



Capital Markets Authority (CMA)

Online Services Portal User's Manual

Version 0.2

Online Portal Support Contacts

Capital Markets Authority

Email : portalsupport@cma.or.ke

Tel : 020 2264400 / 0722 207767

Website : www.cma.or.ke

Prepared by:



www.attain-es.com

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DRAFT

1. Introduction

The CMA Online Service Portal is a web-based service accessible via the Internet. The system can be accessed by typing the following link on your browser

<http://41.215.36.50:901>

The page below should load on your screen.



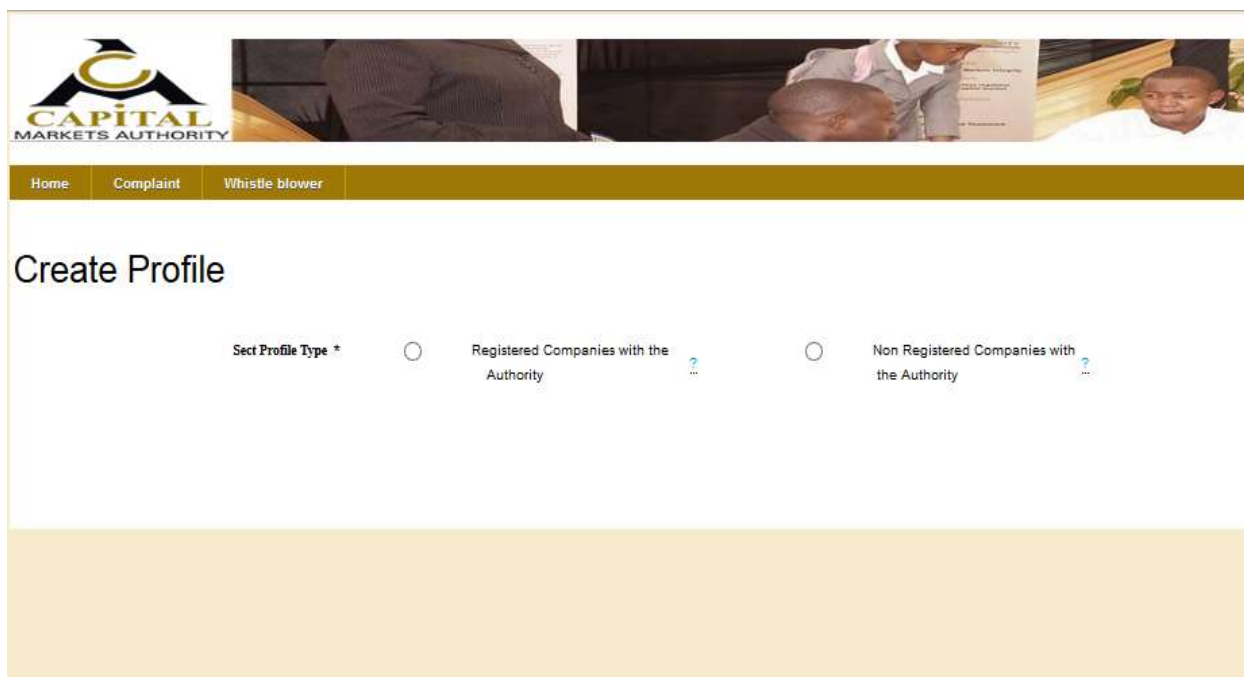
The homepage allows you to do the following functions

- **Create a profile**
- **Log in to an existing profile**

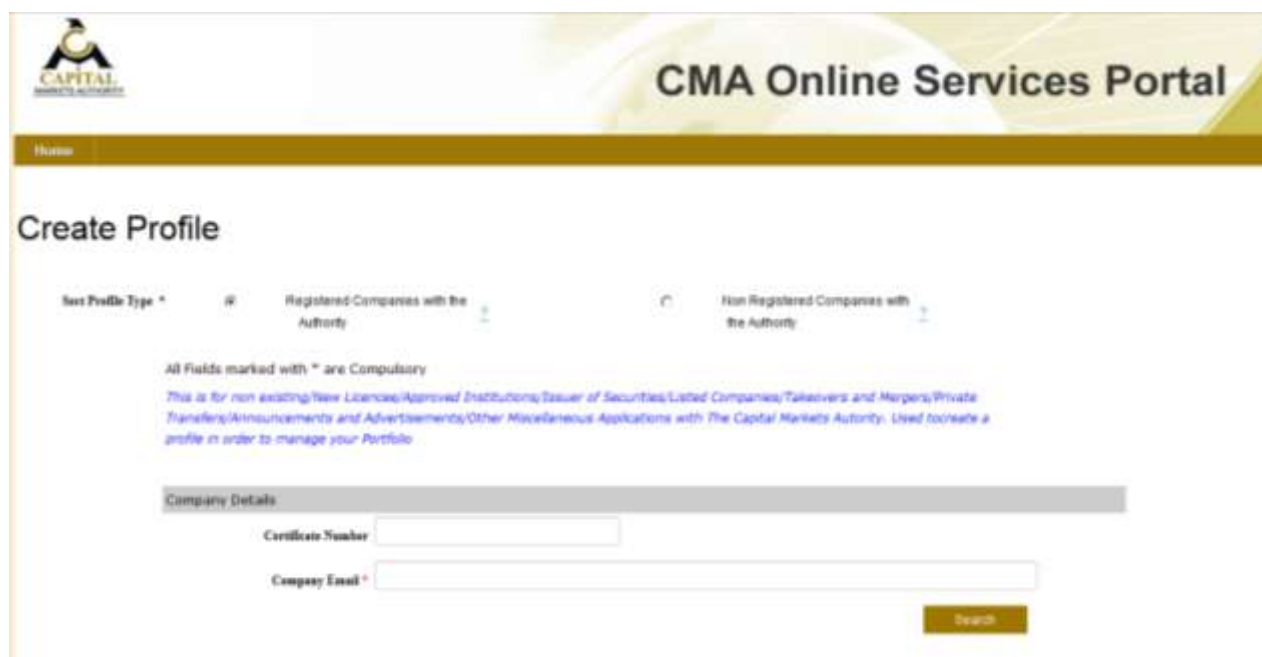
I. Creating a profile for Licensed or Registered Companies

This option of creating a profile is for companies who are already licensed or registered with the Capital Markets Authority.

To register a profile click on the “**Register**” link on the home page and the following page will be opened



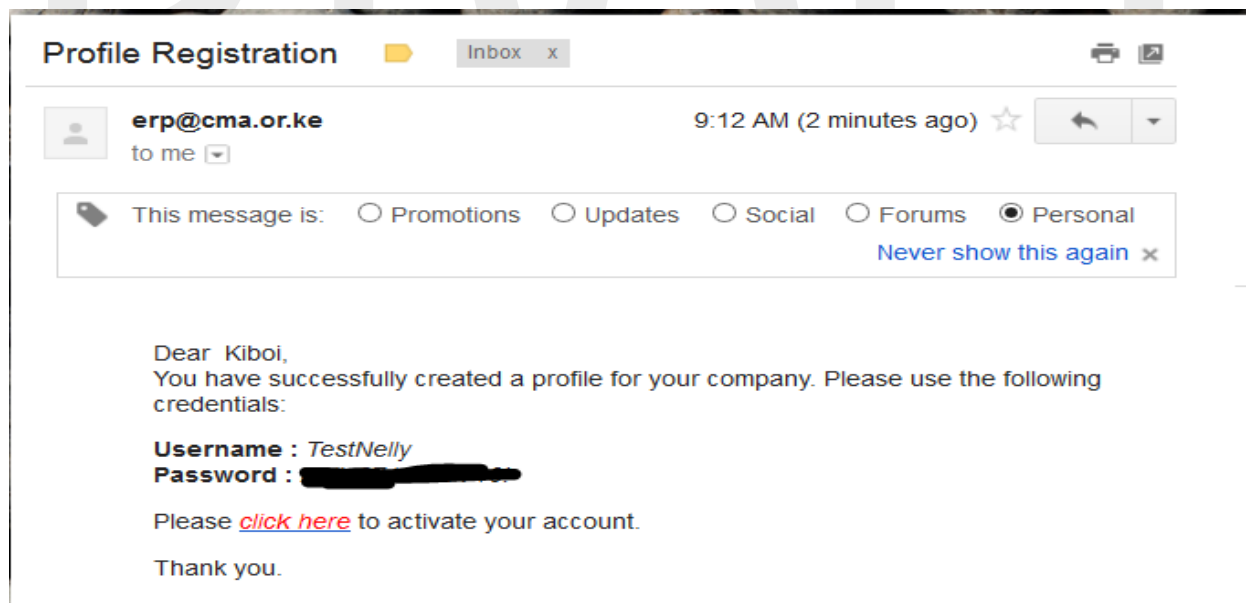
Choose the **Registered Companies with the Authority** button. The following page will be displayed:



The screenshot shows the 'CMA Online Services Portal' with a 'Create Profile' section. It includes radio buttons for 'Registered Companies with the Authority' and 'Non Registered Companies with the Authority'. A note states: 'All Fields marked with * are Compulsory. This is for non existing/new Licenses/Approved Institutions/Issuer of Securities/Listed Companies/Takeovers and Mergers/Private Transfers/Announcements and Advertisements/Other Miscellaneous Applications with The Capital Markets Authority. Used to create a profile in order to manage your Portfolio'. The 'Company Details' section has input fields for 'Certificate Number' and 'Company Email *', followed by a 'Search' button.

Fill in the Certificate of Incorporation Number of your company (e.g. C.34567) and the official email address for the company and the click search button. If the company details are found in the database, the company name should be displayed. Additionally, a form to key in the details of the person appointed as an administrator will be displayed.

Please key in and save the administrator details. An activation link will be sent to the Administrator email provided.



NB: Please note that the user that first creates the profile of your company automatically becomes the administrator. He will be responsible for the creation of other users' profiles and assigning rights to them. Administrative rights for your profile will be handled in accordance to your company policies.

II. *Creating a profile for a Non Licensed or Non Registered Companies*

This option of creating a profile is for companies who **have not yet been** licensed or registered with the Capital Markets Authority i.e. first time applicants.

Choose the **Non Registered Companies with the Authority** button. The following page will be displayed:

Sect Profile Type * ☐ Registered Companies with the Authority ☒ Non Registered Companies with the Authority

All Fields marked with * are Compulsory

This is for non existing/New Licences/Approved Institutions/Issuer of Securities/Listed Companies with The Capital Markets Authority. Used to create a profile in order to manage your Portfolio

Company Name * Test Investment company

Date of Incorporation * 01 Jan 1954

End of Financial Year * 01 Jan

Postal Address * 123456

Country * KENYA

Town * Nairobi

Office Number 1 * 1234567

Cell Phone Number 1 * 1234567

Physical Address (Building) * Bonds Plaza

Physical Address (Street/Road) * Bonds Road

E Mail 1 * test@investment.com

E Mail 2 *

Website *

Registered Office * Nairobi

Certificate Number * 123456789

Industry Sector * Consumer Products & Services

Postal Code * 12345678

County * Nairobi

PIN * 1234567

Office Number 2 *

Cell Phone Number 2 *

Key in the required details and then click the **Save** button

The following message will be displayed

[Home](#)[Complaint](#)[Whistle blower](#)

