



Republic Investments (Ghana) Limited

MANAGED FUNDS APPLICATION FORM

☐ INDIVIDUAL ☐ JOINT	☐ IN-TF	RUST FOR
UNIT TRUST EQUTIY TRUST	REIT	F-PLAN TRUST
ACCOUNT NAME		
ACCOUNT NUMBER		
BRANCH		

REQUIREMENTS FOR OPENING AN ACCOUNT FOR INDIVIDUAL/JOINT ACCOUNT

Please complete all relevant portions of the application form and return this package along with the originals for sighting only and copies of the following documents.

INDIVIDUAL / JOINT APPLICANT

- 1. Passport-sized photographs (Account Holders / Beneficiaries)
- 2. Proof of Identity
- 3. Proof of Identity of Account Beneficiary
- 4. Proof of Address
- 5. Specimen Signature (s)
- 6. Email Indemnity (for clients with email address)
- 7. Proof of Foreign Address (for Non-Resident clients)
- 8. Resident / Work Permit (for Non-Ghanaians)
- 9. PIN (Ghana Card)

TRUST ACCOUNT (ITF)

- 1. A Duly Completed Form
- 2. One Passport Picture
- 3. A valid ID
- 4. Proof of Residence
- 5. PIN (Ghana Card)
- 6. Birth Certificate (Minor)

Designated Non-Financial Business and Professions (DNBFPs) are high risk and must be rated as such. They are listed below:

- 1. Real Estate Agents.
- 2. Dealers In Precious Metals
- Dealers In Precious Stones.
- 4. Lawyers, Notaries, Other Independent Legal Professionals And Accountants.
- 5. Trust And Company Service Providers.
- 6. Casinos And Other Gambling Service Providers.

ACCOUNT OPENING FORM - INDIVIDUAL/JOINT/ITF (In-trust-for) NOTE: PORTIONS MARKED WITH * ARE COMPULSORY AND MUST BE COMPLETED CATEGORY OF INVESTMENT Individual ITF Joint **Unit Trust** F Plan REIT **Equity Trust** *PERSONAL INFORMATION 1 Other (Please specify) *Title: *First Name: *Surname: Other Name(s): *Maiden Name: *Marital Status: Single Married *Gender: Male Female: *Place of Birth: *Date of Birth: *Mother's Maiden Name: **Digital Address:** *Residential Status: Resident Ghanaian: Non - Resident Ghanaian: Nearest Landmark: Resident Foreigner: Non - Resident Foreigner: *Country of Origin: *Country of Residence: If country of origin is not in Ghana, please provide the following: Resident Permit Number Permit Issue Date City/Town Place of Issue Postal Address: **Permit Expiry Date Mobile Number: Email Address: Residential Address:** *Contact Details (In case of emergency) **Contact Name:** Relationship to client: **Contact Number:** *Occupation: Profession *TIN / PIN (GHA) *PERSONAL INFORMATION 2 (FOR JOINT APPLICANT) Other (Please specify) *Title: *Surname: *First Name: *Other Name(s): *Maiden Name: *Marital Status: Single Married *Gender: Male Female: *Place of Birth: *Date of Birth: *Mother's Maiden Name: **Digital Address:** *Residential Status: Resident Ghanaian: Non - Resident Ghanaian: Nearest Landmark: Resident Foreigner: Non - Resident Foreigner: *Country of Origin: *Country of Residence:

