

THIRD SCHEDULE

FORM 3

Regulation 20

THE COLLECTIVE INVESTMENT SCHEMES ACT, 2003.

**THE COLLECTIVE INVESTMENT SCHEMES (LICENSING) REGULATIONS,
2003**

APPLICATION FOR RENEWAL OF LICENCE.

1. Application is made for the renewal of a licence for-
- (a) an open-ended investment company;
 - (b) a unit trust scheme;
 - (c) an authorized corporate director; or
 - (d) a manager of a unit trust scheme,

and the following statements are made in respect of the applicant-

- (e) applicant's name:
- (f) licence No:
- (g) expiry date of licence:

2. Please complete the following-(Answer "Yes" or "No" in space provided. If "Yes" attach annexure giving all relevant particulars.)

(a) Since the last application-

- (i) Has there been a change in the shareholders of the applicant?

.....

- (ii) Has there been a change in the applicant's directors, secretary, senior management personnel or external auditor?

.....

- (iii) Has the applicant or any of its directors or its secretary been suspended from membership of any securities exchange or otherwise disciplined by a securities exchange?

.....

- (iv) Have any of the applicant's directors been a director of any company other than those referred to in the last application?

.....

*Delete whichever is inapplicable.

(v) Has the applicant taken any disciplinary action against any of its representatives?
.....

(vi) Has the applicant received any complaint against any of its representatives?
.....

(vii) Has the applicant undertaken to conduct any material new business activity?
.....
If so, state the nature of the activity.....

(b) Please furnish details of any other event which has occurred which is likely to have a significant effect on the applicant's business during the currency of the licence if granted (including any legal claim against the applicant.)

3. Since the last application, has any of the applicant's directors or secretary-

(Answer "Yes" or "No" in space provided. If "Yes" attach annexure giving all relevant particulars.)

(a) been suspended from membership of any related business or otherwise disciplined by any regulatory body?

(b) 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?
.....

(c) 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.)
.....

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

(e) been engaged in the management of any company other than one referred to in the last application?

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

(g) undertaken to conduct any material new business activity? If so, state the nature of the activity.....

(h) been disciplined by any professional body or other membership body?
.....

4. I am/We are* aware of the provisions of section 79 of the Collective Investment Schemes Act 2003 relating to false statements in applications.

5. I/We* 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.