

# URBRA

## COMPLIANCE CHECKLIST FOR APPLICANTS FOR A LICENCE OF AN ADMINISTRATOR OF A RETIREMENT BENEFITS SCHEME

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

| No. | Item  | Section/<br>Regulation               | Compliance |    | Remarks/<br>Comments |
|-----|---|--------------------------------------|------------|----|----------------------|
|     |   |                                      | Yes        | No |                      |
| 1.  | Name of applicant   | <b>Sec. 48(1)(c)<br/>Reg. 3(a)</b>   |            |    |                      |
| 2.  | Physical address of a place in Uganda for service on the applicant of any notice or document                  | <b>Sec. 48 (1) (c)<br/>Reg. 3(e)</b> |            |    |                      |
| 3.  | Registered office   | <b>Sec. 48(1)(c)<br/>Reg. 3(a)</b>   |            |    |                      |
| 4.  | Tax Identification Number   | <b>Reg.3</b>                         |            |    |                      |
| 5.  | Citizenship of applicant  | <b>Reg.3</b>                         |            |    |                      |
| 6.  | Particulars of Directors of the administrator   | <b>Reg.3(c)</b>                      |            |    |                      |
| 7.  | Certified copy of certificate of incorporation  | <b>Reg.4 (1)(b)</b>                  |            |    |                      |
| 8.  | Particulars of key officers of administrator  | <b>Reg. 3</b>                        |            |    |                      |
| 9.  | Memorandum and articles of association  | <b>Reg.4(1)(c)</b>                   |            |    |                      |
| 10. | Certified copies of the latest audited report and accounts  | <b>Reg. 3</b>                        |            |    |                      |
| 10. | Particulars of Auditors   | <b>Reg.3</b>                         |            |    |                      |
| 11. | Particulars of Bankers  | <b>Reg.3</b>                         |            |    |                      |
| 12. | Certified copies of professional, technical knowledge or experience   | <b>Sec.48(1)(a)<br/>Reg.4 (1)(e)</b> |            |    |                      |
| 13. | Proof that the applicant holds capital in the sum determined by the Authority                                 | <b>Reg.4(1)(d)</b>                   |            |    |                      |
| 14. | Certified copy of an insurance policy to cover the operational risks which the administrator maybe exposed to | <b>Reg.4(1)(e)</b>                   |            |    |                      |
| 15. | Evidence of applicant's operational ability to perform functions of an administrator                          | <b>Sec. 48 (1)(a)<br/>Reg. 3(d)</b>  |            |    |                      |
| 16. | Any other information which the Authority considers necessary for the purposes of                             | <b>Sec. 48(1)(b)<br/>Reg. 3(h)</b>   |            |    |                      |

|     |                             |  |  |  |  |
|-----|-----------------------------|--|--|--|--|
|     | determining the application |  |  |  |  |
| 17. | Statutory Declaration       | <b>Reg. 4(1)(d)</b>                          |  |  |  |
| 18. | Application fees            | <b>Sec. 48 (1)(d)</b><br><b>Reg. 4(1)(a)</b> |  |  |  |