Create Profile

Sect Profile Type *



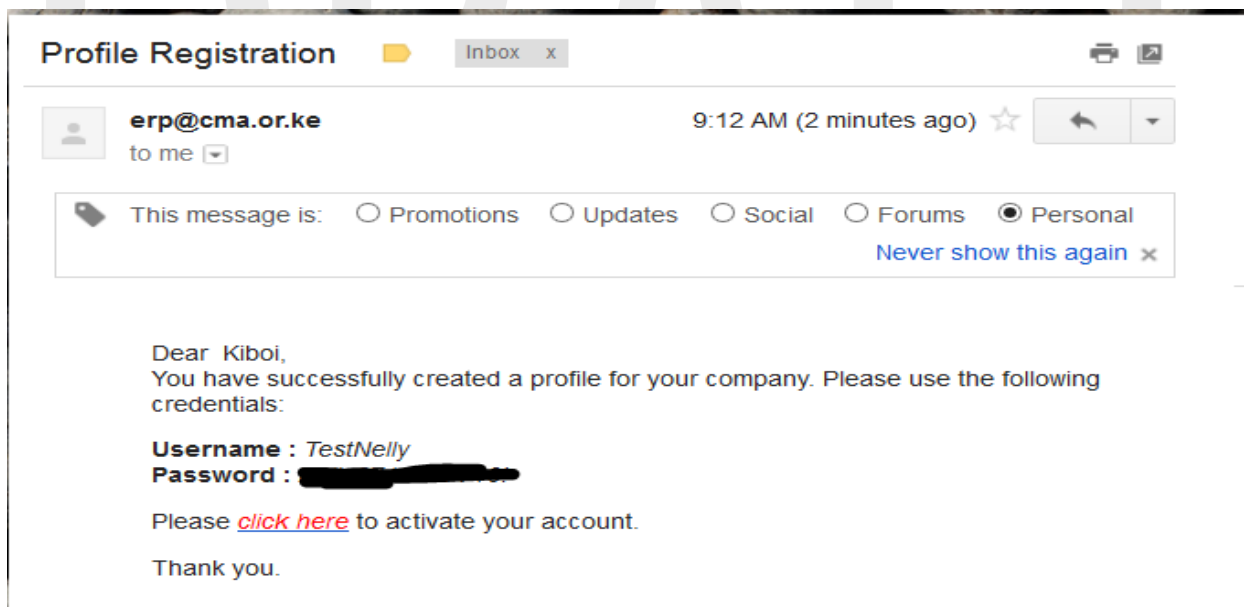
Registered Companies with the Authority ?



Non Registered Companies with the Authority

Thank you Red ! You have successfully created a profile. Please check your E Mail for an activation Link

For both, Registered Companies with the CMA and non –Registered companies with the CMA, an activation email will be sent to the profile creators' inbox with the activation link to enable one to start using the profile on the portal.



Click on the **Click Here** link and use the password with the user name provided,

III. Logging into the Portal

The CMA Online Service Portal is a web-based service accessible via the Internet. The system can be accessed by typing the following link on your browser

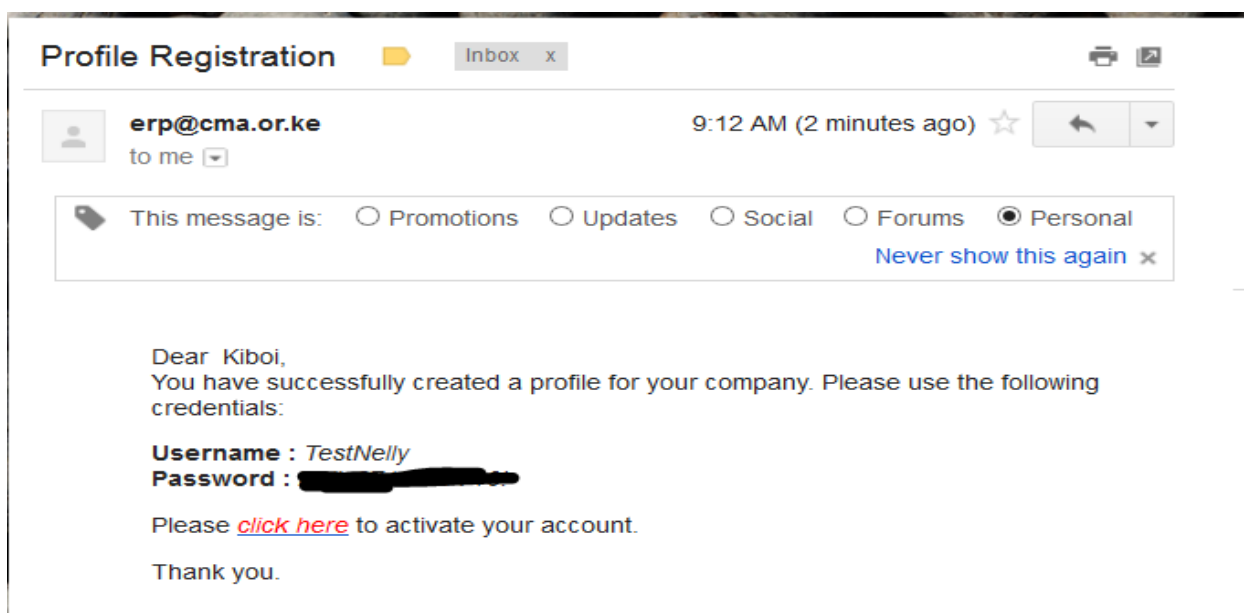
<http://41.215.36.50:901>

The page below should load on your screen.

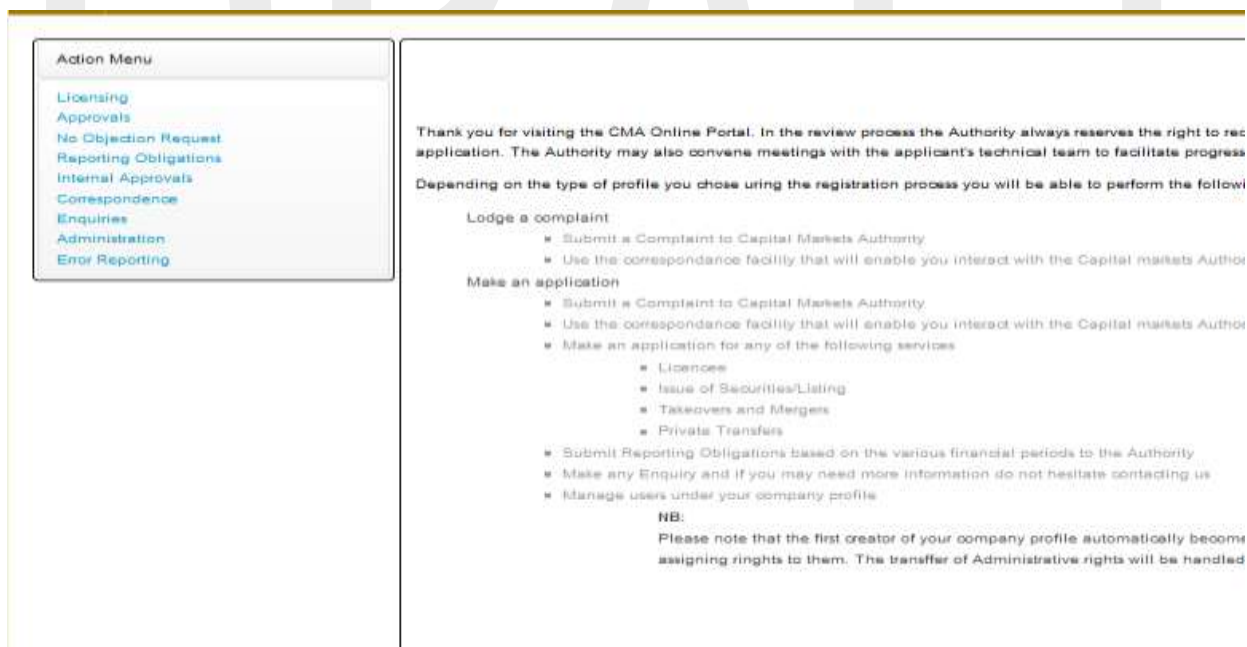


Log in with your credentials (**Username** and **Password** sent to you via the activation email) as shown below.

Please note that the password is sent to the Administrator email address provided during profile registration.



The following page will be displayed



On your left is the **Menu** which has the following functions

- **Licensing**
- **Approvals**
- **Reporting Obligations**
- **Internal Approvals**
- **Enquiries**

- **Correspondence**
- **Administration**

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2. System Administration

This module is used to manage and administer the company's profile, users and workflows. It is only accessible to users with administrative rights.

It has the following function;

- User Management
- Workflow Management
- Profile setup
- Audit Trail

Action Menu

- Licensing
- Approvals
- No Objection Request
- Reporting Obligations
- Internal Approvals
- Correspondence
- Enquiries
- Administration
- Error Reporting

Thank you for visiting the CMA Online Portal. In the review process the Authority always reserves the right to request for any add application. The Authority may also convene meetings with the applicant's technical team to facilitate progression of the applic

Depending on the type of profile you chose uring the registration process you will be able to perform the following tasks:

Lodge a complaint

- Submit a Complaint to Capital Markets Authority
- Use the correspondence facility that will enable you interact with the Capital markets Authority staff handling

Make an application

- Submit a Complaint to Capital Markets Authority
- Use the correspondence facility that will enable you interact with the Capital markets Authority staff handling
- Make an application for any of the following services
 - Licencee
 - Issue of Securities/Listing
 - Takeovers and Mergers
 - Private Transfers
- Submit Reporting Obligations based on the various financial periods to the Authority
- Make any Enquiry and if you may need more information do not hesitate contacting us
- Manage users under your company profile

NB:

Please note that the first creator of your company profile automatically becomes the administra assigning ringhts to them. The transfer of Administrative rights will be handled in accordance b

I. User Management

This is where user accounts for company officials other than the Administrator (Initial account holder) are created. These accounts are created so that all company staff who need to interact with the system are able to do so.

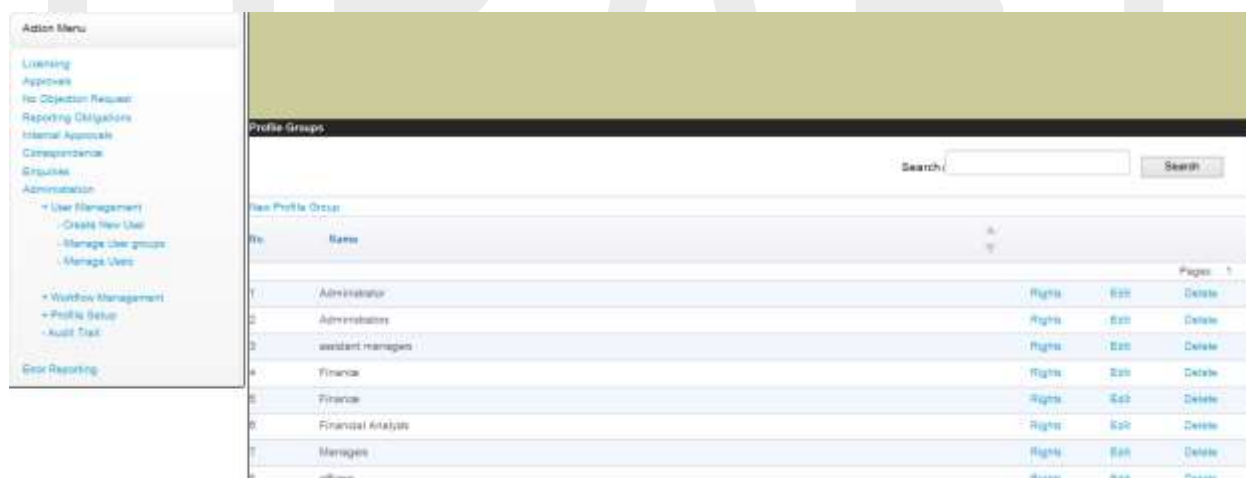
This module has the following functions under it

- Create New User
- Manage User Groups
- Manage User

a. Manage User Groups

User groups are used manage which groups of users can perform what functions. Once user groups are created, rights can be assigned. They provide an easier way to manage user rights as opposed to managing the rights of every user individually. Examples of groups include, Finance Officers, Legal Officers, Finance Manager etc. A company can create as many groups as necessary

The administrator group is created automatically and cannot be deleted.



