

**FORM 1 (R. 3) of the Central Depositories (Regulation of Central Depositories)  
Rules, 2004)**

**APPLICATION FOR APPROVAL TO OPERATE A CENTRAL DEPOSITORY**

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Application is hereby made for renewal of /approval to operate a Central Depository as provided under the Act and the following statements are made in respect thereof:

*Note:*

If space is insufficient to provide details, please attach annexure(s). Any annexure(s) should be identified as such and signed by the signatory of this application.

*Information provided should be as at the date of the application or renewal.*

1. Name of company.....Limited
2. Registered office .....
3. Date of incorporation .....
4. Address.....
5. E-mail .....
6. Location, address and telephone number of principal office.....
7. Location, address and telephone number of branch offices and Nominee companies .....
8. Details of capital structure
  - (a) Nominal capital (KSh.).....

(b) Number of shares .....

(c) Paid-up capital (KSh.) .....

9. Shareholders

(please attach a list where necessary)

<i>Name</i>	<i>Address &amp; telephone number</i>	<i>Number of shares held</i>

10. (a) Directors

<i>Name</i>	<i>Identity card/ Passport number</i>	<i>Date of appointment</i>	<i>Date of birth</i>	<i>Permanent address &amp; telephone number</i>	<i>Academic or professional qualification</i>	<i>Number of shares held in the company</i>

(b) Secretary

Name.....

Address .....

Institute of Certified Secretaries of Kenya Registration No. ....

(c) Chief Executive and other key personnel

<i>Name</i>	<i>Identity card/Passport number</i>	<i>Date of appointment</i>	<i>Date of birth</i>	<i>Permanent address &amp; telephone number</i>	<i>Academic or professional qualification</i>	<i>Number of shares held in the company</i>

11. Particulars of other directorship(s) of the directors .....

12. Particulars of shares held by directors in other companies

13. Has the applicant or any of its directors or members of senior management at any time been placed under receivership, declared bankrupt, or compounded with or made an assignment for the benefit of his creditors, in Kenya or elsewhere - Yes/ No. If `yes', give details

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14. Has any director or senior management of the applicant been a director of a company that has been:

(a) denied any licence or approval by any Regulator - Yes/No. If Yes, give details.

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(b) a director of a company providing banking, insurance, financial or investment advisory services whose licence has been revoked by the appropriate authority - Yes/No. If Yes, give details.

(c) subjected to any form of disciplinary action by any professional body of which the applicant or any of its director was a member - Yes/ No. If yes, give details.

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15. Has any court ever found that the applicant, or a person associated with the applicant was involved in a violation of any law - Yes / No. If `yes`, give details.

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16. Is the applicant and/or a person associated with the applicant now the subject of any proceeding that could result in a `yes` answer to the above question (15) - Yes/ No. If `yes`, give details.

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17 (1) Is the applicant, or any shareholder or director of the applicant, a member or director of a member company of any securities exchange - Yes/ No. If `yes`, give details.

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(2) Have any of the above persons been

(a) refused membership of any securities organization - Yes / No. If "yes", give details

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18. Particulars of two business referees of the applicant:

Name	Address	Telephone number(s)	Occupation

19. Attach a profile of the chief executive and key employees in the applicant company setting out the educational and professional qualifications and work experience.

<i>Name</i>	<i>Post</i>	<i>Qualifications</i>	<i>Experience</i>

20. List the office facilities of the applicant

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21. Any other additional information considered relevant to this application:

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 .....

We .....(Director), ..... (Director) and ..... (Secretary) declare that all the information given in this application and in the attached documents is true and correct.

Made on this..... day of ..... 20 ...

Signed:

.....) Director  
 ..... ) Director  
 .....) Secretary