



CAPITAL MARKETS AUTHORITY

INFORMATION CATALOGUE

Prepared pursuant to Section 5 of the Access to Information Act, 2016 (Cap. 7M), Regulations 9–11 of the Access to Information (General) Regulations, 2023, and the Reporting Framework of the Commission on Administrative Justice (CAJ) on Resolution of Public Complaints and Access to Information

CAPITAL
MARKETS AUTHORITY

2026.

Promoting the Integrity and Growth of the Capital Markets

1. Purpose and Legal Basis of this Catalogue

This Information Catalogue is prepared by the Capital Markets Authority (CMA) in compliance with its statutory obligation of proactive disclosure under section 5 of the Access to Information Act, 2016 and Part III of the Access to Information (General) Regulations, 2023. It also responds to the requirement of the Commission on Administrative Justice (CAJ), as the oversight body under section 20 of the Act, that every public entity maintains and report a catalogue of the categories, location, and accessibility of information it holds.

The catalogue serves as the 'guide sufficient to enable any person wishing to apply for information to identify the classes of information held by it, the subjects to which they relate, and the location of any indexes to be inspected by any person', as required under section 5(1)(a)(vii) of the Act.

2. Scope and Application

This Catalogue applies to the Board of Directors and all staff of the Capital Markets Authority. It shall be reviewed and updated at least annually, or sooner, where a material change occurs in the Authority's structure, regulations, or services.

3. Designated Information Access Officer

In accordance with section 7 of the Act and Regulation 5 of the Access to Information (General) Regulations, 2023, the Chief Executive Officer of the Authority is the designated Information Access Officer, with authority to delegate this function in writing to a suitable officer within any directorate or department. The name, designation and contact details of the Information Access Officer and any delegate(s) currently in office are published on the Authority's website.

4. The Information catalogue

The table below sets out, by category, the information held by the Authority, the specific records comprised in each category, the legal basis for disclosure, the mode(s) of access available to the public, the office responsible for custody of the records, and the frequency with which each category is updated. This structure mirrors the categories required under section 5(1) of the Act, Regulation 10 of the Regulations.

#	Category of Information	Specific Records / Items Held	Legal Basis	Mode of Access	Responsible Office	Update Frequency
A. ORGANISATIONAL AND INSTITUTIONAL INFORMATION						
1	Establishing law and legal status	Capital Markets Act (Cap. 485A); Legal Notice establishing the Authority; mandate, vision, mission and core values	<i>ATI Act s.5(1)(a)(i); Reg. 10(3)(e)</i>	Website; Inspection; Hard copy	Corporation Secretary / Legal Department	As amended
2	Organizational structure	Board of Directors composition and profiles; organogram; functions of directorates (Market Regulation, Supervision, Corporate Services, Legal, ICT, Research)	<i>ATI Act s.5(1)(a)(i)</i>	Website; Inspection	Human Resource & Administration	Annually / on change
3	Powers and duties of officers and employees	Powers of the Chief Executive Officer, Directors, Deputy Directors under the CMA Act.	<i>ATI Act s.5(1)(a)(ii)</i>	Inspection; Website (summary)	Human Resource & Administration	Annually / on change
4	Information Access Officer(s)	Name, designation, official email, telephone and office location of the designated Information Access Officer(s) and any delegates	<i>ATI Act s.7; Reg. 6, 7, 10(3)(a)</i>	Website; Notice boards	Office of the Information Access Officer.	Within 30 days of designation; updated on change

#	Category of Information	Specific Records / Items Held	Legal Basis	Mode of Access	Responsible Office	Update Frequency
5	Physical location and contacts	Physical address, postal address, telephone lines, official email, social media handles.	<i>ATI Act s.5(1)(a)(i); Reg. 10(3)(d)</i>	Website; Notice boards	Corporate Communications & International Relations (CCIR)	On change
6	Service Delivery Charter	Citizens'/Clients' Service Charter setting out service standards, turnaround times and complaints/grievance redress channels	<i>ATI Act s.5(1)(a)(v), (vi); CAJ Reporting Framework Table II (B1)</i>	Website; Banners Inspection; Notice boards.	CCIR	Annually / on review
B. DECISION-MAKING PROCESSES, NORMS AND REGULATORY GUIDELINES						
7	Decision-making procedures	Procedures followed by the Board and Management.	<i>ATI Act s.5(1)(a)(iii)</i>	Website; Inspection	Directorate of Corporate Services.	On change
8	Rules for discharge of functions	Service standards, risk-based supervision frameworks, procurement, licensing criteria and approval timelines for market intermediaries and issuers	<i>ATI Act s.5(1)(a)(v)</i>	Website	Directorate of Market Regulation.	Annually / on change
9	Regulations, guidelines, manuals and circulars	Capital Markets (Conduct of Business) Regulations; Capital Markets (Licensing	<i>ATI Act s.5(1)(a)(vi)</i>	Website; Inspection; Copies on request	Policy, Research & Market Development	On issuance / amendment