To add new user groups click on the link **New Profile Group**

er

You are logged in as: Red Kiboi [Log](#)

Profile Groups

id/code:

Name:

[Previous](#) [Save](#) [Close](#)

Click the **Save** button to save the user group

Profile Groups

New Profile Group

Search:

Search

No.	Name			
Pages: 1				
1	Administrator	Rights	Edit	Delete
2	Managers	Rights	Edit	Delete
Pages: 1				

To edit the rights of a given group or to assign new rights click on the **Rights** link

To delete a user group click on the **Delete** button

Assignment of Rights to a User Group

Profile Groups Rights Users

GROUP NAME: Users

Form	Create	View	Edit	Delete
Correspondance				
User Correspondance	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Complaints				
Complaints Reports		<input type="checkbox"/>		
Complaint Management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Enquiries				
Enquiries Management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Profile Management				
User logs		<input type="checkbox"/>		
User management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
User group Management	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Workflows	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Workflow Statuses	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Licencing and Approvals				
Licencing and Approvals Management Reports		<input type="checkbox"/>		
Levies Reports		<input type="checkbox"/>		
No Objection Request Reports		<input type="checkbox"/>		
Reporting Obligation Reports		<input type="checkbox"/>		
Manage Approved Licences and Approvals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Manage Applied Licences and Approvals	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Click on the check box to mark it according to the rights you want to assign a particular user group this depends on the individual company policies there after click the **Save** button.

b. Creating a New User

To create new users click on the **Create New User** link under the **User Management**, Fill in all

Profile Creation

All Fields marked with * are Compulsory

Last Name *	<input type="text" value="Harry"/>	First Name *	<input type="text" value="red"/>
Middle Name	<input type="text"/>	User group *	<input type="text" value="Managers"/>
Cell Phone Number *	<input type="text" value="1345678"/>	ID/Passport Number *	<input type="text" value="123456789"/>
E Mail 1 *	<input type="text" value="harry@investmentfacials.com"/>		
Username *	<input type="text" value="harry"/>		

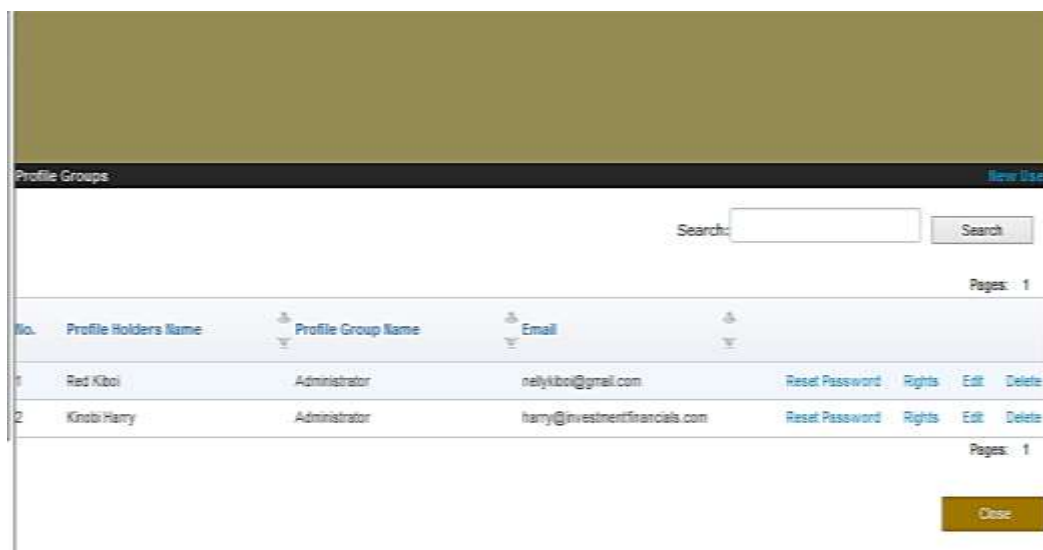
Save

Cancel

The required fields then click the **Save** button. A confirmation email will be sent to the new user. The user has to click on the activation link received to activate the account.

c. Manage users

This allows user to delete, edit and assign rights to users the administrator can also reset passwords from here



II. Workflow Management

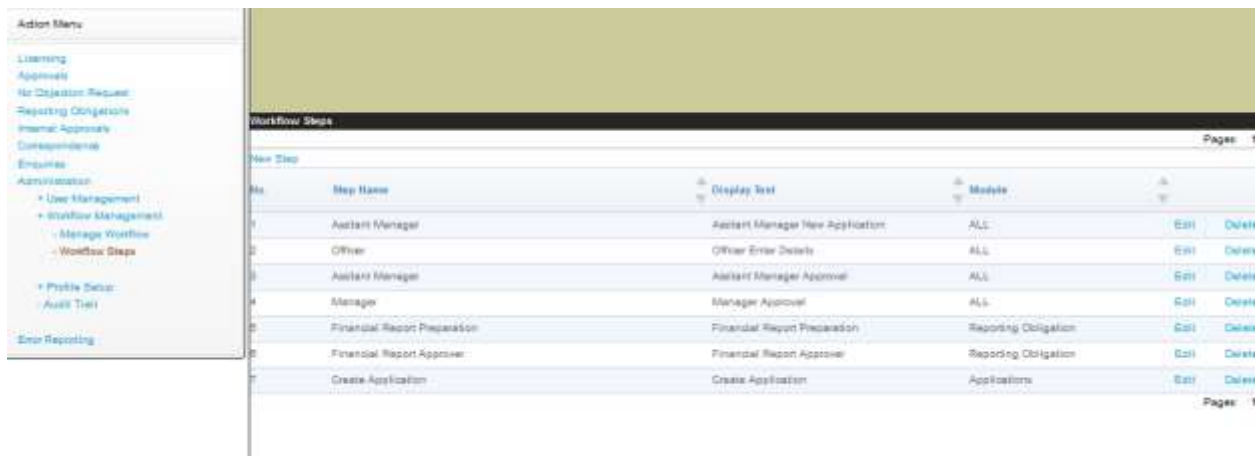
This module is informed by the fact that several staff within a company are involved in preparation of submissions to CMA. **If one individual in the company is authorized to process an application from start to finish and submit to the CMA, then Workflows are optional.** And that there is often the need to subject submissions to an approval process before they are submitted to the CMA.

Workflow management is divided into two parts:

- Workflow Step – where you define the various stages an item goes through within a company before it is submitted to the CMA. For example for a financial return submission, the steps could be Accountant, Finance Manager, CEO
- Manage workflow – This section is used to sequence the workflow steps

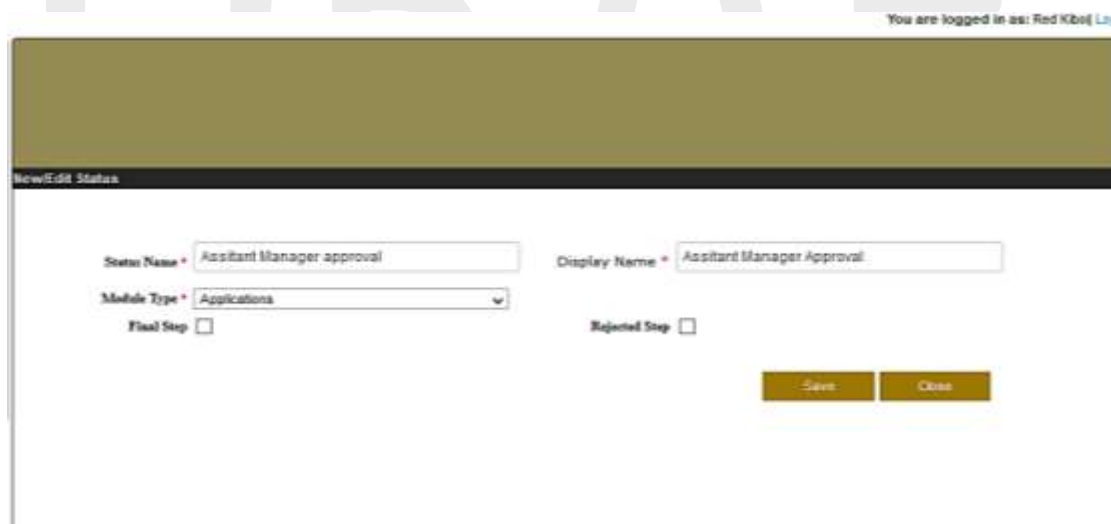
a. Workflow steps

To create a new workflow status click on the **New Step** link,



No.	Step Name	Display Text	Module		
1	Assistant Manager	Assistant Manager New Application	ALL	Edit	Delete
2	Officer	Officer Error Details	ALL	Edit	Delete
3	Assistant Manager	Assistant Manager Approval	ALL	Edit	Delete
4	Manager	Manager Approval	ALL	Edit	Delete
5	Financial Report Preparation	Financial Report Preparation	Reporting Obligation	Edit	Delete
6	Financial Report Approver	Financial Report Approver	Reporting Obligation	Edit	Delete
7	Create Application	Create Application	Applications	Edit	Delete

Fill in the required fields to create a new step and click the **Save** button. The **final step** is selected if it is final step then submission; the **reject step** allows the status to be moved to the previous step, the **module type** refers to which module the status should be used.



You are logged in as: Red Kibo [Log Out]

New/Edit Status

Status Name: Assistant Manager approval

Display Name: Assistant Manager Approval

Module Type: Applications

Final Step: ☐

Rejected Step: ☐

Save Close

You are logged in as: Red Kiboi Logout

Workflow Status

Pages: 1

[New Status](#)

No.	Status Name	Display Text	Module		
1	Assitant Manager	Assitant Manager New Application	ALL	Edit	Delete
2	Officer	Officer Enter Details	ALL	Edit	Delete
3	Reject Application	Reject Applications	ALL	Edit	Delete
4	Assitant Manager	Assitant Manager Approval	ALL	Edit	Delete
5	Manager	Manager Approval	ALL	Edit	Delete

Pages: 1

A workflow step must be associated with a user who currently performs that function.

To assign user to a given workflow click on the edit button and add the users

To add users click on **Add User** button

New/Edit Status

Status Name * Display Name *

Module Type *

Final Step ☐ Rejected Step ☐

Users

Pages: 1

[Add User](#)

No.	User Name	Name		
1	TestNelly	Red Kiboi	Edit	Delete
2	harry	Kinobi Harry	Edit	Delete

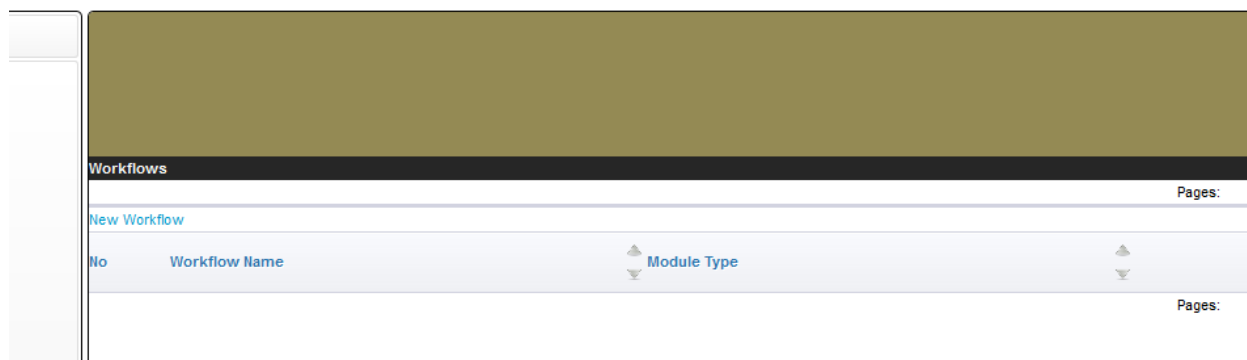
Pages: 1

[Save](#) [Close](#)

b. Manage Workflow

This section allows users to create new workflows and manage existing workflows. One can create one workflow for all submissions made to the CMA or one each for each type of submission. For example one can create a Licensing and a Financial Returns workflow. A workflow must first be given a name to identify it.

