

## URBRA

### COMPLIANCE CHECKLIST FOR APPLICANTS FOR LICENCE TO OPERATE OR ESTABLISH A RETIREMENT BENEFITS SCHEME

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

No.	Item	Section/ Regulation	Compliance		Remarks/ Comments
			Yes	No	
1.	Name of the retirement benefits scheme including reference to any prior change of name	<b>Sec.29(2)(b) Sec. 30(1)(a) Reg. 7(3)(a)</b>			
2.	Physical address and location of the registered office of the scheme in Uganda	<b>Sec. 29(a) Reg. 7(3)(b)</b>			
3.	Tax Identification Number	<b>Reg. 7(1)&amp; (2)</b>			
4.	Trust deed and scheme rules	<b>Reg.7(3)(c)</b>			
5.	Evidence if minimum deposit maintained by the scheme	<b>Reg.3</b>			
6.	Funding policy of the scheme	<b>Reg. 4</b>			
7.	Particulars of Sponsor	<b>Sec. 29(2)(a) Reg.7(1)&amp;(2)</b>			
8.	Particulars of Trustee	<b>Sec. 29(2)(c) Reg.7(1)&amp;(2)</b>			
9.	Particulars of Custodian	<b>Sec. 29(2)(c) Reg.7(1)&amp;(2)</b>			
10.	Particulars of Administrators	<b>Sec. 29(2)(c) Reg.7(1)&amp;(2)</b>			
11.	Particulars of Fund Manager	<b>Sec. 29(2)(c) Reg.7(1)&amp;(2)</b>			
12.	Particulars of Auditors	<b>Reg.7(1)&amp;(2)</b>			
13.	Particulars of Actuary	<b>Reg.7(1)&amp;(2) Reg. 16</b>			
14.	Particulars of key officers of the scheme	<b>Reg. 5</b>			
15.	Organogram of the scheme	<b>Reg.7(1)&amp;(2)</b>			
16.	Business plan	<b>Reg.7(3)(d)</b>			
17.	List of members	<b>Reg. 7(3)(e) (i)</b>			
18.	Description of the scheme's investment portfolio	<b>Reg. 7(3)(e) (ii)</b>			
19.	Benefits that accrue to members	<b>Reg.7(3)(e) (iii)</b>			
20.	Status of members i.e. active/inactive	<b>Reg. 7(3)(e)</b>			

		<b>(iv)</b>			
21.	Certified copies of audited accounts for the previous year	<b>Reg.7(3)(e) (v)</b>			
22.	Management accounts	<b>Reg. 7(3)(e) (vi)</b>			
23.	Certified copy of the Certificate of Incorporation	<b>Reg.7(1)&amp;(2)</b>			
24.	Copy of the name reservation form	<b>Reg.7(1)&amp;(2)</b>			
25.	Latest actuarial report	<b>Reg.7(1)&amp;(2)</b>			
26.	Fund management agreement	<b>Reg.7(1)&amp;(2)</b>			
27.	The latest scheme fund investment reports	<b>Reg.7(1)&amp;(2)</b>			
28.	Certified copy of the insurance policy document	<b>Reg.7(1)&amp;(2)</b>			
29.	Any other information relating to the viability of the proposed retirement benefits	<b>Reg. 7(3)(f)</b>			
30.	Any other information which the Authority considers necessary for the purposes of determining the application	<b>Reg. 7(3)(g)</b>			
31.	Application fees	<b>Reg.7(4)</b>			