

AGENT APPLICATION FORM



1. INDIVIDUAL AGENTS:

TITLE: Mr. Mrs. Ms. Other (Specify) _____ GENDER: MALE FEMALE D.O.B: _____
FIRST NAME: _____ MIDDLE NAME: _____ SURNAME: _____
ID / PASSPORT: _____ PASSPORT ISSUE DATE: _____ PASSPORT EXPIRY DATE: _____
KRA PIN: _____ MOBILE: _____ OFFICE TEL: _____
EMAIL: _____
POSTAL ADDRESS: _____ POSTAL CODE: _____ CITY / TOWN: _____
PHYSICAL ADDRESS: _____ STREET: _____ HOUSE NO: _____

Next Of Kin:

FIRST NAME: _____ MIDDLE NAME: _____ SURNAME: _____
RELATIONSHIP: _____ MOBILE: _____

2. TYPE OF ENTITY Fill in general partner information as contact person below

- a. LIMITED COMPANY c. NGO f. TRUST FUND
 b. UNLIMITED PARTNERSHIP d. GOVERNMENT DEPARTMENT g. LIMITED PARTNERSHIP
 e. ASSOCIATION/SOCIETY

3. CORPORATE DETAILS:

Registration No: _____
PIN No.: _____ COUNTRY OF INCORPORATION: _____
CONTACT PERSON: _____ POSITION IN ORGANIZATION: _____
OFFICE TEL: _____ ALTERNATIVE NO: _____
EMAIL: _____ FAX: _____
POSTAL ADDRESS: _____ POSTAL CODE: _____ CITY / TOWN: _____
PHYSICAL ADDRESS: _____ STREET: _____ HOUSE NO: _____
WEBSITE: _____

4. BANK DETAILS:

Any change of bank details must be provided in writing, duly executed by authorised signatories. No payments will be made to third party accounts. OAM will not accept money outside the bank accounts listed in the application form.

	APPLICANT	2 ND APPLICANT
BANK NAME	_____	_____
BRANCH	_____	_____
ACCOUNT NAME	_____	_____
ACCOUNT NUMBER	_____	_____
A/C TYPE (SAVINGS, CURRENT, PERSONAL ETC.)	_____	_____
SIGNATURE	_____	_____

5. KYC DOCUMENT CHECKLIST

- a. ID, Passport, Birth Certificate (for all signatories) e. Memorandum & Articles of Association
 b. KRA PIN Certificates f. Resolution approving becoming and agent of OAM
 c. Proof of Physical and Postal Address g. 3 Months certified bank statement
 d. Certificate of incorporation or equipment h. Corporate Signing Mandate

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6. HONESTY AND INTEGRITY SECTION:

a. Has an adverse finding been made against you within a period of five years preceding the date of application in any civil or criminal proceedings by any court of competent jurisdiction in which you were found to have acted fraudulently, dishonestly, unprofessionally, dishonourably or in breach of fiduciary duty?

YES NO

If yes, please provide particulars:

b. Have you within a period of five years preceding the date of application been found guilty by any professional or financial services industry regulatory or supervisory body (whether in Kenya or elsewhere, of an act of dishonesty, negligence, incompetence or mismanagement?

YES NO

If yes, please provide particulars:

c. Have you at any time prior to the date of application been disqualified or prohibited by any court of law (whether in Kenya or elsewhere) from taking part in the management of any company or statutory created, recognised or regulated body irrespective whether such disqualification has since been lifted or not?

YES NO

If yes, please provide particulars:

d. Have you been refused the right to carry on or restricted from carrying on a trade, business or profession for which a specific licence, registration or other authority is required by law in any country?

YES NO

If yes, please provide particulars:

e. Have you been issued with a prohibition order under any legislation administered by the Capital markets Authority, retirement Benefits Authority or insurance Board or been prohibited by other regulatory bodies from operating in the financial services industry?

YES NO

If yes, please provide particulars:

f. Have you been involved with a corporation which has been censured, displaced suspended or refused membership or registration by a stock exchange, futures exchange, other market or regulatory authority?

YES NO

If yes, please provide particulars:

g. Have you had judgement including a finding of fraud, misrepresentation or dishonesty) given against you in any civil proceedings or are there any proceedings now pending which ay lead to such a judgment?

YES NO

If yes, please provide particulars:

h. Have you knowingly or negligently aided or abetted other persons in the breaching of any laws, regulations, exchange rules and or codes of conduct?

YES NO

If yes, please provide particulars:

i. Have you been the subject of any investigation or disciplinary proceedings by any regulatory authority or exchange professional body or government body or agency?

YES NO

If yes, please provide particulars:

j. Have any of your assets been sequestered?

YES NO

If yes, please provide particulars:

k. Have you ever been a controlling shareholder, director of a company or member of a close corporation at the time it was placed under judicial management or in provisional or liquidation?

YES NO

If yes, please provide particulars:

l. Have you been ever refused a license or registration in any place under any law which required licensing or registration in relation to securities, futures, leveraged foreign exchange or insurance activities?

YES NO

If yes, please provide particulars:

m. Have you been refused authorisation to carry on business by the Capital Markets Authority, Retirement Benefits Authority or Insurance Advisory board or has such authorisation ever been suspended or revoked by any such body, because of negligence, incompetence or mismanagement?

YES NO

If yes, please provide particulars:

n. Do you have any additional information, which should be brought to our attention, which may have impact on the evaluation, by the company of your good character and integrity?

YES NO

If yes, please provide particulars: