

GFIM

MEMBERSHIP REGISTRATION FORM

APPLICANT CONTACT DETAILS

Name:

Telephone/Mobile:

Email Address:

CATEGORY OF MEMBERSHIP (Please Tick)

- | | |
|--|--------------------------|
| 1. Primary Dealer Bank | <input type="checkbox"/> |
| 2. Non-Primary Dealer Bank licensed by the SEC | <input type="checkbox"/> |
| 3. Broker-Dealer licensed by the SEC | <input type="checkbox"/> |
| 4. Licensed Dealing Member of the Ghana Stock Exchange | <input type="checkbox"/> |

KEY OFFICERS/TRADERS**TREASURER**

Name:

Email:

Telephone:

COMPLIANCE OFFICER

Name:

Email:

Telephone:

DEALING OFFICERS/BROKERS

Name:

Email:

Telephone:

Name:

Email:

Telephone:

Completed forms should be submitted to:

GHANA STOCK EXCHANGE
ATTN: GFIM DEPARTMENT
5TH FLOOR, CEDI HOUSE
LIBERIA ROAD, ACCRA

All requests for clarification should be sent via email to gfim@gse.com.gh or
call +(233) 302 669 908/

Documents to be Attached to Membership Registration Form

1. Company Profile
2. Resume of Directors & Key Officers
3. Board Resolution in support of Application to become GFIM Member
4. List of All Shareholders & Beneficial Owners holding 5% or more at the time of Application
5. Resumes of GFIM Traders or RSDs
6. Certified True Copy of SEC Broker-Dealer Licence for GFIM Member
7. Certified True Copy of SEC Broker-Dealer Representative Licence for GFIM Traders or RSDs
8. Signed Undertaking to Abide by GFIM Rules
9. Evidence of Payment of Application Fee

Additional Documents to be Submitted by Member to GFIM Prior to Commencement of Trading on GFIM:

- i. Depository Participant Agreement with CSD
- ii. Evidence of Sign-Up to GFIM-Approved Trading System(s)