

THE CAPITAL MARKETS AUTHORITY STATUTE, 1996.

**APPLICATION FOR RENEWAL OF BROKER OR DEALER'S OR
INVESTMENT ADVISOR'S LICENCE**

Application is made for renewal of :-

A Broker of Dealer's Licence / An Investment Advisor's * Licence and the following statements are made in respect of the Applicant :

- 1. (a) Applicant's name:
- (b) Licence No:
- (c) Expiry date of licence:

2. Where the Applicant is a company, please complete the following --
(Answer "Yes" or "No" in the space provided. If "Yes" attach annexures 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 director's, secretary, senior management personnel or external auditor?
.....
 - (iii) Has the Applicant or any of its directors or it secretary been suspended from membership of any securities exchange or otherwise disciplined by a securities exchange?
.....

* Delete whichever is inapplicable.

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

(iv) Has any of the Applicant’s directors been a director of any company other than those referred to in the last application?

.....

(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?

.....

(vi) 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. Where the Applicant is an individual, please complete the following--
(Answer “Yes” or “No” in the 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 there are other proceedings now pending which may lead to such a conviction?

.....

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

.....

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

.....

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

.....

(f) 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.

.....
(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 38 of the Statute relating to
false statements in applications.

5. I/We* declare that all information given in this application and in the attached
annextures (*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.