If country of origin is not	in Ghana, please provide the follo Resident Permit Number		Permit Issue Date			City/Town
	Hosidone Formit Nambor		T CITILL ISSUE DULC			Oity/10Wil
	Place of Issue	_	Permit Expiry Date	e	_	Postal Address:
Mobile Number:		_	Email Address	:	_	
Residential Address:						
*Contact Details (In case	of emergency)					
Contact Name:						
Relationship to client:						
Contact Number:						
*Occupation:		Pro	fession			
*TIN / PIN (GHA)						
*PROOF OF IDENTIT	Υ1					
ID Type:						
	Valor- ID	Drivers Lic		CONIT Diamar	io Cord	National ID
Passport ID Number:	Voters ID		D D M	SSNIT Biometr	y y	National ID
		*Issue Date	5	M Y Y		
Place of Issue:		Expiry Date	e: D D M	M Y Y	YY	
*PROOF OF IDENTIT	TY 2 (FOR JOINT APPLICAN	I)				
ID Type:						
Passport	Voters ID	Drivers Lic	ense	SSNIT Biometr	ic Card	National ID
ID Number:		*Issue Date	e: D D M	M Y Y	YY	
Place of Issue:		Expiry Date	e: D D M	M Y Y	YY	
*STATEMENT SERV	ICES					
Mode of Statement Delivery:	Email: C	ollection				
Statement Frequency:	Quarterly Ha	alf Yearly				
*EMPLOYMENT / BU	JSINESS DETAILS 1					
Status:	Employed	Self-employed	Uner	mployed	Retired	Student
Years of Employment	Years of Cu	ırrent Employmeı	nt	Years of Prev	<i>i</i> ous Employmen	ıt
Total Monthly Income Range	Below 1,000 Ab	ove 1,001 - 5,00	0 Abov	re 5,001 - 10,000)	Above 10,000
NB: Income includes sala	ry and other income / cash inflow	ıs				
Name (Employer / Busine / School)	ss					
Address (Employer / Business / School)						
Nearest Landmark			Digital Addres	SS		
City / Town	*Na	ature of Business				
Contact Number 1:			Co	ontact Number 2	:	

*EMPLOYMENT / BUS	INESS DETAILS 2 (F	OR JOINT APPLICAN	Т)		
Status:	Employed	Self-employed	Unemployed	Retired	Student
Years of Employment	Voorm	of Current Employment	Voors	of Dravious Employme	
Total Monthly Income		of Current Employment		of Previous Employme	
Range	Below 1,000	Above 1,001 - 5,000	Above 5,001	- 10,000	Above 10,000
NB: Income includes salary	and other income / cash	inflows			
Name (Employer / Business / School)					
Address (Employer / Business / School)					
Nearest Landmark			Digital Address		
City / Town		*Nature of Business			
Contact Number 1:		Nature of Dusiness	Contact Nu	mber 2:	
*IN TRUST FOR					
*Title:	Mr. Mrs.	Ms. Minor.			
*Surname:			*First Name:		
Other Name(s):			*Maiden Name:		
Relationship with Account Applicant:					
*Marital Status:	Single	Married	*Gender: Male	Female:	
*Date of Birth:			*Place of Birth:		
*Country of Origin:			Country of Residence:		
ID Type:	Birth Certificate				
Passport	Voters ID	Drivers Licen	se SSNIT I	Biometric Card	National ID
ID Number:		*Issue Date:	D D M M	Y Y Y	
Place of Issue:		Expiry Date:	D D M M	/ Y Y Y	
CLIENT INVESTMENT	PROFILE 1				
1. Investment Objective:					
2. Risk Tolerance:	Low		Medium	High	
3. Investment Horizon:	Short Term		Medium Term	Long Tern	n
4. Investment Knowledge:	Low		Medium	High	
CLIENT INVESTMENT	PROFILE 2 (FOR JOI	NT APPLICANT)			
1. Investment Objective:					
2. Risk Tolerance:	Low		Medium	High	
3. Investment Horizon:	Short Term		Medium Term	Long Tern	1
4. Investment Knowledge:	Low		Medium	High	
					_

