

STATUTORY INSTRUMENTS SUPPLEMENT

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S T A T U T O R Y I N S T R U M E N T S

2016 No. 78.

**The Capital Markets (Establishment of Stock Exchanges) (Amendment)
Regulations, 2016.**

(Under section 101 (1) of the Capital Markets Authority Act, Cap. 84)

IN EXERCISE of the powers conferred upon the Capital Markets Authority by section 101 of the Capital Markets Authority Act, these Regulations are made this 17th day of July, 2016.

1. Title.

These Regulations may be cited as the Capital Markets (Establishment of Stock Exchanges) (Amendment) Regulations, 2016.

2. Amendment of S.I. 84-3.

The Capital Markets (Establishment of Stock Exchanges) Regulations, in these Regulations referred to as the principal Regulations, are amended in regulation 3 by substituting for the words “set out in the Schedule to these Regulations” the words “prescribed in Schedule I”.

3. Amendment of regulation 5.

The principal Regulations are amended in regulation 5, by substituting for the words “of one million shillings” the words “prescribed in Schedule II”.

4. Amendment of regulation 8.

The principal Regulations are amended in regulation 8 (2), by substituting for the words “set out in the Schedule” the words “prescribed in Schedule I”.

5. Amendment of regulation 9.

The principal Regulations are amended in regulation 9, by substituting for the words “of five hundred thousand shillings” the words “prescribed in Schedule II”.

6. Amendment of Schedule.

The Schedule to the principal Regulations is amended by—

- (a) renumbering the Schedule as Schedule I;
- (b) inserting immediately after Schedule I the following—

“Schedule II

regs 5,9

FEES

| ITEM | MATTER | FEES (Ug. Shs.) |
|-------------|---|---|
| | DIVISION I- LICENSING FEES FOR A STOCK EXCHANGE | |
| 1. | Non-refundable application fee for a stock exchange | 1,000,000/= |
| 2. | Grant of licence or admission fee for a stock exchange | 5,000,000/= |
| 3. | Renewal of licence or admission fee for a stock exchange | 2.5% of the gross earnings, excluding the transaction fees |
| | DIVISION II – LICENSING FEES FOR AN INTERIM STOCK TRADING FACILITY | |
| 4. | Non-refundable application fee for an interim stock trading facility | 500,000/= |
| 5. | Grant of licence or admission fee for an interim stock trading facility | 3,000,000/= |
| 6. | Renewal of licence or admission fee for an interim stock trading facility | 2.5% of the gross earnings, excluding the transaction fees. |
| | DIVISION III– REPLACEMENT OR CERTIFICATION OF LICENCE | |
| 7. | Application for replacement of licence | 50,000/= |
| 8. | Application for certification of licence | 50,000/=” |

GRACE JETHRO KAVUMA,
Chairperson, Capital Markets Authority.