

**FORM 1**

**Regulation 3  
Section 35.**

**THE CAPITAL MARKETS AUTHORITY STATUTE, 1996.**

**APPLICATION FOR A LICENCE TO CONDUCT THE BUSINESS OF A  
BROKER OR DEALER OR INVESTMENT ADVISER**

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**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.

This application must be accompanied by -

- (a) (i) a detailed statement of the applicant's assets and liabilities signed by the applicant as required by Regulation 5 of the Capital Markets (Licensing) Regulations, 1996; or
- (ii) in the case of an applicant which is a company, copies certified by the Director of the Company to be true copies of the last balance sheet and of the last profit and loss accounts ( if any ), incorporating the results of the last financial year and which have been audited by the Company's Auditors (including every document required by law to be annexed to them as required by Regulation 5 of the Capital Markets (Licensing) Regulations, 1996; and,
- (iii) a copy of the report of the Auditors on them;
- (b) notice of the place at which the register of interests in securities is kept as required by Section 51 of the Capital Markets Authority Statute 19996;
- (c) the fees prescribed in the Third Schedule to the Capital Markets (licensing) Regulations, 1996.

TYPE OF LICENCE REQUIRED (*Tick whichever is applicable*)

- (i) Broker / Dealer’s Licence; [ ]
- (ii) Investment Adviser’s Licence. [ ]

*( To be completed only by Applicant for Investment Adviser’s Licence)*

2. Is the business of investment adviser the principal business carried on by the Applicant?

.....

3. Indicate area of proposed business for which the Applicant requires an investment adviser’s licence -

- (a) Advising others concerning securities;
- (b) Issuing or promulgating analyses or reports concerning securities;
- (c) Pursuant to a contract or arrangement with a customer (whether on a discretionary authority granted by the customer or otherwise) the management of a portfolio of securities for the purpose of investment.

PART 1 - COMPANIES

*(To be completed only by Applicants which are companies)*

- 4. (a) Name of the Company:  
.....
- (b) Registered Office:  
.....
- (c) Date and place of incorporation:  
.....
- (d) Address, telephone and fax numbers of principal place at which the business of the Applicant is to be carried on:  
.....  
.....
- (e) Details of capital structure -
  - (i) Authorised Capital, Ug. Shs. ....
  - (ii) Paid up capital, Ug.Shs.....
  - (iii) Types of shares issued: .....

\* Delete whichever is inapplicable.

( Where the Applicant is a company, this application is to be signed by a Director or Secretary of the Company)

(f) Details of shareholders:

Name	Address	Amount of shares held	Date of acquisition

(g) Particulars of Directors and Secretary

Name & residential address	Date of birth	Educational qualifications	Office held	Date of appointment

5. 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:

.....  
 .....  
 .....  
 .....  
 .....

\* Delete whichever is inapplicable.

( Where the Applicant is a company, this application is to be signed by a Director or Secretary of the Company)

PART II - INDIVIDUAL APPLICANTS

*(To be completed only by individual applicants)*

6. (a) Name: .....  
(b) Date of birth: ..... (c)  
Occupation: ..... (d)  
Residential Address: .....  
(e) Address, telephone and fax numbers of the principal place at which the  
business of the Applicant is to be carried on:  
.....  
.....  
(f) Academic and educational qualifications:  
.....  
.....  
.....
7. 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 all issued shares of  
the Company?  
.....
8. Has the Applicant within the past 10 years -
- (i) been a member or partner in a member firm of a securities exchange?  
.....
- (ii) carried on business under any name other than the name shown in this  
application?  
.....
- (iii) been censured or disciplined by any professional body, society or  
association of which he was or is a member?  
*(If "Yes" attach annexure giving details including name of the  
professional body, society or association)*  
.....
- (iv) 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)*

\* Delete whichever is inapplicable.

( Where the Applicant is a company, this application is to be signed by a Director or Secretary of the Company)

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PART III

*To be completed by all Applicants (whether companies or individuals Applicants)*

9 a) State the type of clients with whom the Applicant proposes to do business:

.....

b) Describe in detail the experience of the Applicant and his management staff in the proposed business:

.....

c) State in detail the activity and the manner in which the Applicant proposes to conduct the business for which the Applicant requires a broker or dealer's license.

.....

10. Is the Applicant or any Director or Secretary of the Applicant company a Director of any Company in Uganda or elsewhere?  
Answer "Yes" or "No".

.....

If "Yes" give details of:

a) names of the Companies:

.....

b) places of incorporation and;

c) dates of appointment:

.....

*For question 11 answer "Yes" or "No" in the space provided. If "Yes" attach annexure giving relevant particulars.*

\* Delete whichever is inapplicable.

( Where the Applicant is a company, this application is to be signed by a Director or Secretary of the Company)

10. Has the Applicant or any Director or Secretary of the Applicant Company within the past 10 years:

a) been licensed or registered in any place under any law which requires licensing or registration in relation to dealing in securities?  
.....

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

e) been refused membership of any securities exchange?  
.....

f) been known by any name other than the name or names shown in this application?  
.....

g) had judgement including findings in relation to fraud , misrepresentation or dishonesty been given against him in any civil proceedings , in Uganda or else where? *(If “Yes” using an annexure, give full details, including whether judgement was unsatisfied)*  
.....

h) been declared bankrupt or compounded with or made an arrangement for the benefit of his creditor, in Uganda or elsewhere?  
.....

i) been engaged in the management of any Company other then those referred to in answer to question 11?  
.....

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

\* Delete whichever is inapplicable.

( Where the Applicant is a company, this application is to be signed by a Director or Secretary of the Company)

12. Set out below, details of the Applicant's or of each Director and Secretary of the Applicant Company's employment and business activities, during the previous 10 years.

Name of individual Applicant or Director or Secretary of Applicant Company	Name and Address of Employer (if self employed, so state)	Nature of business or activity	Description of duties in relation to the employment	Period of employment or activity (give exact dates)

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.

.....  
 .....  
 .....  
 .....

\* Delete whichever is inapplicable.

( Where the Applicant is a company, this application is to be signed by a Director or Secretary of the Company)

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 require regarding the Applicant's character and reputation.

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Name	Address	Occupation

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

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

Date: .....

( Signature: .....  
(Name of Applicant/ Director/ Secretary)

\* Delete whichever is inapplicable.

( Where the Applicant is a company, this application is to be signed by a Director or Secretary of the Company)