



# SEM Capital Management Limited

4<sup>th</sup> Floor, Trust Towers, Farrar Avenue  
P. O. Box CT 2069, Accra, Ghana  
Tel: (233 – 21) 235400 / 238382  
Fax: (233 – 21) 240666

## CLIENT APPLICATION FORM– Non-resident Retail Clients

Office Use: Client ID - \_\_\_\_\_ Rep # \_\_\_\_\_ Date \_\_\_\_\_

The Securities Industry Law requires that we ask and file specific information on the investment objectives, financial situation and particular needs of each client to provide a basis for our investment recommendations. The information you provide will enable us to understand your unique circumstances, the level of risk that is acceptable to you, as well as select an optimum portfolio that matches your level of risk and return objectives. Please keep your investment goal(s) in mind as you answer the following questions.

Individual

Joint

Client (1)		Client (2)	
Surname:		Surname:	
First Name:		First Name:	
Middle Name:		Middle Name:	
Date of Birth:		Date of Birth:	

Business Tel: \_\_\_\_\_ Fax \_\_\_\_\_

Residential Tel: \_\_\_\_\_ Mobile Tel: \_\_\_\_\_

Email Address \_\_\_\_\_

Postal Address: \_\_\_\_\_ City \_\_\_\_\_ Country \_\_\_\_\_

Nationality: \_\_\_\_\_ Occupation \_\_\_\_\_

Name and Address of Person to Receive Statements *(If different from above)* \_\_\_\_\_

Name and Address of **Next of Kin** \_\_\_\_\_

**INVESTMENT PROFILE**

**Source(s) of Income:**

- Employment Name & location of company: .....
- Self Employed Name/type of business: .....
- Student Name & location of institution: .....

**Gross Annual Income:**  Below \$10,000  \$10,000 - \$50,000  \$50,000 - \$100,000  
 Over \$100,000

**Available for Investment:**  Below \$2,500  \$2,500 - \$10,000  \$10,000 - \$50,000  Over \$50,000

Do you plan to make regular monthly contributions to your investment account?  Yes  No

If **Yes**, what is your expected average monthly contribution in one year?

Below \$200  \$200- \$1,000  Over \$1,000

**RISK TOLERANCE** (Please indicate by circling one of the following numbers)

1

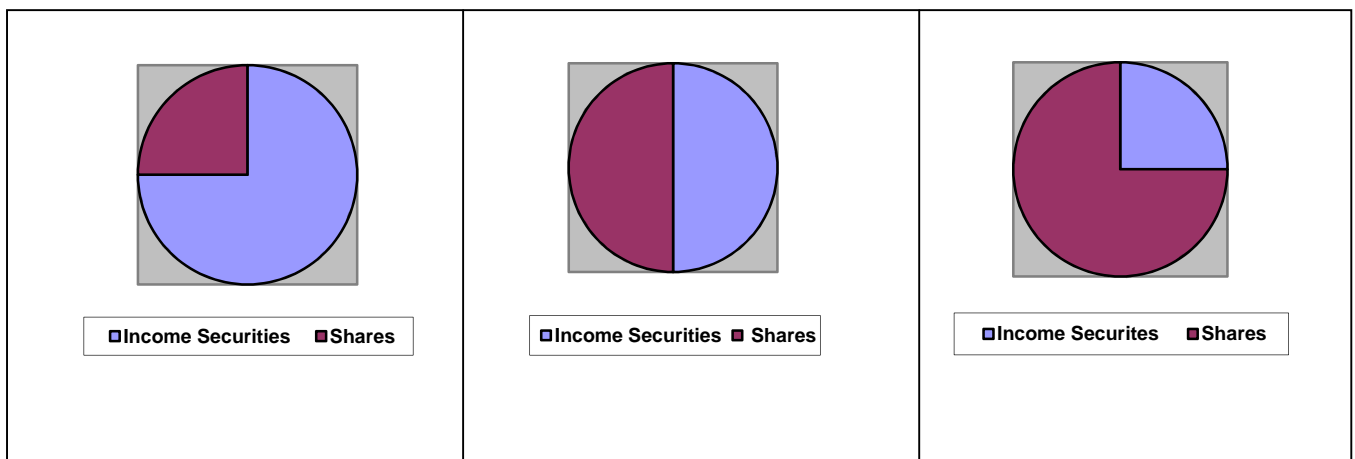
2

3

Low Risk/Conservative

Medium Risk/Moderate

High Risk/Aggressive



**INVESTMENT OBJECTIVES** (Please tick only one of the following)

- Long-term growth – building wealth over the long term
- Short-term growth – to maximize growth over 12 – 18 months
- Income – to maintain a regular income from investments
- Balanced – to achieve a balance between growth and income

**INVESTMENT KNOWLEDGE** (Please tick only one of the following)

- None
- Modest
- Extensive

**INVESTMENT HORIZON** (How long you wish to keep your money invested without making withdrawals?)

- 1 – 3 Years
- 3 – 5 Years
- 5 – 10 Years
- Beyond 10 Years

**Do you have any other investment or financial needs? If so please detail below**


Withdrawal: Clients are permitted to make immediate withdrawals on their cash balance. However if a client has no cash balance, he/she will have to wait, after a withdrawal form has been completed, for a maximum of five (5) days in the case of fixed income securities and till the shares are disposed on the stock market in the case of shares.

Note: Investors with deposits less than \$10,000.00 may make two (2) withdrawals, one in each half of an investor’s calendar year. Deposits in excess of \$10,000.00 may make three (3) withdrawals at any time within a calendar year.

I/We acknowledge that the information provided on this form is **true and accurate**.

Client Name (1) \_\_\_\_\_ Signature: \_\_\_\_\_

Client Name (2) \_\_\_\_\_ Signature: \_\_\_\_\_

Date \_\_\_\_\_

**PRIVACY NOTICE**

SEM Capital Management Ltd. is committed to a culture that respects the privacy of investors through ensuring the security of personal information collected about them. In providing services to you, SEM Capital will from time to time collect personal information from you in order to provide you with a range of financial services. Only information that is necessary to comply with the statutory requirement to have a “reasonable basis” for our recommendations will be collected. In order to fulfill our commitment to privacy, measures have been put into place to minimize the risk of unauthorized access to or loss of personal information. Please note that you can elect not to provide your personal information. However, by not providing your personal information, we may not be able to offer all of our services to you and that any investment advice that you do receive will be on a limited basis.