

PRUDENTIAL STOCKBROKERS LIMITED

Know Your Client Form

1. GENERAL INFORMATION

Title

Surname/Company Name

First Name **Others Names**

Maiden Name **Gender**

Identification No./Company Reg. No.

ID Type: Passport Voters ID Driver License Other *pls specify*

ID Number

Residential Address

2. MARITAL STATUS

Married **No. of Children** **Single**

Name of Spouse

3. INCOME

Your Annual Gross Income is (GH¢'000): Below 5 5-10 10-20 Above 20

Do you receive any extra income apart from your main employment income?

Remittances Other Bus. Activity Gift/ Allowance Other (*pls specify*)

4. INVESTMENT PROFILE

Overall Knowledge of Investment: Low Medium High

Attitude Towards Risk: Conservative Moderate Aggressive

KYC – Individual and Institutional Clients

(a) What is your primary financial goal/objective?

Retirement Children’s Education Buy a House Other (pls specify)

(b) How do you intend to fund your investments?

Monthly salary Personal savings Other Business Other (pls specify)

(c) When do you wish to start to withdraw money from your investment?

Below 1 year 1- 2 years 3 – 5 years 6 – 10 years over 10 years

(d) Which investments have you owned in the past in Ghana?

Stocks Treasury Bills Bonds Others

(e) How do you want this investment managed?

Discretionary Mandate * Non-discretionary Mandate

* *If discretionary, please complete a limited Power of Attorney to be attached to this form.*

(f) Investment Selection / Investment Options

Please indicate your desired investment allocation in whole percentage to total 100%

Stocks:

Growth Stocks % Income Stocks % Balanced Portfolio %

Fixed Income:

Fixed Deposit % Treasury Bills % Other F.I. Instruments %

5. NEXT OF KIN

Name:

Address:

Tel:

6. DECLARATION

Please read this information before signing this document

- a) This information has been provided by me in the strictest confidence.
- b) I understand that stock market investments are long-term investments and that the prices of listed securities may go up and/or down. I further understand that a past performance is not necessarily a guide to future performances.
- c) I warrant that the above information is correct and that any changes will be notified immediately to PSL in writing.

KYC – Individual and Institutional Clients

I acknowledge that:

- a) PSL agrees to execute clients’ buy and sell orders and pay monies due to clients subject to conditions prevailing in the stock markets.
- b) Payment to clients will be net of commissions and levies.
- c) PSL agrees to execute clients’ purchase and redemption orders of any fixed income instruments and pay monies due to clients subject to conditions prevailing at the time of transaction.

Signature _____

Date _____

For Official Use Only

Received by: _____

Date _____

Approved by: _____

Date _____