To create a new workflow click on the **New Workflow** link



Fill in all the required fields, click Default if it is the default workflow of the module, then click the **Save** button

New/Edit Workflow

Workflow Name *

Module Type * Default ☒

Notes

(Maximum characters: 250)
You have characters left.

Thereafter you would be prompted to enter the workflow steps click on the **Add Step** to create add a new step in the sequence/order in which they occur. For example if a license application is

supposed to be filled by a licensing officer, then the step “Licensing Officer” should be the first step or Order 1.

New/Edit Workflow

Record Saved Successfully

Workflow Name * License Application

Module Type * Applications ☐ Default ☒

Notes
Initial License application

(Maximum characters: 250)
You have 250 characters left.

Workflow Steps

Pages: 1

[Add Step](#)

No	Status	Order	
1	Assitant Manager	1	Edit Delete

Pages: 1

[Save](#) [Close](#)

When adding a new step the following page will be displayed add all the required fields and save

New/Edit Workflow Step

Status * Manager ☐ Order * 2 ☐

Alternative 1 Manager ☐ Alternative 2 SELECT STATUS ☐

Days 2 ☐ Reject Step ☐

Final Step ☒ Approval Step ☒

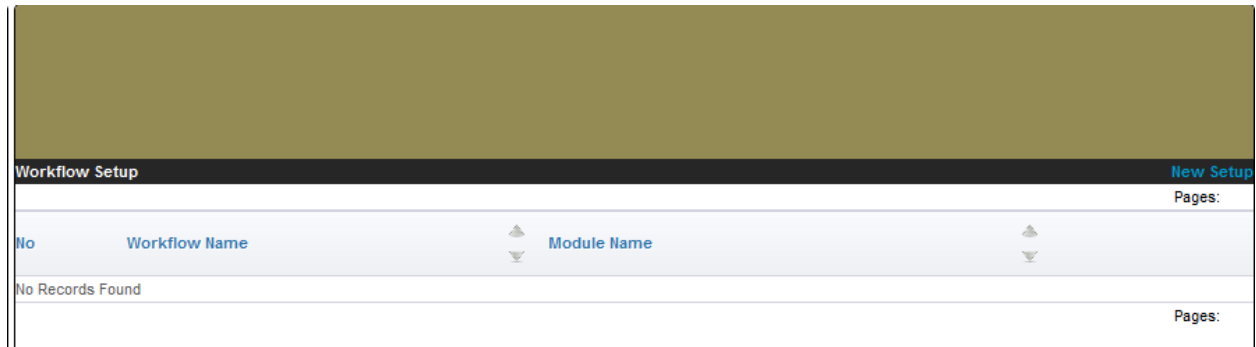
[Save](#) [Close](#)

[Save](#) [Close](#)

Save and close the workflow.

III. Profile setup

This is used to set up a profile and enforce a workflow



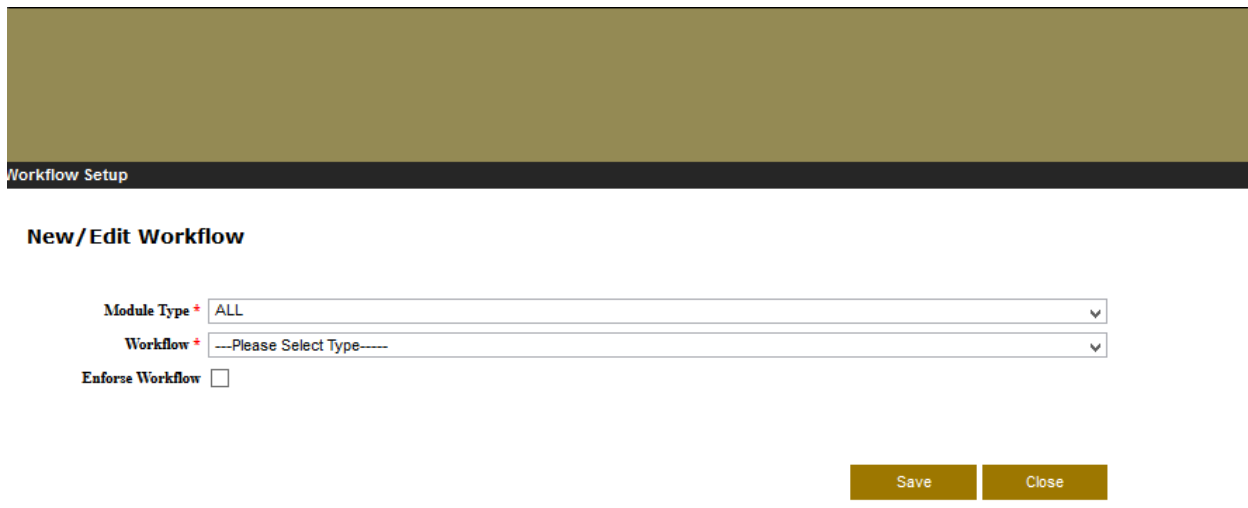
Workflow Setup New Setup

Pages:

No	Workflow Name	Module Name
No Records Found		

Pages:

To create a new setup click on the **New Setup** link and save to enforce the workflow



Workflow Setup

New/Edit Workflow

Module Type *

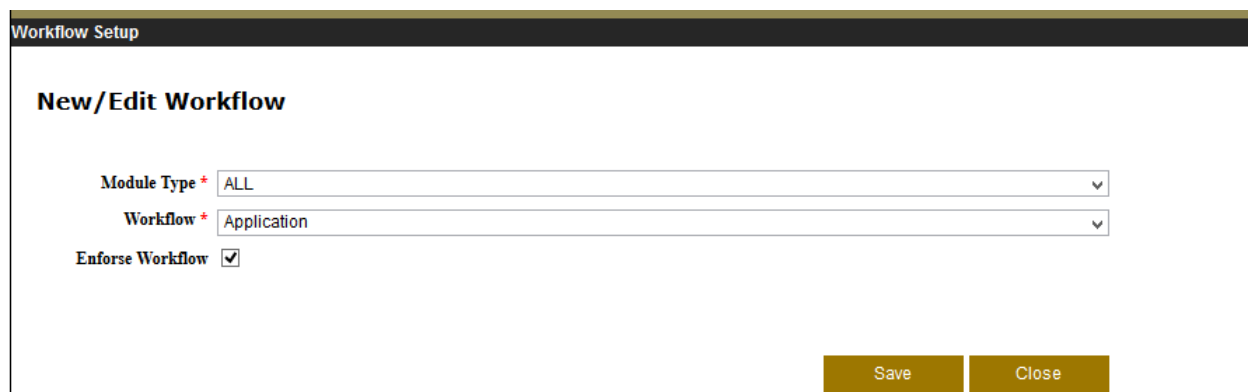
Workflow *

Enforce Workflow ☐

Save Close

Enforcing the workflow will mean that the selected module will use the selected workflow and before submitting any applications to CMA it must go through the given workflow.

If a workflow is not enforced for a particular module, then the user who creates a submission has rights to submit it directly to the CMA.



Workflow Setup

New/Edit Workflow

Module Type *

Workflow *

Enforce Workflow ☒

Save Close

3. Correspondence

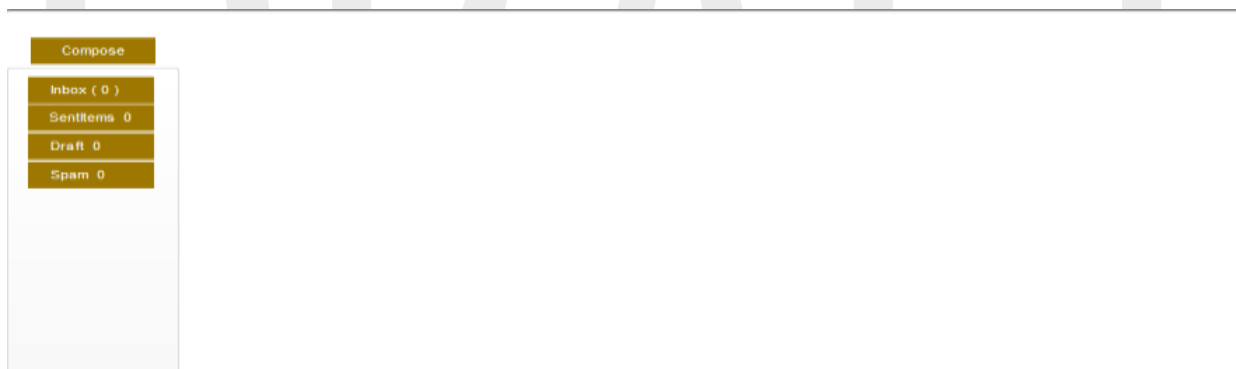
The correspondence module is used for communication between CMA and licensee or approved institution. It keeps track of all correspondence relating to a particular application. All communication relating to an application should be made through the system. Users will be alerted through their email addresses whenever there is a message in the Inbox.

It has the following modules

- View Messages
- Compose Message

I. View Messages

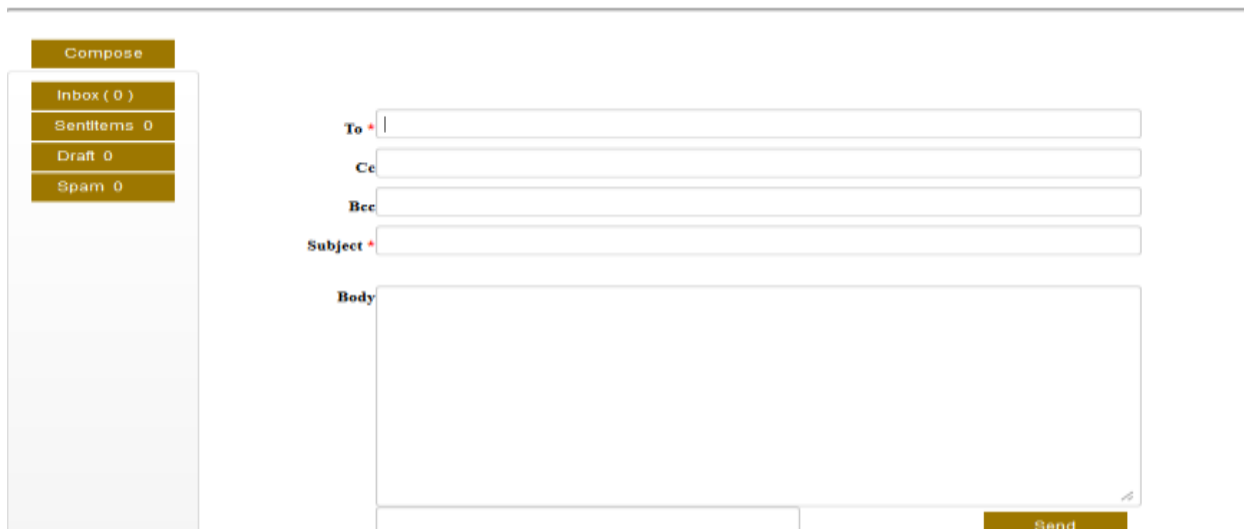
The licensee or approved institution views any mail from CMA or from other users using the system by using this module



II. Compose Message

To compose a new message click on compose message link under correspondence then click **Compose** button and then **Send button** to send the message

NB: The composed message is used internally within the system to communicate with other users or CMA employees but does not send mail to an external email account e.g. Gmail, yahoo or a given company's mail.



The screenshot shows an email composition window. On the left is a sidebar with a vertical list of buttons: 'Compose', 'Inbox (0)', 'SentItems 0', 'Draft 0', and 'Spam 0'. The 'Compose' button is highlighted. The main area contains several input fields: 'To' with a red asterisk, 'Cc', 'Bcc', 'Subject' with a red asterisk, and a large 'Body' text area. At the bottom right of the main area is a 'Send' button.

