

SCHEDULE 2

Regulation 8(1)(g)

CRITERIA FOR DETERMINING PROFESSIONAL AND
MORAL SUITABILITY OF THE PROPOSED
DIRECTORS, MANAGERS, AND SUBSTANTIAL
SHAREHOLDERS OF INSTITUTIONS LICENSED UNDER
THE MICRO FINANCE DEPOSIT-TAKING
INSTITUTIONS ACT, 2003

*(This form is to be completed by all persons proposed as
Chief Executive Officer, Senior/Top Management, directors
and substantial shareholders of the proposed institution)*

NB: (a) *Read the declaration in section 6 below before
completing this form.*

(b) *In case the space provided is inadequate, attach
additional information on separate pages.*

1. THE INSTITUTION

Name

2. PERSONAL INFORMATION

(a) Surname/Corporate name

Other names

(b) Previous names (if any) by which you have been
known:.....

(c) Year and place of birth/registration

(d) Nationality

(e) Identification card number and date of issue

(f) Passport number and date of Issue/Company
Number.....

(g) Postal address

- (h) Previous postal address (if any)
 Physical address.....
 Educational qualifications

- (i) Professional qualifications and years obtained—
Year.....
 .
Year.....
 .
- (j) Name(s) of your bankers for the last 5 years—

3. SWORN DECLARATION OF ASSETS AND LIABILITIES

3.1 Balance sheet

<i>Assets</i>	<i>Amount in Ushs.</i>	<i>Liabilities</i>	<i>Amount in Ushs.</i>
Checking accounts in banks		Loan from financial institutions	
Other deposits in financial institutions		Outstanding bills	
Shares, bonds and securities		Outstanding taxes	
Bills for collection		Credit ales	
Immovable asset (rural and urban)		Others (decribe)	
Vehicles, ships, and aircraft			
Machinery			
Cattle			
Agricultural land			
Others: Gods and merchandise			
Others descrobe			
1		Total libilities	
2		Net: Equity (assets liabilities)	
Total assets		Total liabilities and equity.	

3.2 Risks (guarantees for third party obligations)

Type of Institution	Amount in Ushs.
Financial Institutions	
Companies: commercial and industrial	
Other guarantees	

3.2 Annual income and expenditure

Income	Amount in Ushs.	Expenditure	Amount in Ushs.
Cash Salary		General expenses	
Cash Salary (spouse)		Rents	
Incomes		Repayments: debts, liabilities	
Other income (describe)			
1.		1.	
Total Income		Total expenditure	
Surplus (Deficit)			

Shares underwritten by the deponent shall be extinguished by the following resources_____

(If more space is required attach another page)

4. Employment/Business record

Person	Name of Employer/business and address	Positions held and dates	Responsibilities (where applicable)	Reasons for leaving

5. DESCRIPTION OF YOUR PAST AND CURRENT ACTIVITIES IN UGANDA AND ABROAD

5.1 Shareholding (Directly owned or through nominees)

Company's name	Date of incorporation	Amount of shareholding	5age of shareholding	Past shareholding		Remarks
				A	B	
A. Refers to date of closure or surrender of shares B. Refers to reasons for closure or surrender						

5.2 Directorship

Company's name	Date of Appointment	Executive or Non-executive	Position held in case of executive	Past shareholding		Remarks
				C	D	
A. Refers to date of retirement B. Refers to reasons for retirement						

5.3 Professional Bodies

Name of body	Membership Number	Position held (if any)	Past club membership		Remarks
			E	F	
A. Refers to date of retirement B. Refers to reasons for retirement					

5.4 Social Clubs

Name of body	Membership Number	Position held (if any)	Past club membership		Remarks
			G	H	
A. Refers to date of retirement					
B. Refers to reasons for retirement					

5.5 Borrowing

Loan/facility	1	2	3	4	5
Name of lending institution					
Type of facility					
Amount borrowed					
Date of offer					
Security offered					
Value of security					
Current outstanding balance					
Remarks					

6.0. ADDITIONAL INFORMATION

6.1 Have you or any entity with which you are associated as director, shareholder or manager, ever held or applied for a licence or equivalent authorisation to carry on any business activity in any country?.....

If yes, give particulars.....

.....

If any such application was rejected or withdrawn after it was made or any authorisation revoked, give particulars:

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.....

6.2 Have you at any time been convicted of any criminal offence in any jurisdiction?

If yes, give particulars of the court in which you were convicted, the offence, the penalty imposed and the date of conviction.....
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.....

6.3 Have you, or any entity with which you have been involved, been censured, disciplined, warned as to future conduct, or publicly criticised by a regulatory authority or any professional body in any country?.....

If yes, give particulars
.....
.....
.....

6.4 Have you, or has any entity with which you are, or have been associated as a director, shareholder or manager, been the subject of an investigation, in any country, by a government department or agency, professional association or other regulatory body?.....

If yes, give particulars.
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.....
.....

6.5 Have you, in any country, ever been dismissed from any office or employment, been subject to disciplinary proceedings by your employer or barred from entry of any profession or occupation?

If yes, give particulars
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.....

6.6 Have you failed to satisfy a debt adjudged due and payable by you on order of a court, in any country, or have you made any compromise arrangement with your creditors within the last 10 years?

If yes, give particulars.

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.....

6.7 Have you ever been declared bankrupt by a court in any country or has a bankruptcy petition ever been served on you?

If yes, give particulars

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.....

6.8 Have you ever been held liable by a court, in any country, for fraud or other misconduct?

If yes, give particulars

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.....
.....

6.9 Has any entity with which you were associated as a director, shareholder or manager in any country made any compromise or arrangement with its creditors, been wound up or otherwise ceased business either while you were associated with it or within one year after you ceased to be associated with it?.....

If yes, give particulars

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.....
.....

6.10 Are you presently, or do you, other than in a professional capacity, expect to be engaged in any litigation in any country?

If yes, give particulars

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6.11 Indicate the names, addresses, telephone numbers and positions of three individuals of good standing who would be able to provide a reference on your personal and professional integrity. The referees must not be related to you, and should have known you for at least five years.

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6.12 Is there any additional information which you consider relevant for the consideration of your suitability or otherwise for the position(s) held / to be held?

(The omission of material facts may represent the provision of misleading information)

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N.B. This information given in response to this questionnaire shall be kept confidential by the Bank of Uganda, except in cases provided for by law.

7. DECLARATION

I am aware that under section 88(1) of the Act, it is an offence to provide any information which is false or misleading in connection with an application for a licence for a micro finance deposit -taking institution.

I certify that the information given above is complete and accurate to the best of my knowledge, and that there are no other facts relevant to this application of which the supervisory authority should be aware.

I undertake to inform the supervisory authority of any changes material to the application which arise while the application is under consideration.

NAME..... POSITION HELD

DATED AT THIS DAY OF 20....

WITNESSED (Signed).....(*Applicant*)

BEFORE ME:

COMMISSIONER FOR OATHS/MAGISTRATE

Name

Signature

Address