#	Category of Information	Specific Records / Items Held	Legal Basis	Mode of Access	Responsible Office	Update Frequency
		Requirements) (General) Regulations; Public Offers, and Listing Regulations; CMA Code of Corporate Governance Guidelines; market practice notes and industry circulars used in dealings with the public and licensees				
10	Policy and consultation papers	Draft policies, concept papers and public consultation papers issued prior to making regulations, rules or guidelines, and feedback reports	<i>ATI Act s.5(1)(c)</i>	Website	Policy, Research & Market Development	Per consultation cycle
C. FINANCIAL, HUMAN RESOURCE AND ADMINISTRATIVE INFORMATION						
12	Salary scales	Salary scales and remuneration bands of officers and employees by grade, in line with Salaries and Remuneration Commission (SRC) guidelines	<i>ATI Act s.5(1)(a)(iv)</i>	Website; Inspection	Human Resource & Administration	Annually / on revision
13	Financial reports	Annual financial statements, audited accounts, budget estimates, quarterly budget implementation reports and	<i>ATI Act s.5(1); Reg. 10(3)(f); Public Finance Management Act, Cap. 412A</i>	Website; Inspection	Finance & Accounts Corporate Communication International Relations.	Annually / Quarterly

#	Category of Information	Specific Records / Items Held	Legal Basis	Mode of Access	Responsible Office	Update Frequency
		Auditor-General's reports				
14	Procurement records	Annual procurement plans, list of pre-qualified/registered suppliers, tender notices, contract awards (including contract sum, contractor's name and contract period), and disposal of assets	<i>ATI Act s.5(1)(e); Reg. 10(3)(g); Public Procurement and Asset Disposal Act, Cap. 412C</i>	Website; Inspection	Supply Chain Management Directorate Legal Governance & Advisory Services (DLGAS)	Upon signing of contract / Quarterly
16	Strategic and performance documents	Strategic Plan, Annual Reports, Performance Contract targets and evaluation results	<i>ATI Act s.5(1)(a); State Corporations Act</i>	Website; Inspection	Strategy, Enterprise Risk and Projects.	Annually

D. CAPITAL MARKETS REGULATORY AND MARKET INFORMATION (SECTOR-SPECIFIC)

17	Register of licensees	Lists of licensed/approved stockbrokers, investment banks, fund managers, investment advisers, credit rating agencies, REIT managers, collective investment schemes and other market intermediaries	<i>ATI Act s.5(1)(a)(vii); CMA Act ss. 11</i>	Website Inspection.	Market Regulation Directorate.	Continuously updated
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#	Category of Information	Specific Records / Items Held	Legal Basis	Mode of Access	Responsible Office	Update Frequency
18	Approved public offers and listings	Register of approved prospectuses, information memoranda, rights issues, bond issues and listing approvals under the Public Offers (POLD)	<i>POLD, 2023; ATI Act s.5(1)(c)</i>	Website; Inspection	Approvals Financial Analysis & Sustainability.	Per approval issued
19	Enforcement and disciplinary actions	Public notices of sanctions, penalties, directives, revocations and disciplinary actions taken against licensees, issuers or directors for regulatory breaches	<i>CMA Act; ATI Act s.5(1)(d)</i>	(press releases); Notice boards	Directorate of Market Regulation.	Upon determination
20	Investor education and market statistics	Capital markets statistical bulletins, market soundness reports, investor alerts and public notices on unlicensed entities or scams	<i>ATI Act s.5(1)(c); CMA Act s.11</i>	Website; Media	Policy, Research & Market Development	Quarterly / as issued
21	Corporate Governance compliance information	Code of Corporate Governance Practices for Issuers of Securities; compliance reports and disclosures by listed companies relating to directors' duties, board composition	<i>CMA Code Corporate Governance G; ATI Act s.5(1)(a)(vi)</i>	Website	AFAS.	Annually / on review

