

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	Sec.29(2)(b) Sec. 30(1)(a) Reg. 7(3)(a)			
2.	Physical address and location of the registered office of the scheme in Uganda	Sec. 29(a) Reg. 7(3)(b)			
3.	Tax Identification Number	Reg. 7(1)& (2)			
4.	Trust deed and scheme rules	Reg.7(3)(c)			
5.	Evidence if minimum deposit maintained by the scheme	Reg.3			
6.	Funding policy of the scheme	Reg. 4			
7.	Particulars of Sponsor	Sec. 29(2)(a) Reg.7(1)&(2)			
8.	Particulars of Trustee	Sec. 29(2)(c) Reg.7(1)&(2)			
9.	Particulars of Custodian	Sec. 29(2)(c) Reg.7(1)&(2)			
10.	Particulars of Administrators	Sec. 29(2)(c) Reg.7(1)&(2)			
11.	Particulars of Fund Manager	Sec. 29(2)(c) Reg.7(1)&(2)			
12.	Particulars of Auditors	Reg.7(1)&(2)			
13.	Particulars of Actuary	Reg.7(1)&(2) Reg. 16			
14.	Particulars of key officers of the scheme	Reg. 5			
15.	Organogram of the scheme	Reg.7(1)&(2)			
16.	Business plan	Reg.7(3)(d)			
17.	List of members	Reg. 7(3)(e) (i)			
18.	Description of the scheme's investment portfolio	Reg. 7(3)(e) (ii)			
19.	Benefits that accrue to members	Reg.7(3)(e) (iii)			
20.	Status of members i.e. active/inactive	Reg. 7(3)(e)			

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