

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

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