



ASSET & WEALTH MANAGEMENT

**DUE DILIGENCE
QUESTIONNAIRE**



ASSET & WEALTH MANAGEMENT



BUSINESS OVERVIEW

NAME OF COMPANY/INSTITUTION:

TYPE OF BUSINESS: *Public* *Partnership* *Private* *Trust* *Other(s)*

BUSINESS INCORPORATION: DATE: dd mm yyyy

BUSINESS COMMENCEMENT: DATE: dd mm yyyy

REGISTERED BUSINESS OFFICE:

AUDITOR: Name Contact

BANKER(S): Main

Other: *Other:*

SECRETARY:

CONTACT DETAILS

CONTACT PERSON (1): Name

Position: *Number:*

E-Mail: *Fax:*

CONTACT PERSON (2): Name

Position: *Number:*

E-Mail: *Fax:*

OWNERSHIP, ORGANISATION, MANAGEMENT & STAFF

1. Please, provide details of related-party institutions and the nature of the relationship.

Name	Relationship

2. Please, provide a list of your top shareholders with their current holdings (%)

Name	Holdings (%)

3. Please provide the names of your current directors, their professions and how long they have served on the board.

Name	Profession	Membership (since)

4. Please, provide the names of your top management / heads of department, their qualifications and how long they have been in their positions.

Name	Department	Qualification	Years of Service

5. What is the overall staff strength of the company ?

OPERATING POLICIES, PROCEDURES AND MANUALS

1. Kindly check the following operating manual(s) that is (are) applicable in your organisation.

Operating Manual	<input type="checkbox"/>
Accounting Policy	<input type="checkbox"/>
Credit Policy / Manual	<input type="checkbox"/>
Investment Policy / Manual	<input type="checkbox"/>
Employee Provident Fund / Welfare	<input type="checkbox"/>
Other (Specify):	
Other (Specify):	

2. Who does the internal Auditor reports to ? *(Please check where applicable)*

Board Chairman	<input type="checkbox"/>
Board of Directors	<input type="checkbox"/>
Chief Executive Officer	<input type="checkbox"/>
Financial Controller	<input type="checkbox"/>
Management	<input type="checkbox"/>
Other (specify):	

PRODUCTS, MARKETING & GENERAL BUSINESS MODEL

1. What is the principal business of your organisation ? *(Please check where applicable)*

Investment Advisory	<input type="checkbox"/>
Asset Management	<input type="checkbox"/>
Banking	<input type="checkbox"/>
Other NBF	<input type="checkbox"/>
Other (specify):	
Other (specify):	

REGULATORY AND OTHER LEGALS

1. Which body/agency regulates your company? *(Please check where applicable)*

Bank of Ghana (BoG)	<input type="checkbox"/>
Securities & Exchange Commission (SEC)	<input type="checkbox"/>
National Pensions Regulatory Authority (NPRA)	<input type="checkbox"/>
Ghana Stock Exchange (GSE)	<input type="checkbox"/>
Other (specify):	

2. Does your company hold a license / certificate to operate in the industry? *(Please check where applicable)*

Yes: No:

Please,provide details of license, if any

Number:	<input type="text"/>
Date Issued:	<input type="text"/>
Expiry Date:	<input type="text"/>

3. To what extent is your company regulated by the Body/Agency (Prudential Reporting)*(Please check where applicable)*

Monthly Reporting	<input type="checkbox"/>
Quarterly Reporting	<input type="checkbox"/>
Annual Reporting	<input type="checkbox"/>

4. Has your orngnisation ever been penalised / fined for a regulatory breach? *(Please check where applicable)*

Yes: No:

Please, provide details of any breach/fine

5. Has your company or of its owners,direcotrs or principals at any time been convicted in any court of law for a criminal offence or penalised, or is currently or has ever been under investigation for professional negligence or malpractice by ant authority in any country ? *(Please check where applicable)*

Yes:

No:

Please, provide details of any breach if any

6. Is your company a member of any Industry Associations? *(Please check where applicable)*

GHAMFIN	<input type="checkbox"/>
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G.A.M.C	<input type="checkbox"/>
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Other Specify	
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FINANCIAL INFORMATION

1. Please, provide the follwing information for the most recent three years.

ITEMS	Year 1(20.....)	Year 2(20.....)	Year 3(20.....)
	GHC	GHC	GHC
Total Operating Income			
Total Assets			
Total Liabilities			
Shareholders Funds			

COMPLETION CHECKLIST

Please, tick against the box to indicate you have provided the documents below.

- Copy of Certificate of Incorporation
- Copy of Operational Licenses from relevant regulatory authority (if applicable)
- Organisational Chart
- Profile of firm
- Profile of Directors and Top management
- 3 years Audited Financial Statements or Audited Statement of Affairs
- Resolution of Board of Directors indicating decision to accept/borrow funds from PENT ASSET & WEALTH MGT LTD.; and authorized signatory(ies) to all transactions with PENT ASSET. (Passport pictures and ID of authorized signatories required)
- Tax Clearance Certificate

- Provide projected cash flow (applicable to project financing and start-ups)
- Provide required documents for asset finance and trade finance (eg. invoice, bill of lading etc)
- A copy each of Form 3, Form 4 and Form 17 (if applicable) with Registrar General's Department
- Bank Statement required

DECLARATIONS & CONFIRMATION

We hereby declare that we fully comply with all relevant laws in Ghana and that all information provided is true and complete and agree to inform Pent Asset of any change of particulars or information provided to us. We also pledge to provide Pent Asset with any relevant information necessary to satisfy Pent Asset's Know Your Client (KYC) requirements whenever they are required.

We also declare that Pent Asset may make available information on this transaction to relevant credit bureaus in Ghana and elsewhere.

Name:

Title:

 Signature
Date:

COUNTER SIGN:

Name:

Title:

 Signature
Date:



- Corporate Finance
- Investment Advisory Services
- Asset Finance
- Private Equity Placement
- Fund Management
- Pension Fund Management

.....*Doing it Right*

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