

PENSION FUND CUSTODIAN APPLICATION CHECKLIST FOR 2020 OPERATIONAL LICENCE

INSTRUCTIONS: The Following are Key Requirements for the 2020 Renewal Process. Kindly Complete and Submit with Application Documents

Pension Fund Custodian Name:

Pension Fund Custodian ID:

| NO | KEY REQUIREMENTS | N/A | YES | NO | DETAILS |
|-----|---|-----|-----|----|---------|
| 1. | Have you attached a cover letter to this application? | | | | |
| 2. | Have you attached evidence of payment/cheque for annual renewal registration fee of GHS 5,000.00? | | | | |
| 3. | Have you attached duly completed Application Form NPRA/RR/PFC/2020? | | | | |
| 4. | Have you attached or already submitted signed 2019 Audited Company Financial Statements? 4.1 If already submitted, attach evidence | | | | |
| 5. | Have you already submitted duly completed NPRA KYC forms relating to shareholders, directors and CEO (filed with Registrar General's Department)? | | | | |
| 6. | Have you attached a valid Data Protection Certificate? | | | | |
| 7. | Have you attached a valid SSNIT Clearance Certificate? | | | | |
| 8. | Have you attached a valid Tax Clearance Certificate? | | | | |
| 9. | Have you attached Securities and Exchange Commission Custodian Licence (July 01, 2020 -June 30, 2021)? | | | | |
| 10. | Have you attached list of schemes with the date of appointment and expiry per contractual agreement? | | | | |
| 11. | Have you attached the Location map of Custodian Company's indicative Ghana Postal Digital Address? | | | | |

OFFICIAL USE ONLY

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| <p>DATE OF SUBMISSION:</p> <p>PERSONNEL IN-CHARGE:</p> <p>SUBMITTED BY:</p> <p>COMMENT:</p> |
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