*EXPECTED ACCOUNT ACTIVITY						
*Source of Funds: If Other, Please Specify:	Salary Proceeds from business	Inheritance/Gifts	Personal Savings Others			
*Initial Investment Amount (GHS):						
*Anticipated Investment Activity:						
Top-ups:	Monthly Quarterly	Bi-Annual	Annual Other Frequency			
If Other, Please Specify:						
Withdrawals:	Monthly Quarterly	Bi-Annual	Annual Other Frequency			
If Other, Please Specify:						
*Anticipated Investment Amount (GHS)	:					
Regular Top-up Amount (Expected):	Re	gular Withdrawal Amount (Exp	ected):			
*BANK ACCOUNT DETAILS						
Bank Name	Account Name	Account Number	Bank Branch			
OFFICIAL USE ONLY						
*CLIENT ADDITIONAL INFORMATION (1)						
	tives, senior management, administrators		NT IS A POLITICALLY EXPOSED PERSON (PEP)			
in Ghana YES / NO	rt, politician, senior public official, senior respectify name and nature of the position:	military official, senior public co	prporation officer, high rank political party official			
,,,						
A head of state/governmen outside Ghana YES / NO	t, politician, senior public official, senior ı	military official, senior public co	rporation officer, high rank political party official			
If yes to any above, please	specify name and nature of the position:					
*CLIENT ADDITIONAL INFORMATION 2 (FOR JOINT APPLICANT					
	· ·	ETERMINE WHETHER THE CLIE	NT IS A POLITICALLY EXPOSED PERSON (PEP)			
Do the shareholders, directors, execut	tives, senior management, administrators	, trustees and signatories fall u	nder the following:			
A head of state/government, politician, senior public official, senior military official, senior public corporation officer, high rank political party official in Ghana YES / NO						
If yes to any above, please	specify name and nature of the position:					
A head of state/government, politician, senior public official, senior military official, senior public corporation officer, high rank political party official outside Ghana YES / NO						
	specify name and nature of the position:					



FAX AND EMAIL (facsimile transmission and electronic mail) INDEMNITY

To: Repu	ıblic Investments (Ghana) Limited (Repub	lic Investments)
I/We		request you to act in accordance with any instructions,
	on or other communications furnished to you, or	which reasonably appear to have been furnished to you, by me/
		ile transmission) or by an electronic email (electronic mail). This
applies w	hether they are transmitted directly to a fax ma	chine or to a computer owned by you or otherwise. This applies
		hich I/We have with Republic Investments, or in which Republic
=	nts may be acting on my/our behalf or in accorda	
I/We ackn	owledge that you have given the following discla	imer-
Republic I	Investments cannot detect from inspection of fax	documents or emails
•Whether	the original document from which the fax was cr	reated or the text or the content of any email (or any document or
other file	attached to an email) was forged. Unauthorized,	wrongfully altered, or otherwise misused, or
Whether	any of the transmission details imprinted autom	atically on a fax, such as the name of sender, sending telephone
number o	r the date or time of transmission are false.	
•Whether	any of the transmission details included in a	received email, such as the sender's name, the sender's email
address, t	the date or the time of sending, server details or t	he route through which the email travelled are false.
Because o	of this, I/We realize that Republic Investments car	nnot accept any liability for loss to me/us resulting from failure to
detect suc	ch matters in any fax document or email furnishe	d or appearing to have been furnished by me/us.
Republic I	Investments require the following indemnity befo	re agreeing to my/our above request.
I /We ackr	nowledge disclaimer, and ask you to act on the ab	ove request. If you do this, I/We, WILL INDEMNIFY YOU against any
action, da	mage cost, claim, demand or loss arising from mo	e/us or on my/our behalf. This indemnity applies even if any such
fax or ema	ail was produced by or contains or has attached a	ny forgery, lack of authority, wrongful alteration or other misuse of
a docume	nt, text or file, or if any transmission details or in	formation appearing on it are not genuie. This indemnity applies
even if an	y such fax or email was not in fact issued by me/	us or with my/our authority.
Dated the	day of	20
	Name	Signature (1)
	Name	Signature (2)

Republic Investments is committed to customer confidentiality. As a business, we can communicate with you via unencrypted e-mail/ fax. Unless otherwise advised by you in writing, we shall assume, and it is hereby agreed between us, that (i) you are satisfied for us to communicate with you by way ofunencrypted e-mail/ fax and (ii) we are not liable for (a) any loss or damage of any nature, whether direct or indirect, that may arise as a result of our sending unencrypted email that contains any information of any nature regarding you or your officers, staff or employees, and (b) any damages arising as a result of any virus being passed on or with, or arising from any alteration of , any email message that we may send. We agree to the above and consent for you to communicate with us via unencrypted email.

