

PERSONAL DECLARATION FORM

[For individuals who are, or are proposing to become directors, managers, or substantial shareholders of a financial institution]

Name and capacity of person making this declaration:

1. Name of institution in connection with which this form is being filled (“the institution”)

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2. Full names:.....
3. Former surname(s) and /or forenames by which you may have been known:

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4. Please state the capacity under which you are completing this form, i.e. as a current or prospective director, or manager or any combination of these. Please state your full title and describe the particular duties and responsibilities attaching to the position(s) which you hold or will hold. If you are completing this form in the capacity of director, indicate whether, in your position as director, you have or will have executive responsibility for the management of the institution’s business. In addition, please provide a copy of your curriculum vitae unless it is already provided by the institution in response to Schedule 2.

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5. Your date and place of birth:

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6. (1) Citizen of:..... (2) Resident of

:.....

(Country)

(Country)

since: since:

.....

(Year)

(Year)

7. Addresses:

(1) Present business address

(Uganda since.....)

(Outside Uganda since.....)

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(2) Present residential address:

(Uganda since.....)

(Outside Uganda since.....)

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(3) Last two addresses in Uganda, if any, during the past ten (10) years:

(since.....)

(since.....)

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8. Professional & academic qualifications:

Particulars

Year obtained

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(1) Highest academic qualification

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(2) Special awards or honours(if any)

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(3) Training courses and seminars
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(4) Membership in professional organizations

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9. Occupation or employment (present or most recent and for the past ten years)

| | <i>Inclusive date (month & year)</i> | |
|--|--|------------------|
| <i>Name & business of employer</i> | <i>Positions held</i> | <i>From Year</i> |
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10. Names and address(es) of your bankers within the last 10 years.....

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11. Bodies corporate (other than the institution) where you are now a director, officer, shareholder, or manager? Give relevant

dates.....
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12. Bodies corporate other than the institution and those listed above where you have been a director, shareholder, controller

or manager at any time during the last ten years. Give relevant dates.....

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13. Have you, in Uganda or elsewhere, been dismissed from any office or employment, or subjected to disciplinary proceedings by your employer or barred from entry to any profession or occupation? If so, give particulars:.....

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14. Past and present business affiliations (direct and indirect):

*Nature of affiliation i.e.
director, officer, share Inclusive date
holder with...% holdings (month and*

| <i>Nature of business</i> | <i>specified etc.</i> | <i>from to</i> |
|---------------------------|-----------------------|----------------|
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15. Do any of the above business affiliations maintain a business relationship with the institution? If so, give particulars.

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16. Do you hold or have you ever held or applied for a licence or equivalent authorisation to carry on any business activity in Uganda or any other country? If any such application was

refused or withdrawn after it was made or any authorisation was revoked, give

particulars:.....

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17. State whether the institution with which you are, or have been, associated as a director, officer, shareholder or manager holds, or has ever held or applied for a licence or equivalent authorisation to carry on any business activity? If so, give particulars. If any such application was refused, or was withdrawn after it was made or any licence revoked, give particulars.....

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18. State whether any of your past or current employer(s) or institution in which you were affiliated as shareholder, director, officer, etc has ever been under criminal investigation, placed under receivership or insolvent liquidation by any regulatory body or court of law.....

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19. Family group:

*Business affiliation
(State name of business
and nature of affiliation
i.e. director, officer,
shareholder with...%
holdings specified)*

Name:

(1) Spouse:

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(2) Children:

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(3) Parents:

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(4) Brothers and sisters:

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20. Have you failed to satisfy any debt adjudged due and payable by you as a judgment debtor under an order of a court in Uganda or elsewhere, or made any compromise arrangement with your creditors within the last ten years? If so, give particulars.....

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21. Have you been adjudicated bankrupt by a court in Uganda or elsewhere, or has a bankruptcy petition ever been served on you? If so, give particulars.....

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22. Have you, in connection with the formation or management of any body corporate, partnership or unincorporated institution, been adjudged by a court in Uganda or elsewhere, civilly liable for any fraud, misfeasance or other misconduct by you towards such body or company or towards members thereof? If so, give particulars.....

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23. Has any body corporate, partnership or unincorporated institution with which you are associated as a director, shareholder, controller or manager, in Uganda or elsewhere, been wound up, made subject to an administrative order, otherwise made any compromise or arrangement with its creditors or ceased trading either while you were associated with it or within one year after you ceased to be associated with it or has anything analogous to any of these events occurred under the laws of any other jurisdiction? If so, give particulars.....

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24. Have you been concerned with the management or conduct of affairs of any institution which, by reason of any matter relating to a time when you were so concerned, has been censured, warned as to future conduct, disciplined or publicly criticized by, or made the subject of a court order at the instigation of any regulatory authority in Uganda or elsewhere? If so, give particulars.....

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25. In carrying out your duties will you be acting on the directions or instructions of any individual or institution? If so, give particulars.....

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26. Do you, in your private capacity, or does any related party, undertake business with the institution? If so, give particulars.....
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27. How many shares in the institution are registered in your names or the names of a related party? If applicable, give name(s) in which registered and class of shares.....
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28. In how many shares in the institution (not being registered in your names or that of a related party) are you or any party beneficially interested ?.....
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29. Do you or does any related party, hold any shares in the institution as trustee or nominee? If so, give particulars.....
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30. Are any shares in the institution mentioned in answer to questions 27,28, and 29 above equitably or legally charged or pledged to any party? If so, give particulars.....

- (3) two letters of character references from individuals other than relatives who have personally known the undersigned for at least ten years; and
 - (4) letters, duly certified from financial institutions with whom the undersigned has had dealings for the last five years on the performance of past and present accounts.
34. If this questionnaire is submitted in connection with an application for licensing, please provide any other information which may assist the Central Bank in reaching a decision on the application. In any other case, please provide any other information, which may assist the Central Bank in deciding whether the director, shareholder, controller or manager fulfils the criteria in the Third Schedule of the Act.

DECLARATION

I certify that I have read sections 10(8) and 126(1)(b) and (c) of the Act. I am aware that it is an offence under the terms of sections 10(8) and 126(1)(b) and (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.

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

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

I recognize the institution's obligation under sections 10(8) and 126(1)(b) and (c) of the Act, to provide the Central Bank with any information in its possession relevant to the exercise by the

Central Bank of its functions under the Act in relation to the institution.

Consistent with this obligation, I 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, I 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 thisday of

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Name

Position held

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Signed

Date

I know and understand the contents of this declaration and that I am making it under oath.

Sworn at Kampala, Uganda thisday of

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Signature of deponent (Position)

The Deponent understands the contents of this affidavit.

Before me,

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COMMISSIONER FOR OATHS

N.B:

1. All sections of this form must be filled
2. If the space on the form is inadequate, the required information may be provided on an attachment labeled accordingly.
3. Reference shall be made to the relevant section of the form by placing the words "REFER TO ANNEX"
4. Information provided in this form is confidential and cannot be made available for inspection without the written consent of the Governor of the Central Bank.