

URBRA

COMPLIANCE CHECKLIST FOR APPLICANTS FOR LICENCE OF FUND MANAGER 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. 55(1)(c) Reg. 3(a) | | | |
| 2. | Physical address of a place in Uganda for service on the applicant of any notice or document | Sec. 55 (1) (c) Reg. 3(e) | | | |
| 3. | Registered office | Sec. 55(1)(c) Reg. 3(a) | | | |
| 4. | Tax Identification Number | Reg.3 | | | |
| 5. | Citizenship of applicant | Reg.3 | | | |
| 6. | Particulars of Directors of the fund manager | Reg.3(c) | | | |
| 7. | Certified copy of certificate of incorporation | Reg.4 (1)(b) | | | |
| 8. | Particulars of key officers of fund manager | Reg. 3 | | | |
| 9. | Memorandum and articles of association | Reg.4(1)(c) | | | |
| 10. | Certified copies of the latest audited report and accounts | Reg. 3 | | | |
| 10. | Particulars of Auditors | Reg.3 | | | |
| 11. | Particulars of Bankers | Reg.3 | | | |
| 12. | Certified copies of professional, technical knowledge or experience | Sec.55(1)(a) Reg.4 (1)(e) | | | |
| 13. | Evidence of applicant's operational ability to perform functions of a fund manager | Sec. 55 (1)(a) Reg. 3(d) | | | |
| 13. | Any other information which the Authority considers necessary for the purposes of determining the application | Sec. 55(1)(b) Reg. 3(h) | | | |
| 14. | Statutory Declaration | Reg. 4(1)(d) | | | |
| 15. | Application fees | Sec. 55(1)(d) Reg. 4(1)(a) | | | |

