

Annexure I: **FIRST SCHEDULE: INFORMATION SHEET FOR DETAILS OF APPLICANTS**

(In relation to *Regulation 7(1)*)

1. **Name:** _____

2. **Former name(s)**(if any) by which the applicant has been known:

3. **Head/main office:** _____

(a) Address: _____

(b) Telephone No: _____

(c) Telefax No: _____

(d) E-Mail: _____

4. **Branches** (Including physical location): _____

Subsidiaries & affiliates:

<i>Name and type of business</i>	<i>Amount of shares held</i>	<i>% of shares held to total</i>
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_____	_____	_____
_____	_____	_____
_____	_____	_____

5. **Management:**

(1) Board of Directors:

<i>Name:</i>	<i>Designation</i>	<i>Present term</i>	<i>No. of years as board member</i>
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_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

Board committees

<i>Name and purpose of committee(s):</i>	<i>Names of members:</i>
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_____	_____
_____	_____
_____	_____

(2) Officers:

<i>Name:</i>	<i>Position:</i>	<i>No. of years as officer</i>
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6. Ownership profile:

<i>Name</i>	<i>Country of citizenship</i>	<i>Residence</i>	<i>Paid up capital</i>	<i>%</i>
1. _____	_____	_____	_____	_____
2. _____	_____	_____	_____	_____
Other shareholders owing less than 10% (Number _____)				
TOTAL _____				

7. Organisation profile:

- (a) Organisation chart—Attach one indicating major departments or divisions with names, positions and titles of officers heading each department or division.
- (b) Functions—Attach a list of functions or responsibilities for each department or division listed in the organisation chart indicating the number of personnel or staff for each.
- (c) Qualifications of significant shareholders, directors and officers.
- (d) Annex personal declaration form of each significant shareholder and officer and an information sheet for each significant corporate shareholder.
- (e) Powers and purposes- attach the latest copies of the Memorandum and Articles of Association if not previously submitted to the Central Bank.

8. Shareholding in any institution:

<i>Name of institution</i>	<i>Shares owned - amount</i>	<i>Number</i>	<i>% of capital</i>
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

9. Name(s) and address(es) of the applicant’s bankers within the last 10 years.(Please also indicate the applicant’s principal bankers).....

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10. Name and address of the applicant’s external auditors

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11. Does the applicant hold, or has it ever held, any authority from a supervisory body to carry on any business activity in Kenya or elsewhere? If so, give particulars. If any such authority has been revoked, give particulars.....

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12. Has the applicant ever applied for any authority from a supervisory body to carry on any business in Kenya or elsewhere other than the authority mentioned in answer to Question 13? If so, give particulars. If any such application was for any reason refused or withdrawn after it was made, give particulars.....

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13 Has the applicant or any company in the same group within the last 10 years failed to satisfy a judgment debt under a court in Kenya or elsewhere within a year of the making of the order? If so, give particulars.....

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14. Has the applicant or any company in the same group made any compromise or arrangement with its creditors within the last 10 years or otherwise failed to satisfy its creditors in full? If so, give particulars.....

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15. Has a receiver or an administrative receiver of any property of the applicant or any company in the same group been appointed in Kenya, or has a substantial equivalent of any such person been appointed in any other jurisdiction, in the last 10 years? If so, give particulars, including whether the receiver is still acting under the appointment

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16. Has a petition been served in Kenya for an administrative order in relation to the applicant or company in the same group, or has the substantial equivalent of such a petition been served in any other jurisdiction, in the last 10 years? If so, give particulars.....

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17. Has a notice of resolution for the voluntary liquidation of the applicant or any company in the same group been given in Kenya, or has the substantial equivalent of such a petition been served in any other jurisdiction, in the last 10 years? If so, give particulars.....

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18. Has a petition been served in Kenya for the compulsory liquidation of the applicant institution or any company in the same group, or has the substantial equivalent of such a petition been served in any other jurisdiction, in the last 10 years?. If so, give particulars

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19. State whether the applicant company has ever been under any criminal investigation, prosecution disciplinary action(s),public criticism or trade sanctions in connection with banking and financial services in Kenya or elsewhere.....

