

FORM 1

THE COLLECTIVE INVESTMENT SCHEMES ACT, 2003

THE COLLECTIVE INVESTMENT SCHEMES (LICENSING) REGULATIONS, 2003.

APPLICATION FOR A LICENCE FOR A COLLECTIVE INVESTMENT SCHEME.

Notes: If space is insufficient to provide details, please attach annexure(s). Any annexure should be identified as such and signed by the signatory to this application.

1. Type of licence required (Tick whichever is applicable)-

- (a) open-ended investment company c
- (b) unit trust scheme c
- (c) depositary's licence c
- (d) trustee's licence c
- (e) authorised corporate director c
- (f) manager's licence c

2. (a) Is the business indicated in paragraph 1 the core principal business carried on or proposed to be carried on by the applicant? Yes/No.

(b) If "No" in paragraph 1, indicate other businesses the applicant is engaged in or proposes to be engaged in.

3. Indicate area of proposed business for which the operator requires a licence

4. (a) Name of company

.....

(b) Registered office of company

.....

(c) Date and place of incorporation

.....

(d) Address, telephone, e-mail address and fax numbers of principal place at which the business of the applicant is to be carried on

.....

5. Details of capital structure-

(a) Authorised capital Ug.Shs

.....

(b) Paid up capital Ug.Shs

.....

(c) Types of shares issued

.....

(d) Restrictions on share transfers, if any

.....

6. Details of Shareholders:

	Name	Address	No. and Percentage of	Date of	Shares Held
Acquisition					

(a)

(b)

(c)

(d)

(e)

7. Particulars of Directors:

	Names	Address	Citizenship	Qualifications	Experience
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(a)

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(b)

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(c)

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(d)

.....

(e)
.....

8. Details of key officers:

Name	Educational	Professional
	Qualifications	Qualifications.

(a)
(b)

9. Set out the name and address of each person who, directly or indirectly, exercises or has power to exercise a controlling influence over the management and policies of the applicant other than those shown as directors.

10. Does the applicant or any of its directors 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 all the issued shares of the company?

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11. Has the applicant or any of its directors within the past 10 years-

(a) been a member or partner in a member firm of a securities exchange?

.....

(b) carried on business under any name other than the name or names shown in this application?

.....

(c) been censured or disciplined by any professional body, society or association of which he or she was or is a member? (If "Yes", attach annexure giving details, including name of the professional body, society or association)

.....

.....

(d) 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? (If "Yes" attach annexure giving full details of the convictions or proceedings.)

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.....

12 (1) State the type of clients with whom the applicant proposes to do business;

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(2) Describe in detail the organisational structure and internal Control procedures which the applicant has adopted or proposes to adopt for the proposed business;

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(3) State in detail the experience of the applicant and the Applicant's management staff in the proposed business;

.....

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13. State in detail the activity and the manner in which the applicant proposes to conduct the business for which the applicant requires a licence

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14. Is the applicant or any director or secretary of the applicant company, a director of any company in Uganda or elsewhere? Yes/ No if Yes, give details of-

(a) names of companies;

(b) places of incorporation; and

(c) dates of appointment.

15. Has the applicant or any director or secretary of the applicant company within the past 10 years- (Complete where relevant)

(a) been licensed or registered in any place under any law which

requires licensing or registration in relation to the proposed business?

.....

(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 its or his or her 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 known by any name other than the name or names shown in this application?

.....

(e) had judgment, including findings in relation to fraud, misrepresentation or dishonesty given against him or her in any civil proceedings, in Uganda or elsewhere? (If "yes": using an annexure, give full details, including whether judgment is unsatisfied).....

(f) been declared bankrupt or compounded with or made an arrangement for the benefit of his or her creditors, in Uganda or elsewhere?

.....

(g) been engaged in the management of any company other than those referred to in answer to paragraph 11?

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.....

(h) been refused a fidelity or surety bond in Uganda or elsewhere?

.....

12. Set out below, details of each director and secretary of the applicant company's employment and business activities, during the previous 10 years.

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

14. Set out below details of two persons (who are not related to

the applicant, and neither of whom shall have any interest in the success or otherwise of this application) with whom the applicant or each director or secretary of the applicant company has had regular contact over the past five years and of whom the Authority may inquire regarding the applicant's character and reputation:

Name Address Occupation

(a)

.....

(b)

.....

15. I am aware of the provisions of section 79 of the Collective Investment Schemes Act, 2003, relating to false statements made in applications.

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

Date

Signature.....

(Name of Applicant's Director/Secretary*)

*Delete whichever is inapplicable.