Customer Name Account # Score Column Yes/No Extended Score Column The customer meets the PEP qualifying criteria and currently holds the position in public office or has been out of office for less than 5 years. The PEP has been out public office for 5 years or more and is either still actively or less actively involved in politics. The customer is a relative or close associate of a PEP as identified in questions 1, 2 (e.g. spouse, partner, child, parent, joint account holder etc.) The customer is a Private Banking and/or other wealth management customer, individual or business customer with cumulative balances of over GHC1,500,000.00 monthly.										
Nature of High Risk Exposure: PEP										
High Risk Business (Refer to guide) High Risk Country State Country AML CUSTOMER RISK RATING For Use By RIGL Official Only Branch / Unit & Location Date Date Customer Name Account # Score Column Yes/No Extended Score Column Yes/No Extended Score Column Yes/No The customer meets the PEP qualifying criteria and currently holds the position in public office or has been out of office for less than 5 years. The PEP has been out public office for 5 years or more and is either still actively or less actively involved in politics. The customer is a relative or close associate of a PEP as identified in questions 1, 2 (e.g. spouse, partner, child, parent, joint account holder etc.) The customer is a Private Banking and/or other wealth management customer, individual or business customer with cumulative balances of over GHC1,500,000.00 monthly.										
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AML CUSTOMER RISK RATING For Use By RIGL Official Only Branch / Unit & Location Date Date Date Customer Name Account # Score Column Yes/No Extended Score In the customer meets the PEP qualifying criteria and currently holds the position in public office or has been out of office for less than 5 years. The customer is a relative or close associate of a PEP as identified in questions 1, 2 (e.g. spouse, partner, child, parent, joint account holder etc.) The customer is a Private Banking and/or other wealth management customer, individual or business customer with cumulative balances of over GHC1,500,000.00 monthly.										
AML CUSTOMER RISK RATING For Use By RIGL Official Only Branch / Unit & Location Date Date Customer Name Account # 1. The customer meets the PEP qualifying criteria and currently holds the position in public office or has been out of office for less than 5 years. 2. The PEP has been out public office for 5 years or more and is either still actively or less actively involved in politics. 3. The customer is a relative or close associate of a PEP as identified in questions 1, 2 (e.g. spouse, partner, child, parent, joint account holder etc.) 4. The customer is a Private Banking and/or other wealth management customer, individual or business customer with cumulative balances of over GHC1,500,000.00 monthly.										
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Branch / Unit & Location Date Customer Name Account # Score Column Yes/No Extended Score for less than 5 years. 1. The customer meets the PEP qualifying criteria and currently holds the position in public office or has been out of office for less than 5 years. 2. The PEP has been out public office for 5 years or more and is either still actively or less actively involved in politics. 3. The customer is a relative or close associate of a PEP as identified in questions 1, 2 (e.g. spouse, partner, child, parent, joint account holder etc.) 4. The customer is a Private Banking and/or other wealth management customer, individual or business customer with cumulative balances of over GHC1,500,000.00 monthly.	AML CUSTOMER RISK RATING									
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5. The customer is categorised as a Designated Non-Financial Rusiness and Professions example casines real estates										
p outstand to outstand the a profession from a manerial publication in a reference of the control of the										
accountants, lawyers etc.										
6. The customer/business is categorised as a Club (except small groups whose activities or nature may not qualify them as high risk, e.g. youth groups in churches, rural groupings, clubs or associations that depend on small membership dues) / Association/NPO/NGO.										
7. The customer is represented by another person via Power of Attorney.										
8. The beneficial owner(s) and/or ownership structure are difficult to identify and/or verify.										
9. The beneficial owner(s) of the account is/are Nationals of a high-risk country.										
10. The Customer/Business Entity is registered in a foreign country with no local operations.										
11. The customer is conducting business with a high risk country and utilises one or more of the following products or services: Wire Transfers, Foreign Drafts, Letters Of Credit.										
12. The source of funding or declared income for the account CANNOT be determined.										
13. The customer is engaged in Large and/or frequent wire-in/wire-out or inland online transfers.										
14. The customer is non resident in Ghana.										
TOTAL										
NOTE: a) For each 'Yes' response, the value in the Score column is to be used. a) For each 'No' response, the default score of zero(0) is to be used.										
SCORE LEGEND										
Risk Rating Score										
High Risk ≥ 5 Interviewing Officer Supervisor										
Medium Risk 3 and 4										
Low Risk 0, 1 and 2 Date Date										

