

CITIZENS' SERVICE DELIVERY CHARTER

OUR VISION

The trusted regulator of an inclusive Capital Markets

OUR MISSION

To regulate and promote the development of an orderly, fair, and efficient capital and commodities markets that safeguard stakeholder interests.

S/NO.	SERVICE	CUSTOMER REQUIREMENTS	COST	TIMELINE
1	Response to phone calls (Landline or official line)	Phone call	Free	15 seconds
2	Response to enquiry by walk-in clients	Walk in and make the enquiry	Free	1 Minute
3	Response to correspondence – Letters	Written correspondence (letters)	Free	1 Working Day
	Response to correspondence – Email & Social Media	Email, X, Meta Apps, LinkedIn	Free	1 Working Day
4	Registration of suppliers	Filled application, profile, incorporation certificate, PIN, tax compliance, bank statement, regulatory certificates, annual returns, other documents	Free	14 Working Days
5	Processing of tenders	Submit bids	Free	90 Days
6	Payment for goods and services received	LPO/Invoice, Certificate of Completion/Goods Received	Free	60 Days
7	Disposal of obsolete stores	Submission of bids	Free	60 Days from advertisement
8	Public participation in policy-making	Participate after familiarization	Free	1 Day
9	Request for information (Not requiring Authority approval)	Formal request	Free	2 Days
10	Request for information (Requiring Authority approval)	Formal request	Free	14 Days
11	Processing applications for a license	<ul style="list-style-type: none"> Submit a complete application as per the checklist on CMA website www.cma.or.ke Satisfactory background checks 	Stockbroker or Dealer, Investment Adviser, Fund Manager, Investment Banks, Authorised Depositories, Authorised Securities Dealers, REITs, Derivatives Brokers, Securities Exchange, Derivatives Exchange (Kshs. 2,500) Commodity Exchange, Commodity Broker (Kshs. 10,000)	10 days upon meeting all requirements to the satisfaction of the board
12	Processing applications for issuances and approvals	Submit a complete application	Refer to the Second Schedule of the Licensing Requirements Regulations on the CMA website: www.cma.or.ke	10 days upon fulfilment of all the requirements in column 2
13	Investigate Capital markets malpractices	Conducting of major investigations with available information	Free	Average of 5 months complex cases
14	Complaints handling	Acknowledgement of complaints in writing for Walk-ins, email, online upon being received.	Free	2 business days
		Resolution of complaints		Average 3 months

**Excellent and quality service is not a privilege, it is your right
"Commitment to Courtesy and Excellence in Service Delivery"**

Any service that does not conform to the above standards or any officer who does not live up to commitment to courtesy and excellence in Service Delivery should be reported to:

The Chief Executive Officer,
Capital Markets Authority
P.O. Box 74800-00200 Nairobi
Embankment Plaza, 3rd Floor,
Longonot Road, Upper Hill

OR

The Commission Secretary/Chief Executive Officer,
Commission on Administrative Justice,
2nd Floor, West End Towers,
Opposite Aga Khan High School, Waiyaki Way
P.O. Box 20414 – 00200, NAIROBI

Tel: +254 (020) 2264900 / 2221910 / 2722825
/ 2226225
Email: corporate@cma.or.ke

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8030666 or 0722207767
Email: info@ombudsman.go.ke (for general inquiries)
complain@ombudsman.go.ke (for complaints)