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4. Licensing

This module is used to make applications for new and renewal of all licenses to carry out an activity regulated under the Capital Markets Act. These include stockbroker, dealer, investment adviser, fund manager, investment bank, derivatives dealer, central depository, authorized securities dealer and authorized depository licenses.

It has the following modules:

- **New application**
- **Applied Licensees**
- **Manage Licensees**



I. New application

This is where new applications for licensees are made from; click on the New Application link the page below will be displayed,

Home

You are logged in as: Red

Action Menu:

- Licensing
 - New Application
 - Applied Licences
 - Manage Licences
- Approvals
 - No Objection Request
 - Reporting Obligations
 - Internal Approvals
- Correspondence
- Enquiries
- Administration
- Error Reporting

New Application

What do you wish to Apply for?

Application Category * Licencee

Application Type * ---Please Select Type---

Previous Next Close

Click on the **Apply** button and choose the **Application Category** and **Application Type** from the drop down menu, then click the **Next** button

NB; depending on the application type the process will be different for the selected category and application type applying for, the example used is for guidance and not all steps found in this example are found in all the applications procedures

New Application

What do you wish to Apply for?

Application Category ---Please Select Category---

Application Type ---Please Select Type---

Previous Next Close

Thereafter confirm all the details are okay and correct then click the **Next** button

Application Number			
Company Name			
Application Date 01-Jan-1970		Current Status On going Application	
Applicant Name			
Application Category All			
Application Type Investment Bank			
Licencee Information		Capital Structure	Stage 1 of 10
		Date of incorporation 01-Jan-1954	
Applicant Name Red Kiboi			
Company Name Test Finacials			
Company Number 12345		End of Financial Year 01-01	
Postal Address 12345		Postal Code 12345	
Town Nairobi		Country	
County N/A		Fax Number N/A	
Office Number 1 1234567890		Office Number 2 N/A	
Cell Phone Number 1 123456789		Cell Phone Number 2 N/A	
Physical Address(Building) Banda Plaza			
Physical Address(Street/Road) Banda Street			
E Mail 1 nellykiboi@gmail.com			
E Mail 2 N/A			
Website N/A			
Industry Financials			
Registered office 123456789			
		Next	Close

Confirm that the capital structure details are all correct ,if a user needs to edit them click on the **Edit Shares** button to edit the shares

Application Number			
Company Name			
Application Date	01-Jan-1970	Current Status	On going Application
Applicant Name			
Application Category	All		
Application Type	Investment Bank		

Details of Capital Structure Details of the Applicant || Shareholders Stage 2 of 10

[Edit Shares](#)

Share Type	Nominal Capital (Kshs)	Number of Shares	Paid up Capital (Kshs)
Preferential	0.00	0.00	0.00
Ordinary	0.00	0.00	0.00
Others	0.00	0.00	0.00

Previous

Next

Close

Save the new Capital structure information and click save then click next

Details of Capital Structure

Share Type	Nominal Capital (Kshs)	Number of Shares	Paid up Capital (Kshs)
Preferential	<input type="text" value="123421343"/>	<input type="text" value="326548324"/>	<input type="text" value="267213784"/>
Ordinary	<input type="text" value="1235613473"/>	<input type="text" value="416648"/>	<input type="text" value="2346215642"/>
Others	<input type="text" value="4287345854"/>	<input type="text" value="2345687"/>	<input type="text" value="234234728"/>

Save Close

Enter the new shareholders details

Application Number		Company Name		Application Date 01-Jan-1970		Current Status On going Application	
Applicant Name		Application Category All		Application Type Investment Bank			
ShareHolders		Capital Structure Directors		Stage 3 of 10			
Pages:							
New ShareHolders							
No	Name	E Mail	Number of Shares				
No Records Found							
Pages:							

Previous Next Close

View existing shareholders or add new shareholders by clicking the **New Shareholders** button fill in all the required fields click save and then click next

New/Edit ShareHolders Details

Name *	<input type="text"/>		
Postal Address *	<input type="text"/>	Postal Code *	<input type="text"/>
Town *	<input type="text"/>	Country *	Kenya
County	SELECT COUNTY	Citizenship:	SELECT COUNTRY
ID/Passport No. *	<input type="text"/>		
Office Number 1	<input type="text"/>	Office Number 2	<input type="text"/>
Cell Phone Number 1 *	<input type="text"/>	Cell Phone Number 2	<input type="text"/>
Physical Address(Building) *	<input type="text"/>		
Physical Address(Street/Road) *	<input type="text"/>		
E Mail 1 *	<input type="text"/>		
E Mail 2	<input type="text"/>		
Website	<input type="text"/>		
Number of Shares *	0	% Share Holding *	<input type="text"/>
		Save	Close

View the directors or add new directors

Application Number			
Company Name			
Application Date	01-Jan-1970	Current Status	On going Application
Applicant Name			
Application Category	All		
Application Type	Investment Bank		

Directors Shareholders || Company Secretary Stage 4 of 10

Pages:

[New Directors](#)

No	Name	E-Mail	Number of Shares
No Records Found			

Pages:

Previous Next Close

Click on **New Directors** to add new directors fill in all the required details then click Save and then Next

Name *			
Postal Address *		Postal Code *	
Town *		Country *	Kenya ▼
PIN *		Citizenship *	SELECT COUNTRY ▼
Physical Address(Building) *			
Physical Address(Street/Road) *			
Office Number 1		Office Number 2	
Cell Phone Number 1 *		Cell Phone Number 2	
E-Mail 1 *			
E-Mail 2			
ID Number *		Date of Birth *	31 ▼ Dec ▼ 1900 ▼
Appointment Date *	31 ▼ Dec ▼ 1954 ▼	No. of Shares *	
Designation *			

[Directors Qualifications](#)

Please save the Directors Details in order to proceed with this Section

[Directors Employment History](#)

Please save the Directors Details in order to proceed with this Section

View the Company secretary or a New company Secretary

Application Number		Company Name		Application Date: 01-Jan-1970		Current Status: On going Application	
Applicant Name		Application Category: All		Application Type: Investment Bank			
Company Secretary				Directors Key Personnel		Stage 6 of 10	
Pages:							
View Company Secretary							
To	Name	E-Mail	Number of Shares				
10 Records Found							
Pages:							
<div>Previous</div> <div>Next</div> <div>Close</div>							

Click on **New Company Secretary** to add a new Company secretary fill in all the required details then click Save and then Next

Secretary

Name *	Harrison		
Postal Address *	2566	Postal Code *	50100
Town *	Kakamega	Country *	SELECT COUNTRY
CPSK No. *		Citizenship *	SELECT COUNTRY
Physical Address (Building) *	Hurtinghum Silverpool Office Suites		
Physical Address (Street/Road) *	Ngong Road		
Office Number 1		Office Number 2	
Cell Phone Number 1 *	1234567	Cell Phone Number 2	
E-Mail 1 *			
Email 2			
ID Number *	1234567	Date of Birth *	31 Dec 1954
Date of Appointment *	31 Dec 1954	No. of Shares *	0
<div>Save</div> <div>Close</div>			

View the Key Personnel or add anew Key personnel

Click on **Key Personnel** to add a new Key Personnel fill in all the required details then click Save and then Next

Name * <input type="text"/>	
Postal Address * <input type="text"/>	Postal Code * <input type="text"/>
Town * <input type="text"/>	Country * <input type="text" value="Kenya"/>
PIN * <input type="text"/>	Citizenship * <input type="text" value="SELECT COUNTRY"/>
Physical Address(Building) * <input type="text"/>	
Physical Address(Street/Road) * <input type="text"/>	
Office Number 1 <input type="text"/>	Office Number 2 <input type="text"/>
Cell Phone Number 1 * <input type="text"/>	Cell Phone Number 2 <input type="text"/>
EMail 1 * <input type="text"/>	
EMail 2 <input type="text"/>	
ID Number * <input type="text"/>	Date of Birth * <input type="text" value="31"/> <input type="text" value="Dec"/> <input type="text" value="1900"/>
Appointment Date * <input type="text" value="31"/> <input type="text" value="Dec"/> <input type="text" value="1954"/>	No. of Shares * <input type="text"/>
Designation * <input type="text"/>	

Capital Markets Authority 2013 | Licensing 29

Application Number		
Company Name		
Application Date 01-Jan-1970	Current Status On going Application	
Applicant Name		
Application Category All		
Application Type Investment Bank		
External Auditor Key Personnel Checklists Stage 7 of 10		
Pages:		
New External Auditor		
No	Name	Email
No Records Found		
Pages:		
<input type="button" value="Previous"/> <input type="button" value="Next"/> <input type="button" value="Close"/>		

Click on **New External Auditor** to add a new external auditor fill in all the required details then click Save and then Next

New/Edit Auditor

Name *		<input type="text"/>
Postal Address *	<input type="text"/>	Postal Code * <input type="text"/>
Town *	<input type="text"/>	Country * <input type="text" value="SELECT COUNTRY"/>
PIN:	<input type="text"/>	Citizenship: <input type="text" value="SELECT COUNTRY"/>
Physical Address(Building) <input type="text"/>		
Physical Address(Street/Road) <input type="text"/>		
Cell Phone Number 1 *	<input type="text"/>	Cell Phone Number 2 <input type="text"/>
Telephone 1:	<input type="text"/>	Telephone 1: <input type="text"/>
Email 1:	<input type="text"/>	
Email 2:	<input type="text"/>	
Appointment Date:	<input type="text" value="Dec"/> <input type="text" value="1954"/>	ICPAK Number: <input type="text"/>
		<input type="button" value="Save"/> <input type="button" value="Close"/>

Check as required on the checklist provided

Application Number		Current Status	On going Application
Company Name			
Application Date	01-Jan-1970		
Applicant Name			
Application Category	All		
Application Type	Investment Bank		

Auditors || Documents in Support of Application Stage 8 of 10

Additional Information Checklist

[Edit Checklist](#)

CRITERIA	MET (Y/N)	COMMENTS
Has the applicant or any of its directors, secretary 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? If <input type="radio"/> yes <input type="radio"/> no, give details	NO	
Has any director, secretary or senior management of the applicant been denied any licence or approval under the Capital Markets Act or equivalent legislation in any other jurisdiction: Yes/No. If Yes, give details.	NO	
Has any director, secretary or senior management of the applicant been a director of a company that has been 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.	NO	
Has any director, secretary or senior management of the applicant been 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.	NO	
Has any court ever found that the applicant, or a person associated with the applicant was involved in a violation of the Capital Markets Act or Regulations thereunder, or equivalent law outside Kenya? Yes / No. If <input type="radio"/> yes <input type="radio"/> no, give details.	NO	
Is the applicant and/or a person associated with the applicant now the subject of any proceeding that could result in a <input type="radio"/> yes <input type="radio"/> no answer to the above question? Yes/ No. If <input type="radio"/> yes <input type="radio"/> no, give details.	NO	

Click on the **Edit Checklist** link then click save after submitting all the required information then click save and Next

Additional Information Checklist

CRITERIA	MET (Y/N)	COMMENTS
Has the applicant or any of its directors, secretary 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? If <input type="radio"/> yes <input type="radio"/> no, give details	NO <input type="button" value="v"/>	<input type="text"/>
Has any director, secretary or senior management of the applicant been denied any licence or approval under the Capital Markets Act or equivalent legislation in any other jurisdiction: Yes/No. If Yes, give details.	NO <input type="button" value="v"/>	<input type="text"/>
Has any director, secretary or senior management of the applicant been a director of a company that has been 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.	NO <input type="button" value="v"/>	<input type="text"/>
Has any director, secretary or senior management of the applicant been 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.	NO <input type="button" value="v"/>	<input type="text"/>

Upload all the required/supporting documents and then click next

Applicant Name		
Application Category All		
Application Type Investment Bank		
Checklists Declaration		Stage 9 of 10
DOCUMENTS		
dgsgsd12345		
1	Certificate of Incorporation	Upload
2	Memorandum and Articles of Association	Upload
3	Unaudited accounts	Upload
4	Audited accounts	Upload
5	Evidence of financial capability or investment capital of a minimum of Kshs. 250million in cash or portfolio of securities and listed shares	Upload
6	Business plan	Upload
7	Board Charter	Upload
8	Business Reference Letter	Upload
9	Bank reference Letter	Upload
10	Comprehensive Curriculum Vitae for directors and key personnel	Upload
11	Duly filled and executed Fit & Proper Forms for directors and key personnel	Upload
12	Valid certified copies of the Certificates of Good Conduct for directors and key personnel	Upload
13	Directors' declaration as required part of the Application form	Upload

If the workflow was not enforced then, Read the Declaration form and submit the form

Applicant Name		
Application Category All		
Application Type Investment Bank		
Documents in Support of Application		Stage 10 of 10

Stage 10 of 10

We hereby declare that the information given in the application is truthful, complete and accurate. We understand that any falsification, willful misrepresentation or omission of any material fact shall result in this application being withdrawn.

