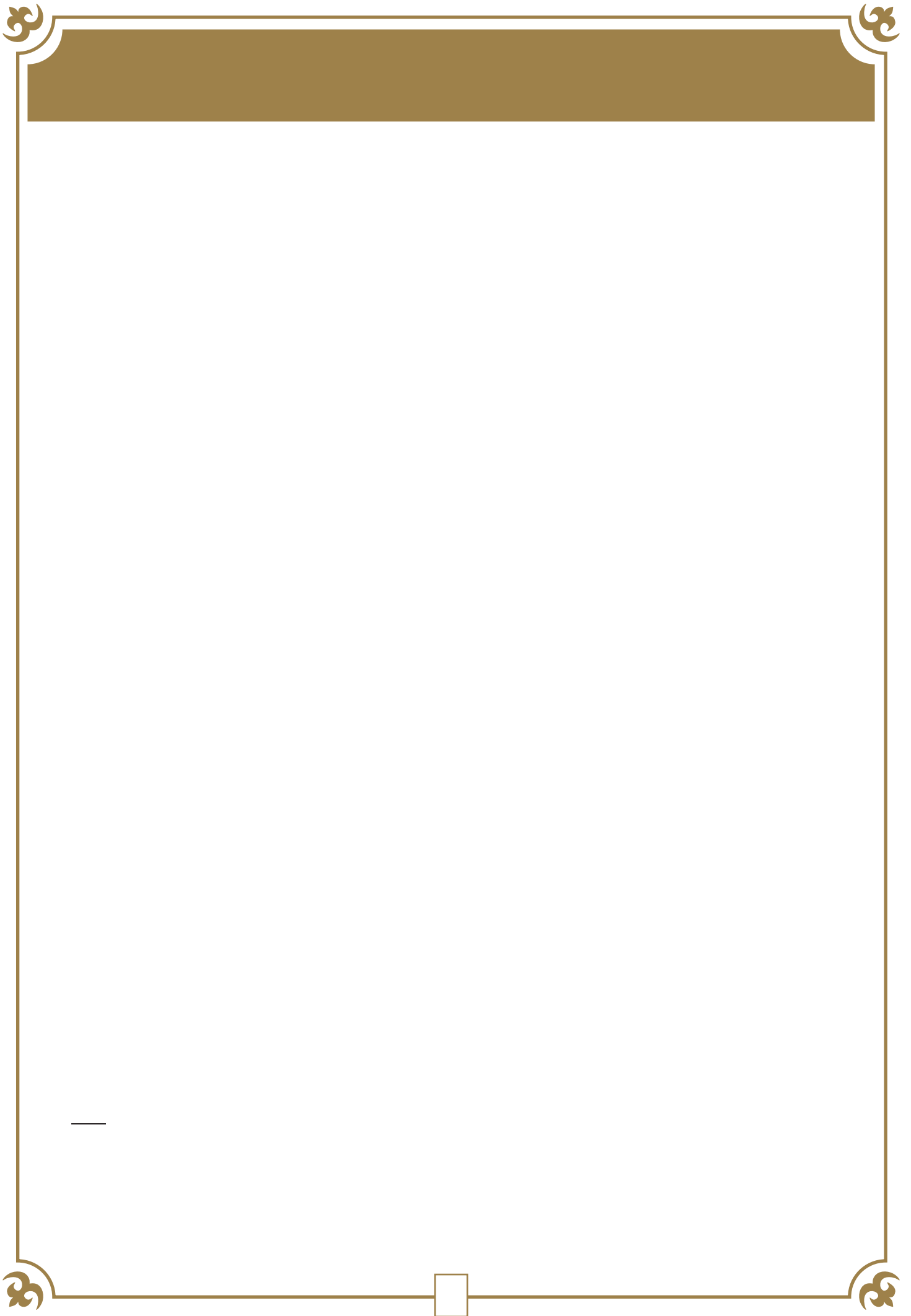
SECURITIES AND EXCHANGE COMMISSION, GHANA



APPLICATION FOR THE GRANT/RENEWAL OF A

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

SEC FORM 3



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: Ecobank Ghana Limited.

Account Name: Securities and Exchange Commission

Account Number: 1441000144748

Branch: Head Office.

You are to send the payment advice 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