*CUSTOMER RIS	SK PROFILE	2 (F0R	R JOIN	T APPLIC	ANT)												
Client Verification / S	Screening:																
Level of Risk:		Low		Medi	um		High	ı									
Nature of High Risk	Exposure:	PEP Non-Resident															
		High Ris	igh Risk Business (Refer to guide) State nature of business														
High Risk Country State Country AML CUSTOMER RISK RATING																	
		inu															
For Use By RIGL Official Only																	
Branch / Unit & Location Date																	
0														D D			Y Y Y Y
Customer Name														Account	#		
													Score C	olumn	Yes/No	E	xtended Score
The customer mee for less than 5 yea	•	fying crite	eria and o	currently hol	ds the posi	tion in	public of	fice	e or h	as beei	n out	of office		5			
2. The PEP has been	out public office	for 5 yea	ars or mo	re and is eitl	her <i>still act</i> i	tively o	r less act	ive	<i>ly</i> invo	olved i	n polit	tics.		5			
3. The customer is a relative or close associate of a PEP as identified in questions 1, 2 (e.g. spouse, partner, child, parent, joint account holder etc.)									5								
 The customer is a Private Banking and/or other wealth management customer, individual or business customer with cumulative balances of over GHC1,500,000.00 monthly. 									5								
The customer is categorised as a Designated Non-Financial Business and Professions example casinos, real estates, accountants, lawyers etc.								5									
6. The customer/business is categorised as a Club (except small groups whose activities or nature may not qualify them as high risk, e.g. youth groups in churches, rural groupings, clubs or associations that depend on small membership dues) / Association/NPO/NGO.																	
7. The customer is re	epresented by an	other per	rson via P	ower of Atto	orney.									4			
8. The beneficial owr	ner(s) and/or ow	nership st	tructure a	are difficult t	to identify a	and/or	verify.							5			
9. The beneficial owr	ner(s) of the acco	ount is/ar	e Nationa	lls of a high-	risk countr	ry.								5			
10. The Customer/Bus	iness Entity is re	egistered	in a forei	gn country v	with no loca	al opera	ations.							5			
11. The customer is co services: Wire Tran					d utilises o	ne or n	nore of th	ne f	follow	ing pro	oducts	s or		5			
12. The source of fund	ling or declared	income fo	or the acc	ount CANNO	OT be deter	mined.								5			
13. The customer is er	ngaged in Large	and/or fre	equent w	ire-in/wire-o	out or inland	d onlin	e transfe	rs.						5			
14. The customer is no	on resident in Gh	nana.												5			
														TOTAL			
NOTE: a) For each 'Yes' responsible for each 'No' responsible for each					d.												
SCORE L	EGEND																
Risk Rating	Score																
High Risk	≥5					Inter	viewing	Offi	icer						Sup	ervis	or
Medium Risk Low Risk	3 and 4 0, 1 and 2			-			Date								D	ate	
				_													

SIGNATURE MANDATE		
ACCOUNT NUMBER :		
ACCOUNT NAME :		
SIGNING INSTRUCTION SPECIMEN SIGNATURE (S) TO BE SIGNED		
A	PHOTO PLACEMENT	A
PRINT NAME		
В	PHOTO PLACEMENT	В
PRINT NAME (FOR JOINT APPLICANT)		
C	PHOTO PLACEMENT	C
PRINT NAME		
D	PHOTO PLACEMENT	D
One to sign	Fither to 9	sian Roth to sian

