



**SEM Capital Management Limited**

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# CLIENT APPLICATION FORM– 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 of company: .....
- Self Employed      Name/type of business: .....
- Student      Name of institution: .....

**Gross Annual Income:**  Below GH¢4000     GH¢4,000 - GH¢9,900     GH¢10,000 - GH¢19,900  
 Over GH¢20,000

**Available for Investment:**  Below GH¢5000     GH¢5000 - GH¢7,999     GH¢8,000 - GH¢9,999  
 Over GH¢10,000

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 GH¢200
- GH¢200- GH¢500
- Over GH¢500

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

1

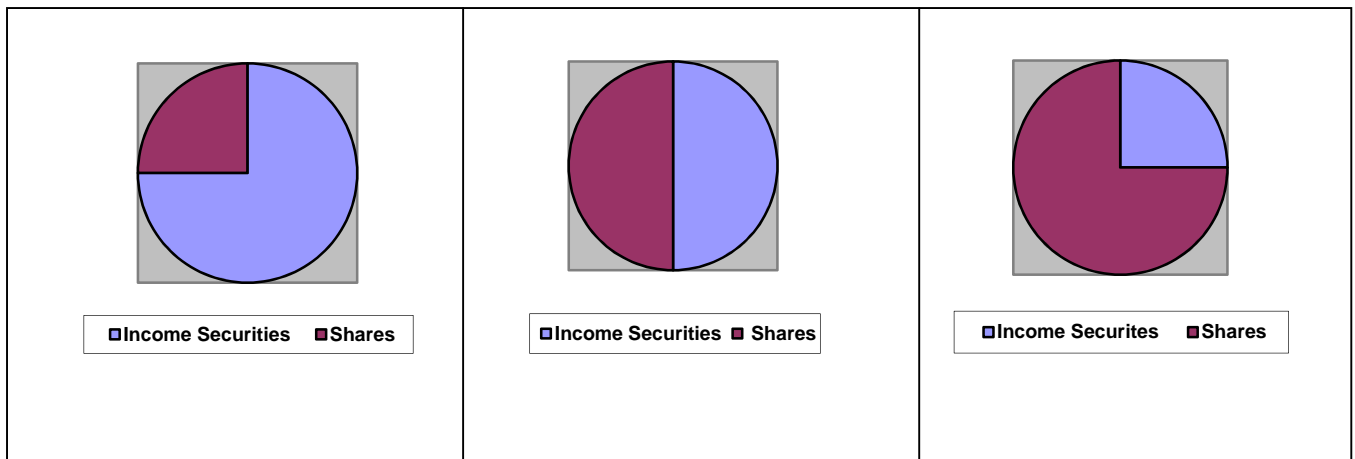
2

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 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 GH¢10,000.00 may make two (2) withdrawals, one in each half of an investor’s calendar year. Deposits in excess of GH¢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.