



CITIZENS' SERVICE DELIVERY CHARTER

OUR VISION

A proactive regulator of a competitive and robust capital market

OUR MISSION

To promote the development of Kenya's capital markets to be an investment destination of choice through facilitative regulation and innovation

OUR CORE VALUES

Integrity, Responsiveness, Collaboration & Teamwork, Commitment, and Innovation and Continuous Learning

SERVICE	REQUIREMENTS	USER CHARGES (KSHS)	TIME LINE
Response to verbal enquiries (Reception Desk)	None	Free	Immediate
Response to phone calls at the switchboard	None	Free	By the third ring
Response to written correspondence	Email	Free	Within a day
	Letter/Fax	Free	14 Days
Prequalification to supply goods and services	Tender Application	1,000	Response within 45 days upon closure of Suppliers' advert
Payment for goods and services	Invoice, LPO/LSO, and delivery documents	Free	30 Days
Refund for Fees and Levies	Refund claim	Free	30 Days
To be seen by an officer	Request for an appointment	Free	5 Minutes
	Visit with	Free	5 Minutes

	appointment		
	Visit without appointment	Free	15 Minutes
Duration of Inspections	Licensing Inspection	Free	10 Days
	Routine Inspections	Free	7 Days
	Ad Hoc or Targeted Inspection	Free	5 Days
	Complex Ad Hoc or Targeted Inspection	Free	21 Days
Handling Complaints	Specific details and disclosure of identity	Free	7 Days
Access to Investigations Results	Completed Investigation	Free	10 Days
Access to Compliance Checks results	Completed Compliance Check	Free	10 Days
Appeal against Inspection Results	Written appeal within 15 days upon receipt of results	Free	5 Days to acknowledge
	Supporting documents		21 Days to address the appeal
			60 Days to address a complicated case
Communication on License Applications	Submission of complete application in compliance with Capital Markets Act and relevant Regulations	2,500 for license applications (Refer to Second Schedule of the Capital Markets (Licensing Requirements)(General) Regulations 2002 for specific approval fees)	14 working days to receive communication on outstanding issues after lodging an application
Communication on Issues and Approvals Applications	Submission of complete application in compliance with Capital Markets Act and relevant Regulations	2,500 for Collective Investment Scheme applications (Refer to Second Schedule of the Capital Markets (Licensing Requirements)(General) Regulations 2002 for specific approval fees)	14 working days to receive communication on outstanding issues after lodging an application

<p>Access to Information (Except for circumstances exempted under Section 24 of The Constitution and Section 6 of the Access to Information Act, 2016)</p>	<p>Written application in English or Kiswahili</p>	<p>Free</p>	<p>Within 5 days to transfer the application to another public entity if the information requested is held by that public entity</p> <p>Within 7 days to respond to applicant confirming receipt of application and/or transfer to another public entity</p> <p>Within 21 days to process application and communicate CMA's decision on the application to the requester</p>
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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,
Capital Markets Authority
P.O. Box 74800-00200, Nairobi
Embankment Plaza, 3rd Floor, Longonot Road, Upper Hill
Tel: +254-20-2264900/2221910 or Fax: +254-20-342825,
Email: corporate@cma.or.ke
www.cma.or.ke**

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: +254-20-2270000/2303000/2603765/2441211/8030666

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