

NATIONAL PENSIONS REGULATORY AUTHORITY



NPRA/SHAREHOLDER/IND/23

NATIONAL PENSIONS ACT, 2008 (ACT 766)

KNOW YOUR CUSTOMER INFORMATION

(DECLARATION BY THE **SHAREHOLDER** OF A CORPORATE TRUSTEE/PENSION
FUND MANAGER/PENSION FUND CUSTODIAN **WHO IS AN INDIVIDUAL**)

NOTES:

- (1) *This form shall be filled by an Individual Shareholder of a company.*
 - (2) **Individual Shareholder** in relation to the applicant Corporate Trustee, Pension Fund Manager and Pension Fund Custodian.
 - (3) *The completed form shall be scanned and attached to the Excel Workbook for renewal of license/ registration.*
 - (4) *All data fields must be answered. If any data field is not applicable, please write "N/A."*
 - (5) *The responses should be inputted in the respective **work sheet** provided in your respective Reporting Code-Excel workbook.*
 - (6) *Please provide any other information which may assist the National Pensions Regulatory Authority*
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NO.	DATAFIELD	TAXONOMY/DESCRIPTION	RESPONSE
1	First/Other/Surname of Shareholder	Provide Full name of the Individual Shareholder of the Company	
2	Date of Birth	Provide date of birth of the Individual Shareholder of the Company (DD.MM.YYYY)	
3	Nationality	Country of Birth/ Origin OF Individual Shareholder	
4	Individual Tax Identification Number	Unique Tax Identification for the individual by Ghana Revenue Authority	
5	Ghana Card Number	Unique Identification Number issued to individual National Identification Authority	
6	Gender	Male or Female	
7	Digital Address of Individual	Official Digital Property Addressing Number of individuals	
8	Personal Telephone	Official Telephone number of shareholder for all enquiries	
9	Personal Email Address	An official electronic mail address for all mail correspondence.	
10	Board/Management Role	Role at Board or Management level he or she holds, where applicable	
11	Type of Shareholding	Type of shares allotted	
12	Holding Percentage	Percentage of shares allotted on record at Registrar of Companies	
13	Total Shares Allotted	Number of shares allotted on record at Registrar of Companies	
14	Related Party Dealings	Are you a director or Shareholder in any other corporate trustee, pension fund manager or pension fund custodian company or a company that owns any of the above? If yes, fill in name of entity at next row under the appropriate column. If yes, attach details	
15	Interconnectedness	Has any company other than this entity in which you hold shares benefited from any scheme	

NO.	DATAFIELD	TAXONOMY/DESCRIPTION	RESPONSE
		investment from the pension industry?	
16	Mental Capacity	Have you ever been found by a court, to be of unsound mind and incapable of managing your personal affairs?	
17	Relationship With a Blacklisted Party	Have you as an individual, ever been concerned with a body corporate, partnership or unincorporated entity whose directors or shareholder were convicted of any offence; or censured, disciplined or reprimanded by, or denied or disqualified from membership of a professional or trade body; or whose authorization or registration or similar type of approval refused, suspended or revoked by a regulatory body in Ghana or elsewhere?	
18	Bankruptcy	Have you held shares in a corporate entity declared bankrupt by a court or currently subject to bankruptcy proceedings or a bankrupt entity which has been discharged; or has entered into any scheme of arrangement or any form of composition with its creditors, in Ghana or elsewhere?	
19	Criminal Records	Have you as an individual ever been convicted of any offence or the subject of unresolved charges, in Ghana or elsewhere?	
20	Contempt of Court	Have you as an individual failed to comply with any judgment debts, judgments, or courts orders for the payment of damages, or other sums of money, in Ghana or elsewhere, outstanding against you? If yes, attach details of payment status.	

NO.	DATAFIELD	TAXONOMY/DESCRIPTION	RESPONSE
21	Blacklisting	Have you ever been convicted by a court of competent jurisdiction and banned from being a trustee, shareholder, or a controller of a company?	
22	Civil Litigation	Have you ever been or currently a party to any civil litigation, in Ghana or elsewhere? If yes, attach details on the matter.	

DECLARATION

I declare that to the best of my knowledge and belief the information given in this application form is correct and complete.

I certify that the documents attached to this application are true and correct copies.

I undertake to notify the Authority of any matter which affects the validity of any information given in support of my application.

After the application is approved, I undertake to notify the Authority of any material changes to, or affecting the completeness or accuracy of, the information provided in this Form as soon as possible.

▪ **Signature:** _____

▪ **Date of Application:** _____

OFFICIAL WITNESS

▪ **Name of Official*:** _____

▪ **Designation:** _____

▪ **Signature:** _____

▪ **Date of Application:** _____

