

## URBRA

### COMPLIANCE CHECKLIST FOR APPLICANTS FOR A LICENCE OF A CUSTODIAN OF A RETIREMENT BENEFITS SCHEME

**Has the applicant provided the following information?**

No.	Item	Section/ Regulation	Compliance		Remarks/ Comments
			Yes	No	
1.	Name of applicant	<b>Sec. 35(1)(c) Reg. 3(a)</b>			
2.	Physical address of a place in Uganda for service on the applicant of any notice or document	<b>Sec. 35 (1) (c) Reg. 3(e)</b>			
3.	Registered office	<b>Sec. 35(1)(c) Reg. 3(a)</b>			
4.	Tax Identification Number	<b>Reg.3</b>			
5.	Letter of No Objection from the Bank of Uganda				
6.	Citizenship of applicant	<b>Reg.3</b>			
7.	Particulars of Directors of the Custodian	<b>Reg.3</b>			
8.	Certified copy of Licence of financial institution	<b>Sec. 34(a) Reg. 4(1)(b)</b>			
9.	Certified copy of certificate of incorporation	<b>Reg.4 (1)(c)</b>			
10.	Particulars of key officers of Custodian	<b>Reg. 3</b>			
11.	Memorandum and articles of association	<b>Reg.4(1)(d)</b>			
12.	Certified copies of the latest audited report and accounts	<b>Reg. 3</b>			
13.	Particulars of Auditors	<b>Reg.3</b>			
14.	Evidence of applicant's operational ability to perform functions of a custodian	<b>Sec. 34(b) Reg. 3(e)</b>			
15.	Any other information which the Authority considers necessary for the purposes of determining the application	<b>Sec. 35(1)(a) Reg. 3(h)</b>			

16.	Statutory Declaration	<b>Reg. 4(1)(f)</b>			
17.	Application fees	<b>Sec. 35 (1)(c)</b> <b>Reg. 4(1)(a)</b>			