Previous

Submit

Cancel

Save & Close

If a the workflow was enforced under **Profile Setup** the following step will be displayed before the declaration page

Current Status: Manager Approval

Approval Notes *

(Maximum characters: 500) You have 500 characters left.

Send to * Manager Approval

Previous Send For Approval Cancel Save & Close

Click on the **Send to** drop down menu to send it to the approver. The approver will get a notification both in his/her email address and under the correspondence module telling him/her to go and approve a request before submission.

Leave an approval note for the approver to view notes concerning the license application

II. *Applied Licenses*

This allows users to be able to view there applied licenses

Pending Submission						
No	License Type	License Number	Start Date	Expiry Date	Status	
1	Investment Bank	N/A	2013-01-01	2013-12-30	91%	Action
2	Stock Broker	N/A	2013-01-01	2013-12-30	56%	Action
3	Fund Manager	N/A	2013-01-01	2013-12-30	10%	Action
4	Registered Venture Capital Company	N/A	N/A	N/A	Pending Submission	Action
5	Authorized Depositories	N/A	2013-01-01	2013-12-30	0%	Action
6	Investment Advisor	N/A	1970-01-01	1971-01-01	Pending Submission	Action

Under status one is able to view the progress of the application applied for

Click on the Action button, and select an option from the drop down

No	License Type	License Number	Start Date	Expiry Date	Status	Action
1	Corporate Bonds (Fixed Income Securities)	N/A	N/A	N/A	Pending Submission	Action
2	Employee Share Ownership Scheme or Plans	N/A	N/A	N/A	Pending Submission	Edit View License Details Correspondence
3	Independent Advisors (Fingers)	N/A	N/A	N/A	Pending Submission	Action
4	Rights Issues (Additional Issues)	N/A	N/A	N/A	Pending Submission	Action
5	Employee Share Ownership Scheme or Plans	N/A	N/A	N/A	Pending Submission	Action
6	Collective Investment Scheme	N/A	N/A	N/A	Pending Submission	Action

One can **Edit**, **View License Details** or **Correspondence**

III. **Manage Licenses**

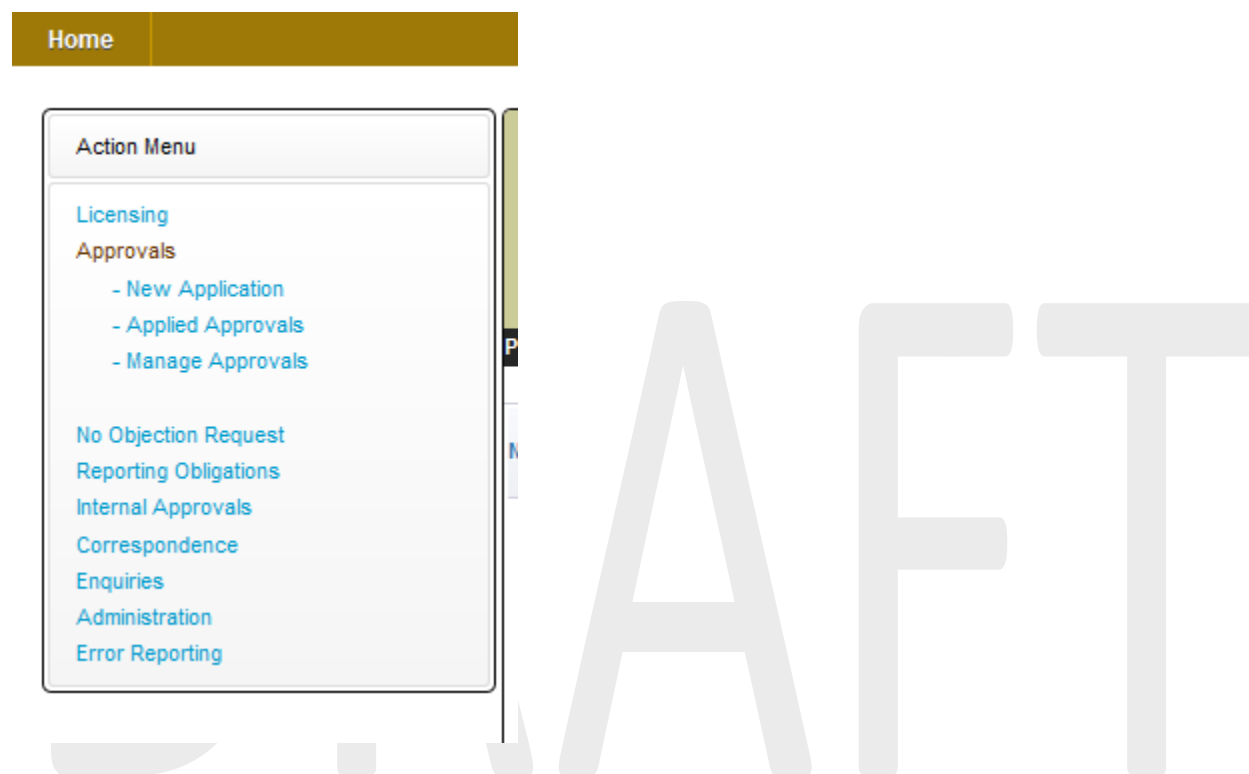
This is where approved licenses are managed from.

No	License Type	License Number	Start Date	Expiry Date	Status (%)

5. Approvals

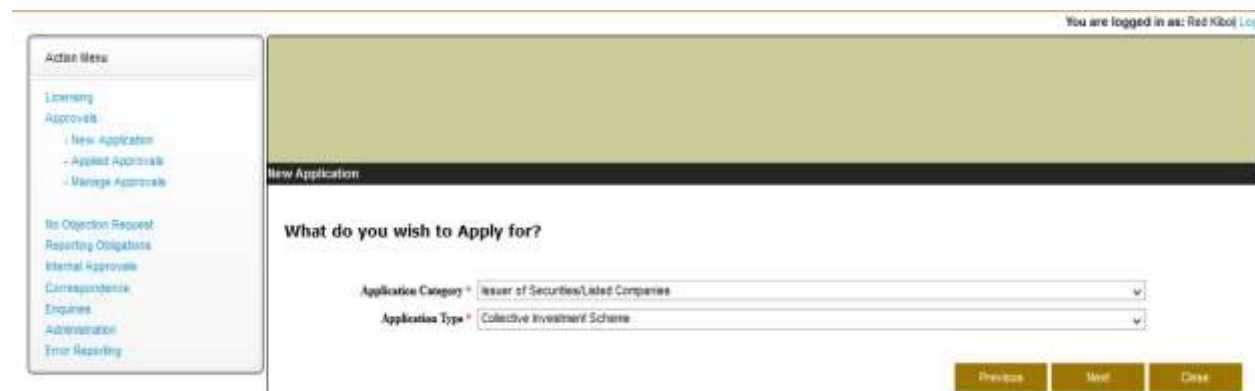
This is where new Approval applications are made and managed. It has the following modules:

- **New application**
- **Applied Approvals**
- **Manage Approvals**



I. New application

This is where new applications for licensees are made from; click on the New Application link the page below will be displayed,



Click on the **Apply** button and choose the **Application Category** and **Application Type** from the drop down menu, then click the **Next** button

NB; depending on the application type the process will be different for the selected category and application type applying for, the example used is for guidance and not all steps found in this example are found in all the applications procedures

Thereafter confirm all the details are okay and correct then click the **Next** button

CIS Application Form

[New/Edit Promoter](#)

Promoter Details

Name	Kenya Company		
Postal Address	2566	Postal Code	50100
Town	Kakamega	Country	Kenya
Physical Address(Building)			
Physical Address(Street/Road)			
Cell Phone Number 1	0726760468	Cell Phone Number 2	
Telephone 1:		Telephone 1:	
Email 1:			
Email 2:			
Website:			

Constitution Details

Scheme Legal Form			
Country	Kenya	Certificate Number *	C189078
Law Title *	NEW128		

Click on the **New/Edit Promoter** to edit or fill in the field required and click save

CIS Application Form

Promoter Details

Name *	Kenya Company		
Postal Address *	2566	Postal Code *	50100
Town *	Kakamega	Country *	Kenya
Physical Address(Building)			
Physical Address(Street/Road)			
Cell Phone Number 1 *	0726760468	Cell Phone Number 2	
Telephone 1:		Telephone 1:	
Email 1:			
Email 2:			
Website:			

Constitution Details

Scheme Legal Form			
Country	Kenya	Certificate Number *	C189078
Law Title *	NEW128		

Click Next

Application Number QWJ62		Licence Number N/A	
Company Name Test Finacials			
Application Date 19-Aug-2013		Current Status On going Application	
Applicant Name Red Kiboi			
Application Category Issuer of Securities/Listed Companies			
Application Type Collective Investment Scheme			

Directors

CIS Application || Key Personnel

Stage 2 of 13

Pages: 1

View Directors

Id	Name	E-Mail	Number of Shares	
1	Harry	nellykiboi@gmail.com	354,121.00	View Edit Delete
2	Nelly	nellykiboi@gmail.com	12,329.00	View Edit Delete
3	nelly		0.00	View Edit Delete
4			0.00	View Edit Delete

Pages: 1

Previous

Next

Close

Confirm that all the details have been taken into account and click next, you can click on **edit, view or Delete**.

Click on **New Directors** to add new directors fill in all the required details then click Save and then Next

Name *	<input type="text"/>		
Postal Address *	<input type="text"/>	Postal Code *	<input type="text"/>
Town *	<input type="text"/>	Country *	Kenya <input type="button" value="v"/>
PIN *	<input type="text"/>	Citizenship *	SELECT COUNTRY <input type="button" value="v"/>
Physical Address(Building) *	<input type="text"/>		
Physical Address(Street/Road) *	<input type="text"/>		
Office Number 1	<input type="text"/>	Office Number 2	<input type="text"/>
Cell Phone Number 1 *	<input type="text"/>	Cell Phone Number 2	<input type="text"/>
EMail 1 *	<input type="text"/>		
EMail 2	<input type="text"/>		
ID Number *	<input type="text"/>	Date of Birth *	31 <input type="button" value="v"/> Dec <input type="button" value="v"/> 1900 <input type="button" value="v"/>
Appointment Date *	31 <input type="button" value="v"/> Dec <input type="button" value="v"/> 1954 <input type="button" value="v"/>	No. of Shares *	<input type="text"/>
Designation *	<input type="text"/>		

[Directors Qualifications](#)

Please save the Directors Details in order to proceed with this Section

[Directors Employment History](#)

Please save the Directors Details in order to proceed with this Section

View the Key Personnel or add a new Key personnel

Application Number QWJ62	Licence Number N/A
Company Name Test Finadials	
Application Date 19-Aug-2013	Current Status On going Application
Applicant Name Red Kiboi	
Application Category Issuer of Securities/Listed Companies	
Application Type Collective Investment Scheme	

Key Personnel		Directors Functionaries		Stage 3 of 13	
Pages: 1					
View Key Personnel					
Id	Name	Designation	EEmail	Number of Shares	
11.	Jacob	234567890	nellykiboi@gmail.com	23.00	View Edit Delete
Pages: 1					