PROOF OF LOCATION 1	
PROOF OF LOCATION 2 (FOR JOINT APPLICANT)	

CONSENT STATEMENT

PLEASE READ CAREFULLY

Below are important information about your Republic Investment Account. By signing this form, you indicate your consent to the following:

Minimum Initial Investment: the minimum initial investment for each of the Collective Investment Scheme (CIS) shall be the required minimum amount stated in the scheme particulars (SP) of that particular scheme at the time of purchasing the units. In the events that a unit holder's total investment in any fund is reduced to less than the required minimum amount, such an investment will be mandatorily redeemed.

Additional Investments: the minimum additional investments for each Collective Investment Scheme (CIS) shall be the amount stated in the scheme particulars (SP) of that particular scheme at the time of making the additional investment.

Redemption of Units: the manager shall be obliged upon the request of a unit holder, to redeem the units and make payments for them within five (5) working days at the prevailing bid price on the actual day of disinvestment as displayed by the manager.

Yields or Return on Investments: yields or returns on each Collective Investment Scheme (CIS) investments are subject to the performance of the underlying assets in which each scheme is invested in. past performance are not guarantee for future performances.

Anti-Money Laundering: Republic Investments is bound by the Laws of the Securities & Exchange Commission and the Financial Laws & Regulations of Ghana and that permits us to disclose any confidential information or share confidential information with lawful authorities or when mandated by the laws or by an order of a court of competent jurisdiction.

Disclosure of Information: the customer hereby authorizes the disclosure of any information regarding his/ her account(s) to an associated third party in order for Republic Investment to execute its instructions. The customer also hereby authorizes the disclosure of any information regarding his/ her account(s) to any entity within the Republic Ghana "Group" to enable any cross selling or servicing of Republic Investments or Republic Bank's products and services.

Statement of Accounts: Republic Investments shall submit a customer's accounts, at least, on a regular basis through electronic means, or an acceptable medium.

Indemnification: the customer agrees to protect and fully compensate Republic Investments and its affiliate and service providers from any/and all third party claims, liability, damages, expenses and cost (including, but not limited to legal fees caused by or arising from a customer's use of our service(s), violation of terms or infringement by any other users of a customer's account(s), intellectual property or other right of the customer.

property or other righ	(//	or torme or miningement	by any only abore or a casternor o account of, interiora	41
orm is correct, true	and valid, that by my/our re	quest, to open and maint	eclare that all the information submitted by me/us in th ain securities account(s) in my/our name and undertake t rmation as may be necessary.	
/we also declare tha	at we have read thoroughly ature(s) on this form. I/we co ceived from (Republic Inves	and understood the cont onsent that investment de	ents of this application and have given my/our consent to cisions are my/our prerogative without sole reliance on the ments) accepts no liability for any direct or consequenti	ie
/we also declare that	at debts incurred on my/ou	r securities account(s) b	y virtue of my/our trade orders shall be settled by me/u	IS
Dated the	day of	20		
	Name		Signature (1)	
	Name		Signature (2)	

*APPROVALS	
Account opened by	Account approved/authorized by Compliance Officer /AMLRO:
Name of Licensed Officer	Name:
Position:	Position:
Signature:	Signature:
Date:	Date:
Accounts of High Risk Nature must be jointly approved by CEO / Executive / Seni High risk account authorized / approved by Executive / CEO	<u> </u>
Name:	
Signature: Date:	D D M M Y Y Y
Comments:	
*CHECKLIST	
SN Documents Required 1. *Passport-sized photographs (Account holders / Beneficiaries)	Verified
2. *Proof of Identity	
3. *Proof of Identity of Account Beneficiary	
4. *Proof of Address	
5. *Specimen signature (s)	
6. *Email Indemnity (for clients with email address)	
7. *Proof of Foreign Address (for Non-Resident clients)	
8. *Resident / Work Permit (for Non-Ghanaians)	
9. *Executed Management Agreement (Strictly for High Net Worth Clients)	



Republic Investments (Ghana) Limited

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