



INFORMATION CATALOGUE GUIDE

No.	Document Description	Link	Available Where
1	Physical location and contacts	https://www.cma.or.ke/contact-us/	website
2	Service Delivery Charter	https://www.cma.or.ke/service-charter/	website
	Complaints Portal	https://onlineservices.cma.or.ke/login?service=complaints	Website
3	Organizational structure	https://www.cma.or.ke/access-to-information/	Website
4	Procurement records	https://www.cma.or.ke/tenders/	website
5	Investor education and market statistics	https://www.cma.or.ke/capital-markets-handbook/	website
		https://www.cma.or.ke/publications/#bulletin	website
6	Information Access Officer contacts	https://www.cma.or.ke/access-to-information/	Website
7	Access to Information procedure guide	https://www.cma.or.ke/access-to-information/	Website
8	Register of licensees	https://licensees.cma.or.ke/	website
9	1) Regulations manuals and circulars	https://www.cma.or.ke/regulatory-framework/#overview	website
	2) Guidelines	https://www.cma.or.ke/regulatory-framework/#guidelines	website
	3) Manuals	https://www.cma.or.ke/draft-policies/	website
	4) Circulars	https://www.cma.or.ke/regulatory-framework/#circulars	website
10	Rules for discharge of functions	https://www.cma.or.ke/private-offers/	website

		https://www.cma.or.ke/approvals-process-checklists/#securities	website
		https://www.cma.or.ke/approvals-process-checklists/#takeover	website
		https://www.cma.or.ke/credit-rating-agency/	website
		https://www.cma.or.ke/alternative-investment-fund/	website
11	Salary scales	https://www.cma.or.ke/access-to-information/	Website
12	Financial reports	https://www.cma.or.ke/downloads/	
13	Powers and duties of officers and employees	https://www.cma.or.ke/access-to-information/	Website
14	Strategic and performance documents	https://www.cma.or.ke/strategic-documents/#overview	website
15	Decision-making procedures	https://www.cma.or.ke/access-to-information/	Website
16	Approved public offers and listings	https://www.cma.or.ke/cma-soundness-report/	website
17	Enforcement and disciplinary actions	https://www.cma.or.ke/enforcement-of-securities-law/	website
18	Establishing law and legal status	https://www.cma.or.ke/about-us/	Website
19	Corporate Governance compliance information	https://www.cma.or.ke/corporate-governance-of-issuers/	website
20	Policy and consultation papers	https://www.cma.or.ke/regulatory-framework/#eac	website
21	Data Protection Compliance information	https://www.cma.or.ke/access-to-information/	Website
22	Whistleblower/protected disclosure framework	https://www.cma.or.ke/access-to-information/	Website

CAPITAL MARKETS AUTHORITY

Promoting the Integrity and Growth of the Capital Markets