

FORM 4

Regulations 3 and 14  
Section 35

THE CAPITAL MARKETS AUTHORITY STATUTE, 1996.

APPLICATION FOR RENEWAL OF REPRESENTATIVE'S LICENCE.

Application is hereby made for the renewal of—

A Broker or Dealer's Representative's/an Investment Representative's<sup>1</sup> Licence and the following statements are made in respect of the application.

1. (a) Applicant's name.....

(b) Licence No.....

(c) Expiry date licence.....

(d) Residential Address ..... Telephone No.....

Fax No. ....

(e) Present remuneration arrangement with principal; salary, commission or both

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

Since the last application has the applicant—

(a) Been suspended from membership of any securities exchange or otherwise disciplined by a securities exchange? .....

(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 been 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 creditors in Uganda or elsewhere? .....

<sup>1</sup> Delete whichever is inapplicable.

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

(f) been a director of any company other than those referred to in the last application? .....

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

(h) been the subject of any disciplinary action taken by his or her firm? .....

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

3. I am aware of the provisions of section 38 of the Statute relating to false statements in applications. ....

4. 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*.....

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 made 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/her to be of good character and reputation and to have the competence and experience to perform the functions 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 that 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 such partner on behalf of all the partners;

(ii) a licensee which is a company, by a Director or the Secretary of that company.