

**THE CAPITAL MARKETS AUTHORITY STATUTE, 1996.
APPLICATION FOR REPRESENTATIVE'S LICENCE.**

Application is made for:

A Broker or Dealer's Representative's/an Investment Representative's Licence and the following statements are made in respect of the application.

1. (a) Applicant's name
- (b) Residential address
- Tel: No. Fax No.....
- (c) Date of birth Place of birth
- (d) Number of years applicant has resided in Uganda
- Nationality
- (e) Occupation for which representative's licence is sought.....
- (f) Full name of principal
- (g) The full address at which the business of the principal is to be carried on
.....
Tel: No:
- (h) Nature of business of the principal.....
- (i) Address of place at which register under Section 51 of the Statute will be kept
.....
- (j) Present remuneration arrangement with principal: (salary, commission or both)
.....
- (k) Directorship in companies in Uganda or elsewhere (*Provide details*)
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2. (Answer "Yes" or "No" in space provided. If "Yes" attach annexures giving all relevant particulars).

Has the applicant within the past 10 years—

- (a) Been licensed or registered in any place under any law which requires licensing or registration to deal or trade in securities or act as investment adviser?
- (b) Been licensed, registered, or otherwise authorised by law to carry on any trade, business or profession in any place?.....
- (c) Been refused the right or restricted in his right to carry on any trade, business or profession for which a specific licence, registration or other authority is required by law in any place?
- (d) Been a shareholder in a member firm of any securities exchange?.....
- (e) Been suspended from membership of any securities exchange or otherwise disciplined by a securities exchange?.....
- (f) Been refused membership of any securities exchange?
- (g) Carried on business under any name other than the name or names shown in paragraph 1(a) of this application?.....
- (h) Been convicted of any offence, other than a traffic offence, in Uganda or elsewhere or are there any proceedings now pending which may lead to such a conviction?
- (i) Had judgment including findings in relation to fraud, misrepresentation, or dishonesty been given against him in any civil proceedings in Uganda or elsewhere? (If "Yes" attach annexure giving full details, including whether judgment is unsatisfied)
- (j) Been refused a fidelity or surety bond in Uganda or elsewhere?
- (k) Been declared a bankrupt or compounded with or made an arrangement for the benefit of his creditors in Uganda or elsewhere?
- (l) Been disqualified as a director of a company, or been a director of a company that has gone into receivership or liquidation in Uganda or elsewhere?

3. Has the applicant had any experience in performing the functions of a dealer's representative or an investment representative? (Answer "Yes" or "No") If "Yes" attach annexures giving all relevant particulars.....

4. Set out below, details of the applicant's employment and business activities during the previous 10 years.

Name and address of employer (if self-employed, so state)	Nature of business or activity	Employment or activity (give exact dates)	Description of duties in relation to the employment

5. Set out below details of two persons (who are not related to the applicant, and neither of whom has any interest in the success or otherwise of this application) with whom the applicant has had regular contact over the past five years and of whom the Authority may enquire regarding the applicant's character and reputation:

Name	Address	Occupation

6. Does the applicant have an interest in one or more shares in any company, the shares of which are quoted on a securities exchange, the aggregate of the nominal amount of which constitutes not less than 5% of the aggregate of the nominal amount of all issued shares of the company (*Answer "Yes" or "No". If "Yes", give full details of such interest including names of companies and percentage of interest.*)

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7. Set out any additional information (including any formal qualifications or training of the applicant and the name of the institution that conducted the course) considered relevant to this application.

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8. I am aware of the provisions of Section 38 of the Statute relating to false statements made in applications (Yes/No)

9. I declare that all information given in this application and in the attached annexure (if any) is true and correct.

Date:

Signature..... (*Applicant*)

Note:

(a) This application should be accompanied by a certificate in or to the effect of the following form—

TO THE CAPITAL MARKETS AUTHORITY

On the basis of due and diligent enquiry of the background of the applicant named in this Form who is in my direct employment or acting for or on behalf of me, and other information available, I believe him or her to be of good character and reputation and to have the competence and experience to perform the function of a representative.

Date:

Signature.....

Name.....

Capacity.....

(b) Subject to paragraph (c) of this note, the certificate should be signed by each licensee by whom the applicant is to be employed or for or by arrangement with whom he is to act;

(c) Where the applicant is to be employed by or to act for or by arrangement with—

- (i) a firm, the individual partners of which are licensees, the certificate should be signed by one partner on behalf of all the partners;
- (ii) a licensee which is a company, by a Director or the Secretary of that company