

APPLICATION FOR REGISTRATION OF FIRM TO ENGAGE IN THE PUBLIC PRACTICE OF FINANCIAL AND INVESTMENT ANALYSIS AND PROVISION OF OTHER SERVICES UNDER THE INVESTMENT AND FINANCIAL ANALYSTS ACT NO. 13 OF 2015

Application made pursuant to the provisions of sections 18 (1) and 21 (1) of the Investment and Financial Analysts Act, No. 13 of 2015 (“IFA Act”):

1. Details of Firm *(Please also attach Certificate of incorporation, brief company profile, CR12 certificate)*

- a) Name of Firm.....
- b) Postal Address: P O Box.....Postal Code..... City/Town.....
- c) Physical Address of Registered Office
- d) Telephone / Cell Number.....
- e) Email.....

2. Declaration

We hereby declare that our organization is engaged in financial and investment analysis as defined in the IFA Act and has the following persons who are members of the Institute of Certified Investment and Financial Analysts (“ICIFA”) in good standing and hold Practising Certificates and valid Annual Licences issued by ICIFA.

Details of ICIFA Members with Practising Certificates Employed by the Firm:

| Name | Current Position | Years in the Firm | Practicing Certificate No. |
|------|------------------|-------------------|----------------------------|
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You may add more space for additional names

3. Has any Director / Partner / Secretary / Member of Senior Management of the firm been denied any registration or approval under any other Act, e.g. CMA Act, RBA Act, Accountants Act, or any relevant legislation? **Yes/No**. If „yes“, please provide details:

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4. Has any Director / Partner / Secretary / Member of Senior Management of the firm been subjected to any form of disciplinary action by any professional or regulatory body? **Yes/ No**. If „yes“, please provide details:

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5. If the firm is or will be engaged in the public practice of financial and investment analysis and any other related services defined in the Act and/or Regulations, please indicate the exact nature of the business of the firm:

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6. Is there any other relevant information? **Yes / No**. If „yes“, please provide details:

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I understand that by submitting this form, I consent to the collection, use, and storage of my personal data by the Institute of Certified Investment and Financial Analysts in accordance with the applicable data protection laws and regulations in Kenya.

I further consent to the use of my information for purposes related to registration, professional communication, compliance, and continuous professional development. I understand that my data may be shared with third parties only where required by law or regulation.

☐ I have read and understood the above and give my informed consent.

☐ I do not give my consent

Dated this day of20

Signed: By.....

Designation

Company Rubber Stamp