

INFORMATION SHEET

1. Name: .....  
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2. Former name(s)(if any) by which the applicant has been known:  
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.....  
.....

3. Any name the applicant proposes to use for purposes of or in connection with any business carried on by it, including any name the applicant is or will be obliged to disclose in connection with any business carried on by it by virtue of the Business Names Registration Act (Cap.109 Laws of Uganda).....  
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4. Principal business activities:.....  
.....

5. Head/main office: .....

(a) Address:  
.....  
.....  
...

(b) Telephone No: .....  
.....  
...

(c) Telefax No:  
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.....  
...

6. Branches:

<i>address:</i>	<i>Date approved and date opened</i>
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.....	.....
.....	.....

Subsidiaries & Affiliates:

<i>Name and type of Business</i>	<i>Amount of shares held</i>	<i>% of shares held to total</i>
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.....	.....	.....
.....	.....	.....
.....	.....	.....

7. Management:

(1) Board of Directors;

<i>Name:</i>	<i>Designation</i>	<i>Present term</i>	<i>No. of years as board member</i>
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.....	.....	.....	.....
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Board Committees

<i>Name and purpose of committee(s):</i>	<i>Name of members:</i>
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(2) Officers:

<i>Name:</i>	<i>Position:</i>	<i>No. of years as officer</i>
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8. Ownership Profile:

<i>Name</i>	<i>Country of citizenship</i>	<i>Residence</i>	<i>Paid up capital %</i>
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2. ....	.....	.....	.....
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3. ....	.....	.....	.....
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4. ....	.....	.....	.....
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other shareholders owing less than 5%

(Number.....)

TOTAL .....

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9. Organisation Profile:

(1) Organisation chart— attach one indicating major departments or divisions with names, positions and titles of officers heading each department or division.

(2) Functions— attach a list of functions or responsibilities

for each Department or division listed in the organisation chart indicating the number of personnel or staff for each.

- (3) Qualifications of substantial shareholders, directors and officers.
- (4) Annex Personal Declaration Form of each substantial Shareholder, director and officer and an Information Sheet for each substantial corporate shareholder.
- (5) Powers and purposes—attach the latest copies of the Memorandum and Articles of Association if not previously submitted to the Central Bank.

10. Shareholding in any other Financial Institution:

<i>Name of financial institution</i>	<i>shares owned</i>	<i>amount</i>	<i>% of capital</i>
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QUESTIONNAIRE ( FOR APPLICANTS ONLY)

- 11. Name(s) and address(es) of the applicant’s bankers within the last ten years.(Please also indicate the applicant’s principal bankers).....  
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.....  
.....  
.....
- 12. Name and address of the applicant’s external auditors. Please

give particulars of any body you may have given authority to carry on any business activity in Uganda or elsewhere. If any, give particulars. If any such authority has been revoked, give particulars, including the name and professional qualification of the partner's who will be responsible for the assignment.....

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13. Does the applicant hold, or has it ever held, any authority from a supervisory body to carry on any business activity in Uganda or elsewhere ? If so, give particulars. If any such authority has been revoked, give particulars.....

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14. Has the applicant ever applied for any authority from a supervisory body to carry on any business in Uganda or elsewhere other than the authority mentioned in answer to Question 13 ? If so, give particulars. If any such application was for any reason refused or withdrawn after it was made, give particulars.....

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15. Has the applicant or any company in the same group within the last ten years failed to satisfy a judgement debt under a court in Uganda or elsewhere within a year of the making of

the Order? If so, give  
particulars.....  
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16. Has the applicant or any company in the same group made any compromise or arrangement with its creditors within the last ten years or otherwise failed to satisfy its creditors in full? If so, give particulars  
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17. Has a receiver or an administrative receiver of any property of the applicant or any company in the same group been appointed in Uganda, or has a substantial equivalent of any such person been appointed in any other jurisdiction, in the last ten years? If so, give particulars, including whether the receiver is still acting under the appointment.....  
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18. Has a petition been served in Uganda for an administrative order in relation to the applicant or company in the same group, or has the substantial equivalent of such a petition been served in any other jurisdiction, in the last ten years? If so, give particulars.....  
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.....

19. Has a notice of resolution for the voluntary liquidation of the applicant or any company in the same group been given in

Uganda, or has the substantial equivalent of such a petition been served in any other jurisdiction, in the last ten years? If so, give

particulars.....  
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...

20. Has a petition been served in Uganda for the compulsory liquidation of the applicant institution or any company in the same group, or has the substantial equivalent of such a petition been served in any other jurisdiction, in the last ten years?. If so, give

particulars.....  
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21. State whether the applicant company has ever been under any criminal investigation, prosecution disciplinary action(s), public criticism or trade sanctions in connection with banking and financial services in Uganda or elsewhere.....

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22. Are there any material matters in dispute between the applicant institution and the Uganda Revenue Authority or any equivalent taxation authority in any other jurisdiction? If so, give

particulars.....  
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23. Is the applicant or any company in the same group engaged, or does it expect to be engaged, in Uganda or elsewhere in any litigation which may have a material effect on the resources of

the institution? If so, give  
particulars.....

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24. Is the applicant company engaged, or does it expect to be engaged, in any business relationship with any of its( prospective) directors, officers or managers? If so, give particulars.....

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25. Is the business of the applicant's directors, officers or managers or of companies in the same group guaranteed or otherwise underwritten or secured, or expected to be guaranteed or underwritten or secured, by the applicant company? If so, give particulars.....

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26. Please provide any other information which may assist the Central Bank in reaching a decision on the application.....

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**DECLARATION**

We certify that we have read sections 10(8) and 126(1)(b)&(c) of the Financial Institutions Act, 2004. We are aware that it is an offence



under the terms of sections 10(8) and 126(1)(b)&(c) of the Act knowingly or recklessly to provide to the Central Bank or any other person any information which is false or misleading in a material particular in connection with the application for a licence under this Act or otherwise.

We, certify that all the information contained in and accompanying this form is complete and accurate to the best of our knowledge, information and belief and that there are no other facts relevant to this application of which the Central Bank should be aware.

We undertake to inform the Central Bank of any material changes to the application which arise while the Central Bank is considering the application.

We recognise the institution's obligation under sections 10(8) and 126 (1)(b)&(c) to provide the Central Bank with any information in its possession relevant to the exercise by the Central Bank of its functions under the Financial Institutions Act, 2004 in relation to the institution. Consistent with this obligation, we undertake, in accordance with regulations 16 and 20 of these Regulations that, in the event that the institution is granted a licence under the Act, we will notify the Central Bank of any material changes to, or affecting the completeness or accuracy of, the answers to the questions above as soon as possible, but in any event no later than twenty one days from the day that the changes come to our attention.

Sworn at Kampala this .....day of

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1. ....

*Name* *Position held*

.....

*Signed* *Date*

2. ....

*Name* *Position held*

.....  
*Signed*

.....  
*Date*

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The Deponent understands the contents of this affidavit.

Before me, .....

COMMISSIONER FOR OATHS

**N:B:**

1. All sections of this form must be filled.
2. If any space provided is inadequate, the required information or data needed may be supplied as an attachment.
3. All attachments should be labeled using the relevant section requiring the attachment.