

[www.sas-ghana.com](http://www.sas-ghana.com)

Non-Discretionary Client  
**Brokerage Account**  
Application Form

**SAS** Strategic African Securities Ltd  
(Member of the Ghana Stock Exchange)

## Know Your Client Form - Non Discretionary Clients

### General Information

Surname/Company Name

First Name

Maiden Name

Title

Mr	Mrs	Ms	Dr	
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Other Names

Sex

M	F
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Identification No/Company Reg No

ID Type

Passport

National ID

Drivers License

Other *pls specify*

Date of Birth/Incorporation  
*dd/mm/yyyy*

Occupation

Nationality

Country of Residence

Postal Address

Residential Address

**Tel** Home

Mobile

Office

Fax

Email

### Joint Applicant

Surname

First Name

Maiden Name

Other Names

Title

Mr	Mrs	Ms	Dr	
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ID No

ID Type

Date of Birth  
*dd/mm/yyyy*

Nationality

Signature (Joint Applicant)

Date

**Investment Profile**

**Investment Objective**      Income Generation only       Income Generation & Some Capital Growth

   Capital Growth & Some Income       Aggressive Capital Growth only

**Overall Knowledge of Investment**      Low       Medium       High

**Attitude Towards Risk**      Conservative       Moderate       Aggressive

**Your Annual Gross Income is (GH¢'000)**      5 and below       5-10       10-20       Above 20

**Your Networth is (GH¢'000)**      10 and below       10-20       20-50       Above 50

**DECLARATION**

Please read this information before signing this document

- a) By signing this, I/we authorise SAS to open a brokerage account on my behalf.
- b) This information has been provided by me in the strictest confidence.
- c) I/We understand that stock market investments are long-term investments and that the prices of listed securities may go up and/or down. I/We further understand that a past performance is not necessarily a guide to future performances.
- d) I/We warrant that the source of funds for this investment is legal.
- e) I/We warrant that the above information is correct and that any changes will be notified immediately to SAS in writing.

I/We acknowledge that:

- a) SAS reserves the right to reject any application
- b) SAS agrees to execute clients' buy and sell orders and pay monies due to clients subject to conditions prevailing in the stock and foreign exchange markets
- c) Payment to clients will be net of commissions & levies and all bank charges.

I/We accept that:

- a) SAS can only purchase securities on my/our behalf upon my/our instruction(s)
- b) SAS shall not be held responsible for any losses, liabilities, damages and costs incurred in connection with any instruction(s) given by me/us

In the case of joint accounts, an order is valid with the following signatures

Any       Both       Principal

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 Signature (Applicant)      Date

Thank you for your time

**For Official Use by SAS**

Receiving Officer \_\_\_\_\_ Approved by: \_\_\_\_\_

## General Information

Please sign the bottom of this page to show you have read and accept that trades will be executed for you on the following terms and conditions

### RECEIVING INSTRUCTIONS

SAS will act on instructions received from you via:

Phone:

Fax:

Email:

Instructions from the following fax/email address will be considered valid:

Name	Fax Number/Email Address

### FEES APPLICABLE

#### Levies & Commissions on Transactions

Security	Levies & Commissions (%)					
	GSE	Market Dev't	CSD	SEC	SAS' Commission	Total (Levies+Comm)
Equity	0.35	0.05	0.15	0.15	1.25	1.95
Gov't Bonds	0.05	0.05	0.05	0.05	0.25	0.45
Corporate Bonds	0.05	0.05	0.05	0.05	1.25	1.45

### CLIENT STATEMENTS

Monthly	GH¢20.00 p.a
Quarterly	GH¢10.00 p.a
Yearly	GH¢2.5000 p.a
On Request	GH¢2.50 /statement

Please sign this page to show you have read and accept the above information \_\_\_\_\_