#	Category of Information	Specific Records / Items Held	Legal Basis	Mode of Access	Responsible Office	Update Frequency
		and disclosure obligations				
E. ACCESS TO INFORMATION AND PERSONAL DATA ADMINISTRATION						
22	Access to Information procedure guide	Information Access Guide explaining how to lodge a request, applicable forms (ATI 1–ATI 6), fees, and timelines for response	<i>ATI Act s.5(1)(a)(vii); Reg. 11(2)(k), 13</i>	Website; Notice boards; Hard copy	Information Access Officer	Annually / on regulatory change
25	Data Protection Compliance information	Data Protection Policy, register of data processing activities and contact details of the Data Protection Officer	<i>Data Protection Act, Cap. 411C</i>	Website	Data Protection Officer / DLGAS.	Annually / on review
26	Whistleblower / protected disclosure framework	Procedure for making protected disclosures of public interest information (corruption, abuse of office, mismanagement) and protections available to whistleblowers	<i>ATI Act s.16</i>	Website; Internal policy	Chief Executive Officer.	On review
F. CATEGORIES OF INFORMATION SUBJECT TO LIMITATION (FOR REFERENCE)						
27	Limited/exempt information categories	Categories the Authority may lawfully withhold or redact: information prejudicial to national security; information that would impede due	<i>ATI Act s.6</i>	Not applicable (withheld, subject to public interest override)	Legal Department / Information Access Officer	Applied on case-by-case basis at point of request

#	Category of Information	Specific Records / Items Held	Legal Basis	Mode of Access	Responsible Office	Update Frequency
		process or ongoing investigations; information whose disclosure would substantially prejudice commercial interests or intellectual property of licensees/issuers; information subject to professional or supervisory confidentiality recognized under the CMA Act; personal data of third parties without consent		under s.6(4))		

5. Mode of Access — General notes

1. **Internet/Website:** Information so indicated is published on the Authority's official website in a machine-readable format, in compliance with Regulation 9 of the Access to Information (General) Regulations, 2023.
2. **Inspection:** Any person may inspect the record without charge at the Authority's offices during official working hours, by prior notice to the Information Access Officer.
3. **Copies:** A requester may obtain a copy of any disclosable record upon payment of a reasonable fee limited to the actual cost of reproduction, in accordance with section 12 of the Act.
4. **Information concerning the life or liberty of a person shall be provided within forty-eight (48) hours of receipt of a request, in accordance with section 9(2) of the Act.**

6. Requesting Information not Listed in this Catalogue

- Where a person seeks information not proactively disclosed in this Catalogue, a request for access to information may be lodged in writing using Form ATI 1 (or orally, where the requester is unable to write) addressed to the Information Access Officer, Capital Markets Authority.

- The Authority shall acknowledge receipt using Form ATI 2 and determine the request within twenty-one (21) days, in accordance with sections 8 and 9 of the Act and Regulations 13 and 15 of the Regulations. Where information is held by another public entity, the request shall be transferred within five (5) days under section 10 of the Act and Regulation 18.

7. Limitation of Access

Access to information under this Catalogue is subject to the limitations set out in section 6 of the Access to Information Act, 2016, including information whose disclosure would undermine national security, impede due process, unreasonably invade personal privacy, or substantially prejudice the commercial or proprietary interests of market participants. Any such limitation shall be applied narrowly and only to the extent necessary, with reasons communicated to the requester, and subject always to the public interest override under section 6(4) of the Act.

8. Review of Decisions

A person aggrieved by a decision of the Authority relating to a request for information including refusal, partial grant, deferral, or imposition of fees may apply for review by the Commission on Administrative Justice within thirty (30) days of notification of the decision, in accordance with section 14 of the Act and Regulation 24 of the Regulations, using Form ATI 6 or any other written application containing the particulars specified in that Form.

9. Reporting to the Commission on Administrative Justice

In compliance with section 27 of the Act, Regulation 31 of the Regulations, and the CAJ Reporting Framework, the Authority shall submit quarterly reports to CAJ covering the number of requests for information received and processed, determinations made not to comply with requests and the grounds therefor, the average number of days taken to process requests, fees collected, and the staff and resources devoted to processing requests. The Authority shall submit, on an annual basis, an updated record of its proactive disclosure measures and a copy of this Information Catalogue.

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