



'Ensuring Investor Protection'

SECURITIES AND EXCHANGE COMMISSION

NOTICE TO CAPITAL MARKET OPERATORS AND THE GENERAL PUBLIC: RESTRICTION ON MOVEMENT OF PERSONS

(NOTICE NO. SEC/PN/003/03/2020)

The Securities and Exchange Commission (SEC) hereby issues this Notice pursuant to Section 3 and 209 of the Securities Industry Act, 2016 (Act 929). In furtherance to the President of the Republic's exercise of powers under the Imposition of Restrictions Act, 2020 (Act 1012) to impose a restriction on movement of persons, the Securities and Exchange Commission (SEC) issues this Notice to Market Operators and Investors in the Securities Industry:

1. Market operators in areas not affected by the partial lockdown are to operate during working hours.
2. All Market operators in areas affected by the restriction on movement of persons are to operate using a minimum number of staff to meet the needs of their customers as well as recourse to electronic means to communicate with clients and facilitate transactions including securities trading, settlement, client investments and redemptions.
3. All market operators are reminded to adhere to SEC's Notice on Covid 19 issued on 20th March, 2020.
4. Submission of reports should continue to the email addresses provided below:

TYPE OF LICENSE HOLDER/ MARKET ACTIVITY	EMAIL ADDRESS
Fund Management Companies including Custodians, Trustees	funds@sec.gov.gh
Broker-Dealers/ Investment Advisors	brokerdealers@sec.gov.gh

Market Infrastructure Providers - (Ghana Stock Exchange, Ghana Commodities Exchange, Central Securities Depository and Registrars)	exmarkets@sec.gov.gh
Anti-Money Laundering Reporting Officers (AML/CFT)	auditrisk@sec.gov.gh
Listed Companies/ Issuers of Securities	issuers@sec.gov.gh

For further information and filing of complaints, please contact us on our website www.sec.gov.gh/
email: info@sec.gov.gh / Telephone: 0800100065

**BY ORDER OF
SECURITIES AND EXCHANGE COMMISSION
DATED THE 29th MARCH, 2020**