Click on **Key Personnel** to add a new Key Personnel fill in all the required details then click Save and then Next

New/Edit Key Personnel

Name *	<input type="text"/>		
Postal Address *	<input type="text"/>	Postal Code *	<input type="text"/>
Town *	<input type="text"/>	Country *	Kenya <input type="text"/>
PIN *	<input type="text"/>	Citizenship *	SELECT COUNTRY <input type="text"/>
Physical Address(Building) *	<input type="text"/>		
Physical Address(Street/Road) *	<input type="text"/>		
Office Number 1	<input type="text"/>	Office Number 2	<input type="text"/>
Cell Phone Number 1 *	<input type="text"/>	Cell Phone Number 2	<input type="text"/>
EMail 1 *	<input type="text"/>		
EMail 2	<input type="text"/>		
ID Number *	<input type="text"/>	Date of Birth *	31 <input type="text"/> Dec <input type="text"/> 1900 <input type="text"/>
Appointment Date *	31 <input type="text"/> Dec <input type="text"/> 1954 <input type="text"/>	No. of Shares *	<input type="text"/>
Designation *	<input type="text"/>		

View the fund Manager or add a Fund Manager

Application Number QWJ62		Licence Number N/A	
Company Name Test Financials		Current Status On going Application	
Application Date 19-Aug-2013			
Applicant Name Red Kiboi			
Application Category Issuer of Securities/Listed Companies			
Application Type Collective Investment Scheme			
Key Personnel Functionaries		Stage 4 of 13	
Fund Manager Details			
New Fund Manager			
No.	Name	Postal Address	Email
Number of Shares			
No Records Found			
Previous		Next	
Close			

Click on **New Fund Manager** to add a new Fund Manager fill in all the required details then click Save and then Next

New/Edit Fund Manager

Name:

Postal Address: Postal Code:

Town: Country:

Date of Appointment:

Physical Address(Building):

Physical Address (Street/Road):

Telephone 1: Telephone 1:

Email 1:

Email 2:

Business Activity:

Save

Close

View the Administrator or add a new Administrator

Application Number QW/J62	Licence Number N/A
Company Name Test Financials	
Application Date 19-Aug-2013	Current Status On going Application
Applicant Name Red Kiboi	
Application Category Issuer of Securities/Listed Companies	
Application Type Collective Investment Scheme	

Functionaries || Functionaries

Stage 5 of 13

Administrator Details[New Administrator](#)

No.	Name	Postal Address	Email	Number of Shares
No Records Found				

Previous

Next

Close

Click on **New Administrator** to add a new Administrator fill in all the required details then click Save and then Next

New/Edit Administrator

Name:

Postal Address: Postal Code:

Town: Country:

Date of Appointment:

Physical Address(Building):

Physical Address (Street/Road):

Telephone 1: Telephone 1:

Email 1:

Email 2:

Business Activity:

Save

Close

View the Investment Adviser Details or add a new Investment Adviser

Application Number QWJ62	Licence Number N/A
Company Name Test Financials	
Application Date 19-Aug-2013	Current Status On going Application
Applicant Name Red Kiboi	
Application Category Issuer of Securities/Listed Companies	
Application Type Collective Investment Scheme	

Functionaries || Functionaries Stage 6 of 13

Investment Adviser Details

[New Investment Adviser](#)

No.	Name	Postal Address	Email	Number of Shares
No Records Found				

Click on **Investment Adviser Details** to add a new Investment Adviser fill in all the required details then click Save and then Next

New/Edit Investment Adviser

Name:

Postal Address: Postal Code:

Town: Country:

Date of Appointment:

Physical Address(Building):

Physical Address (Street/Road):

Telephone 1: Telephone 1:

Email 1:

Email 2:

Business Activity:

View the Custodial or add a new custodial

Application Number QWJ62	Licence Number N/A
Company Name Test Finacials	
Application Date 19-Aug-2013	Current Status On going Application
Applicant Name Red Kiboi	
Application Category Issuer of Securities/Listed Companies	
Application Type Collective Investment Scheme	

Functionaries || Functionaries Stage 7 of 13

Custodian Details

[New Custodian](#)

No.	Name	Postal Address	EMail	Number of Shares
No Records Found				
<div>PreviousNextClose</div>				

Click on **New Custodial** to add a new Custodial fill in all the required details then click Save and then Next

New/Edit Custodian

Name:	<input type="text"/>		
Postal Address:	<input type="text"/>	Postal Code:	<input type="text"/>
Town:	<input type="text"/>	Country:	<input type="text" value="Kenya"/>
Date of Appointment:	<input type="text" value="31"/>	<input type="text" value="Dec"/>	<input type="text" value="1900"/>
Physical Address(Building):	<input type="text"/>		
Physical Address (Street/Road)	<input type="text"/>		
Telephone 1:	<input type="text"/>	Telephone 1:	<input type="text"/>
Email 1:	<input type="text"/>		
Email 2:	<input type="text"/>		
Business Activity:	<input type="text"/>		

SaveClose

View the Trustee or add a new Trustee

Application Number	QWJ62	Licence Number	N/A
Company Name	Test Financials		
Application Date	19-Aug-2013	Current Status	On going Application
Applicant Name	Red Kiboi		
Application Category	Issuer of Securities/Listed Companies		
Application Type	Collective Investment Scheme		
Functionaries Checklists			Stage 8 of 13

Trustee Details

[New Trustee](#)

No.	Name	Postal Address	Email	Number of Shares
No Records Found				
		Previous	Next	Close

Click on **New Trustee** to add a new Trustee fill in all the required details then click Save and then Next

New/Edit Trustee

Name:	<input type="text"/>		
Postal Address:	<input type="text"/>	Postal Code:	<input type="text"/>
Town:	<input type="text"/>	Country:	<input type="text" value="Kenya"/>
Date of Appointment:	<input type="text" value="31"/>	<input type="text" value="Dec"/>	<input type="text" value="1900"/>
Physical Address(Building):	<input type="text"/>		
Physical Address (Street/Road)	<input type="text"/>		
Telephone 1:	<input type="text"/>	Telephone 1:	<input type="text"/>
Email 1:	<input type="text"/>		
Email 2:	<input type="text"/>		
Business Activity:	<input type="text"/>		
		Save	Close

In this Checklist provided by CMA click on the **Edit Checklist** link

ADDITIONAL INFORMATION CHECKLIST

CRITERIA	MET (Y/N)	COMMENTS
Prior Registration: State if the collective investment scheme is now or has been registered, licensed, recognized or authorized under any law or regulations relating to mutual funds, collective investment schemes/funds or securities in any country or jurisdiction.	NO	
Refusal or Disciplinary Measures: Has the collective investment scheme, any of its officers, managers, administrators, investment advisers or custodians been the subject of ⚡	NO	
(a) refusal of an application for registration, licence, recognition or authorization; or	NO	
(b) suspension, cancellation or revocation of registration, licence, recognition or authorization by any authority in any country or jurisdiction? YES/NO. Give details and reasons if yes	NO	

Select the correction option and leave a comment where necessary and click save and then next

Application Number QWJ62	Licence Number N/A
Company Name Test Finacials	
Application Date 19-Aug-2013	Current Status On going Application
Applicant Name Red Kiboi	
Application Category Issuer of Securities/Listed Companies	
Application Type Collective Investment Scheme	

Functionaries || Documents in Support of Application Stage 9 of 13

ADDITIONAL INFORMATION CHECKLIST

[Edit Checklist](#)

CRITERIA	MET (Y/N)	COMMENTS
Prior Registration: State if the collective investment scheme is now or has been registered, licensed, recognized or authorized under any law or regulations relating to mutual funds, collective investment schemes/funds or securities in any country or jurisdiction.	NO	
Refusal or Disciplinary Measures: Has the collective investment scheme, any of its officers, managers, administrators, investment advisers or custodians been the subject of ⚡	NO	
(a) refusal of an application for registration, licence, recognition or authorization; or	NO	
(b) suspension, cancellation or revocation of registration, licence, recognition or authorization by any authority in any country or jurisdiction? YES/NO. Give details and reasons if yes	NO	
Civil Proceedings: Has a judgment been rendered or any suit, action or proceedings pending against any officer of the collective investment scheme or of any of its functionaries listed in question (5) above, in civil proceedings in any court or tribunal in any country or jurisdiction which has been or is based in whole or in part on fraud, theft, deceit, misrepresentation or similar conduct? YES/NO Give details if yes.	NO	
Offences: Has any key officer of the collective investment scheme or any of its functionaries listed in question (5) above been or is being charged, indicted or convicted in any country or jurisdiction for any offence in any criminal or civil proceedings relating to fraud or theft arising out of dealing in mutual funds, collective investment schemes/funds or securities?	NO	
Bankruptcy: Has any key officer of the collective investment scheme or of any of its functionaries listed in question 5 above been ⚡	NO	
(a) declared bankrupt or been party to bankruptcy or insolvency proceedings?	NO	
(b) subject to proceedings relating to insolvency or liquidation or similar ⚡	NO	

In the next stage attach all the files needed click on the Upload link to upload the files

Application Category Issuer of Securities/ Listed Companies			
Application Type Collective Investment Scheme			
DOCUMENTS	Checklists	Checklists	Stage 10 of 13
1 Affidavit for a Collective Investment Scheme	?	..	Upload
2 Information Memorandum	?	..	Upload
3 Audited reports for the preceding 3 years of the proposed fund manager, where applicable	?	..	Upload
4 Audited reports for the preceding 3 years of the proposed trustee	?	..	Upload
5 Audited reports for the preceding 3 years of the proposed custodian	?	..	Upload
6 Letter of consent to act as a fund manager	?	..	Upload
7 Letter of consent to act as a trustee	?	..	Upload
8 Letter of consent to act as a custodian	?	..	Upload
9 Trust Deed	?	..	Upload
10 Management Agreement	?	..	Upload
11 Custody Agreement	?	..	Upload
12 Rules of the Scheme	?	..	Upload
13 Memorandum and articles of association of the promoter	?	..	Upload
14 Memorandum and articles of association of the proposed fund manager	?	..	Upload

Then click next on the Trust Deed Disclosure Checklist click on **Edit Checklist**


Application Number QWJ62	Licence Number N/A
Company Name Test Financials	
Application Date 19-Aug-2013	Current Status On going Application
Applicant Name Red Kiboi	
Application Category Issuer of Securities/Listed Companies	
Application Type Collective Investment Scheme	
Documents in Support of Application Checklists	
Stage 11 of 1	

TRUST DEED - DISCLOSURE REQUIREMENTS CHECKLIST (THIRD SCHEDULE)

[Edit Checklist](#)

CRITERIA	MET (Y/N)	COMMENTS
THIRD SCHEDULE		
TRUST DEED	NO	
PART I		
THE TRUST	NO	
1)		
Interpretation definition of terms used in the Trust Deed.	NO	
2)		

Select the correct option and leave a comment where necessary click save and then the next button

TRUST DEED - DISCLOSURE REQUIREMENTS CHECKLIST (THIRD SCHEDULE)		
CRITERIA	MET (Y/N)	COMMENTS
THIRD SCHEDULE		
TRUST DEED	NO <input type="button" value="v"/>	<div></div>
PART I		
THE TRUST	NO <input type="button" value="v"/>	<div></div>
1) Interpretation  definition of terms used in the Trust Deed.	NO <input type="button" value="v"/>	<div></div>
2) The constitution of the collective investment scheme: A statement of the name, address and registered office of the collective investment scheme. If the collective investment scheme is to terminate after the expiration of a particular period, a statement to that effect.	NO <input type="button" value="v"/>	<div></div>

If the workflow was not enforced then, Read the Declaration form and submit the form

Applicant Name
Application Category All
Application Type Investment Bank
Documents in Support of Application
Stage 10 of 10

Stage 10 of 10

We hereby declare that the information given in the application is truthful, complete and accurate. We understand that any falsification, willful misrepresentation or omission of any material fact shall result in this application being withdrawn.

Previous

Submit

Cancel

Save & Close

If a the workflow was enforced under **Profile Setup** the following step will be displayed before the declaration page

Current Status: Manager Approval

Approval Notes *

(Maximum characters: 500) You have 500 characters left.

Send to * Manager Approval

Previous Send For Approval Cancel Save & Close

Click on the **Send to** drop down menu to send it to the approver. The approver will get a notification both in his/her email address and under the correspondence module telling him/her to go and approve a request before submission.

Leave an approval note for the approver to view notes concerning the Approval application

II. *Applied Approvals*

This allows users to be able to view there applied approvals.

Pending Submission							
							Pages: 1
No	Licence Type	Licence Number	Start Date	Expiry Date	Status		
1	Corporate Bonds (Fixed Income Securities)	N/A	N/A	N/A	Pending Submission		Action ▾
2	Employee Share Ownership Scheme or Plans	N/A	N/A	N/A	Pending Submission		Action ▾
3	Independent Advisors (Mergers)	N/A	N/A	N/A	Pending Submission		Action ▾
4	Rights Issues (Additional Issues)	N/A	N/A	N/A	Pending Submission		Action ▾
5	Employee Share Ownership Scheme or Plans	N/A	N/A	N/A	Pending Submission		Action ▾
6	Collective Investment Scheme	N/A	N/A	N/A	Pending Submission		Action ▾
							Pages: 1

Under status one is able to view the progress of the application applied for

Click on the Action button, and select an option from the drop down

No	Licence Type	Licence Number	Start Date	Expiry Date	Status	Action
1	Corporate Bonds (Fixed Income Securities)	N/A	N/A	N/A	Pending Submission	Action
2	Employee Share Ownership Scheme or Plans	N/A	N/A	N/A	Pending Submission	Edit
3	Independent Advisors (Ratgers)	N/A	N/A	N/A	Pending Submission	View Licence Details
4	Rights Issues (Additional Issues)	N/A	N/A	N/A	Pending Submission	Correspondence
5	Employee Share Ownership Scheme or Plans	N/A	N/A	N/A	Pending Submission	Action
6	Collective Investment Scheme	N/A	N/A	N/A	Pending Submission	Action

One can **Edit, View License Details** or **Correspondence**

III. Manage Approvals

This is where approved approvals are managed from

No	Licence Type	Licence Number	Start Date	Expiry Date	Status (%)
----	--------------	----------------	------------	-------------	--------------

6. No Objection Request

This is where licensees and approved institutions make a no objection request

It has the following functions

- New Application
- Pending Submission
- Submitted
- Approved

I. *New Application*

To make a new objection request click on the link *New Application*



Click on the objection type and save and then click next, depending on the type of objection request chosen the user will be displayed with a page to change the information earlier added

For example selecting the objection type of **Change in Location/Business Premises** the following page will be displayed

Regulation 53C of the Capital Markets (Licensing Requirements) General Regulations 2002

New/Edit Location/Business Premises

Company Name:	
Current Location & Address	
Postal Address:	Postal Code:
Town:	
Physical Address(Building):	
Physical Address (Street/Road)	
Telephone 1:	Telephone 2:
New Location & Address	
Postal Address:	Postal Code:
Town:	
Physical Address(Building):	
Physical Address (Street/Road)	
Telephone 1:	Telephone 2:
Reasons for Relocation	
Effective Date: 01-Jan-1970	
Remarks:	

Next Close

To address click on the **New/Edit Location/business Premises** link to edit or add the new address. Fill in all the required fields click save then fill in the required fields

Current Location & Address	
Postal Address:	Postal Code:
Town:	
Physical Address(Building):	
Physical Address (Street/Road)	
Telephone 1:	Telephone 2:
New Location & Address	
Postal Address:	550
Postal Code:	02000
Town:	Kitale
Physical Address(Building):	Kitale Plaza
Physical Address (Street/Road)	Kitale Street
Telephone 1:	012345678
Telephone 2:	
Reasons for Relocation	New location
Effective Date:	01 Jan 1954
Remarks:	Test

Click the **Submit** button to submit the application if there is no workflow enforced

No Objection Request Declaration

We declare that all the information given in this application and in the attached documents is true and correct.

[Previous](#)[Submit](#)[Close](#)

If a the workflow was enforced under **Profile Setup** the following step will be displayed before the declaration page

Current Status: Manager Approval

Approval Notes *

(Maximum characters: 500) You have 500 characters left.

Send to *

Manager Approval

[Previous](#)[Send For Approval](#)[Cancel](#)[Save & Close](#)

Click on the **Send to** drop down menu to send it to the approver. The approver will get a notification both in his email address and under the correspondence module telling him/her to go and approve a request before submission.

Leave an approval note for the approver to view notes concerning the No objection Request application

II. Pending Submission

This contains all pending no objection requests

No Objection Request List				
				Pages: 1
No	Objection Request Name	Status		
1	Change in Shareholding	Awaiting Submission	Edit	Delete
2	Change in Shareholding	Awaiting Submission	Edit	Delete
				Pages: 1

III. Submitted

This contains all submitted no objection requests

No Objection Request List				
				Pages: 1
No	Objection Request Name	Status		
1	Change in Shareholding		View	
2	Change in Directors and Key Personnel		View	
3	Change in Auditors		View	
4	Closure of Market Intermediary's branch office(s)		View	
5	Change in Shareholding		View	

Click on **View** to view the application, but one cannot edit any submitted applications

IV. *Approved*

This contains no objections request that have been approved by CMA



DRAFT

7. Reporting Obligations

All companies licensed by the CMA and all issuers of securities are required by law to file a number of financial returns on a regular basis. These include

1. Financial Information for Market Intermediaries
- 2.

This is where licensees and approved institutions submit their returns .It has the following functions

- **New Reporting Obligations**
- **Pending Submission**
- **Submitted**

I. New Reporting Obligations

Click on this link to submit a new reporting obligation

New Return

Category *

[Previous](#)[Next](#)[Close](#)

Fill in the required fields from the drop down menu and click Next button

New Return

Category *

Licence Type *

Report Name *

Report Period *

Year *

[Previous](#)[Next](#)[Close](#)

Click on the **Download Template** button to download the template and save it to your local machine .In the Excel document provided after fill in the required fields thereafter upload the template.

Returns Details

Report Name: Financial Information for Licensees
Report Status:
Report Period: 01-Jan-2010

Report Status Name: Status 1

Download template * | Upload Defaults

Financial Information for Licensees

Next Close

Home

You are logged in as: Red Kilo | [Logout](#)

Menu

- Licensing and Approvals
- Reporting Obligations
 - New Reporting Obligation
 - Pending Submission
 - Submitted
- Internal Approvals
- Correspondence
- Enquiries
- Administration

Report Name: Financial Information for Licensees
Report Status: Validate Return
Report Period: 01-06-2011

Reporting Obligation Details [Download template](#)

[Financial Information for Licensees](#)

	Current Amount (Un-audited)	Previous Amount (Un-audited)
Income Statement		
1.0 Income		
1.1 Brokerage Commissions	0.00	0.00
1.2 Advisory /consultancy Fees	0.00	0.00
1.3 Interest Income	0.00	0.00
1.4 Dividend Income	0.00	0.00
1.5 Fund Management Fees	0.00	0.00
1.6 Administration Fees	0.00	0.00
1.7 Exchange gains/(loss)	0.00	0.00
1.8 Realized profits/(loss) on investments	0.00	0.00
1.9 Unrealized profits/(loss) on investments	0.00	0.00
1.10 Gains/(loss) on disposal of assets	0.00	0.00
1.11 Rental Income	0.00	0.00
1.12 Custodial Fees	0.00	0.00

II. Pending Submission

These are returns reports that are yet to be submitted to CMA

Pending Submission					Pages: 1	
No	Report Name	Year	Period	Status		
1)	Financial Information for Licensees	2010	Quarter 1	Awaiting Submission	Edit	Delete
					Pages: 1	

III. Submitted

These are return reports that have been submitted to the Authority

Pending Submission				
Pages: 1 2 [Next] [Last Page]				
No	Report Name	Year	Period	Status
1)	Financial Information for Licensees	2011	Quarter 3	0
Pages: 1 2 [Next] [Last Page]				

8. Internal Approvals

This is where approvals are made internally before the applications are submitted; the approvers log in to their account and check under pending submission to review the application then submitted.

It has the following functionalities

- Approved
- Pending approval

I. Approved

This contains all application that have been approved through the company policies and procedures (that is through the workflow created)

Profile Groups New User

Search:

Pages: 1

No.	Approvers Name	Approval Type	Edit	Delete
1	Kinobi Harry	Applications	Edit	Delete
2	Kinobi Harry	Applications	Edit	Delete

Pages: 1

On clicking the **Edit** button the user will be able to view the approvers' notes and the applications details

Approvals

Status Assitant Manager Approval

Notes * BIDS is the tool that we use to develop reports. It provides an intuitive interface based on Microsoft's Visual Studio product which has been used by developers for many years. The SQL Server 2008 version of BIDS has some nice enhancements to the user interface for designing, developing and testing reports. You will see these enhancements as we go through this tutorial

(Maximum characters: 500) You have characters left.

Application Details

- Details of the Applicant
- Capital Structure
- Shareholders
- Directors
- Company Secretary
- Key Personnel
- Auditors
- Checklists
- Documents in Support of
- Application Declaration

II. Pending approval

This contains all applications that are to be submitted to CMA that are pending approval because they need to be approved first

Profile Groups New User

Search:

Pages:

No.	Approvers Name	Approval Type
No Records Found		

Pages:

9. Enquiries

This is where help is provided for questions that users want to ask about the CMA online portal.

Users click on the **Frequently Asked Questions** link and types the question thereafter the users clicks on the **Search** button for an answer to be displayed

Home

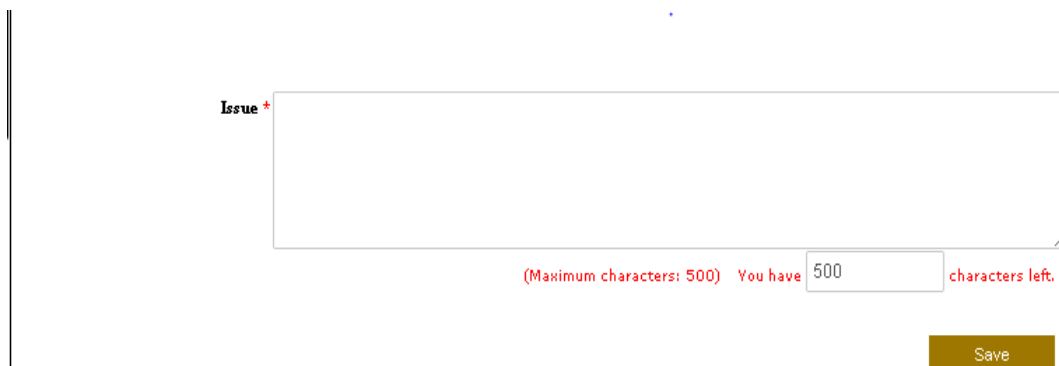
Action Menu

- Licensing
- Approvals
- No Objection Request
- Reporting Obligations
- Internal Approvals
- Correspondence
- Enquiries
 - Make an Enquiry
- Administration
- Error Reporting

Type Question *

10. Error Reporting

This module allows users to send errors or issues they encounter when using the system. The errors are sent to CMA to be reviewed and corrected. There after CMA will get back to the users



The screenshot shows a web form for reporting an issue. On the left, there is a vertical line of three double vertical bars. The form has a label "Issue" with a red asterisk. Below it is a large text input field. At the bottom of the field, there is a character count: "(Maximum characters: 500) You have 500 characters left." To the right of the input field is a small box containing the number "500". Below the input field is a green "Save" button.

Fill in the required fields and then click the **Save** button your error will be received