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General Notice No. 581 of 2010.

THE ADVOCATES ACT, CAP. 267.

NOTICE OF APPLICATION FOR A CERTIFICATE OF ELIGIBILITY.

IT IS HEREBY NOTIFIED that an application has been presented to the Law Council by Kabami Geraldine who is stated to be a holder of a Bachelor of Laws Degree from Makerere University having been awarded on the 29th day of January, 2008 and a Diploma in Legal Practice awarded by the Law Development Centre on the 3rd day of September, 2010, for the issue of a Certificate of Eligibility for entry of her name on the Roll of Advocates for Uganda.

Kampala, MARGARET APINY,
3rd November, 2010. Ag. Secretary, Law Council.

General Notice No. 582 of 2010.

THE ADVOCATES ACT, CAP. 267.

NOTICE OF APPLICATION FOR A CERTIFICATE OF ELIGIBILITY.

IT IS HEREBY NOTIFIED that an application has been presented to the Law Council by Kyokwijuka Brenda who is stated to be a holder of a Bachelor of Laws Degree from Uganda Christian University having been awarded on the 6th day of July, 2007 and a Diploma in Legal Practice awarded by the Law Development Centre on the 3rd day of September, 2010, for the issue of a Certificate of Eligibility for entry of her name on the Roll of Advocates for Uganda.

Kampala, MARGARET APINY,
3rd November, 2010. Ag. Secretary, Law Council

General Notice No. 583 of 2010.

THE ADVOCATES ACT, CAP. 267.

NOTICE OF APPLICATION FOR A CERTIFICATE OF ELIGIBILITY.

IT IS HEREBY NOTIFIED that an application has been presented to the Law Council by Lomuria Thomas Davis who is stated to be a holder of a Bachelor of Laws Degree from Uganda Christian University having been awarded on the 6th day of June, 2008 and a Diploma in Legal Practice awarded by the Law Development Centre on the 3rd day of September, 2010, for the issue of a Certificate of Eligibility for entry of his name on the Roll of Advocates for Uganda.

Kampala,
29th October, 2010.

MARGARET APINY,
Ag. Secretary, Law Council

General Notice No. 584 of 2010.

THE ADVOCATES ACT, CAP. 267.

NOTICE OF APPLICATION FOR A CERTIFICATE OF ELIGIBILITY.

IT IS HEREBY NOTIFIED that an application has been presented to the Law Council by Kamugisha Tumwine Samson who is stated to be a holder of a Bachelor of Laws Degree from Uganda Christian University having been awarded on the 6th day of July, 2007 and a Diploma in Legal Practice awarded by the Law Development Centre on the 3rd day of September, 2010, for the issue of a Certificate of Eligibility for entry of his name on the Roll of Advocates for Uganda.

Kampala,
26th October, 2010.

MARGARET APINY,
Ag. Secretary, Law Council

General Notice No. 585 of 2010.

THE ADVOCATES ACT, CAP. 267.

NOTICE OF APPLICATION FOR A CERTIFICATE OF ELIGIBILITY.

IT IS HEREBY NOTIFIED that an application has been presented to the Law Council by Atyang Christine who is stated to be a holder of a Bachelor of Laws Degree from Uganda Christian University having been awarded on the 17th day of October, 2008 and a Diploma in Legal Practice awarded by the Law Development Centre on the 3rd day of September, 2010, for the issue of a Certificate of Eligibility for entry of her name on the Roll of Advocates for Uganda.

Kampala,
4th November, 2010.

STELLA NYANDRIA,
Ag. Secretary, Law Council

General Notice No. 586 of 2010.

THE ADVOCATES ACT, CAP. 267.

NOTICE OF APPLICATION FOR A CERTIFICATE OF ELIGIBILITY.

IT IS HEREBY NOTIFIED that an application has been presented to the Law Council by Muhumuza Mugimba Moses who is stated to be a holder of a Bachelor of Laws Degree from Makerere University having been awarded on the 23rd day of January, 2009 and a Diploma in Legal Practice awarded by the Law Development Centre on the 3rd day of September, 2010, for the issue of a Certificate of Eligibility for entry of his name on the Roll of Advocates for Uganda.

Kampala,
29th October, 2010.

MARGARET APINY,
Ag. Secretary, Law Council

General Notice No. 587 of 2010.

THE ADVOCATES ACT, CAP. 267.

NOTICE OF APPLICATION FOR A CERTIFICATE OF ELIGIBILITY.

IT IS HEREBY NOTIFIED that an application has been presented to the Law Council by Baligeya Moses Mufumbiro who is stated to be a holder of a Bachelor of Laws Degree from Islamic University in Uganda having been awarded on the 9th day of February, 2008 and a Diploma in Legal Practice awarded by the Law Development Centre on the 3rd day of September, 2010, for the issue of a Certificate of Eligibility for entry of his name on the Roll of Advocates for Uganda.

Kampala,
3rd November, 2010.

MARGARET APINY,
Ag. Secretary, Law Council

General Notice No. 588 of 2010.

THE ADVOCATES ACT, CAP. 267.

NOTICE OF APPLICATION FOR A CERTIFICATE OF ELIGIBILITY.

IT IS HEREBY NOTIFIED that an application has been presented to the Law Council by Kahima Samuel who is stated to be a holder of a Bachelor of Laws Degree from Makerere University having been awarded on the 29th day of January, 2008 and a Diploma in Legal Practice awarded by the Law Development Centre on the 3rd day of September, 2010, for the issue of a Certificate of Eligibility for entry of his name on the Roll of Advocates for Uganda.

Kampala,
3rd November, 2010.

MARGARET APINY,
Ag. Secretary, Law Council

General Notice No. 589 of 2010.

THE ADVOCATES ACT, CAP. 267.

NOTICE OF APPLICATION FOR A CERTIFICATE OF ELIGIBILITY.

IT IS HEREBY NOTIFIED that an application has been presented to the Law Council by Mukiibi Davids Henry who is stated to be a holder of a Bachelor of Laws Degree from Makerere University having been awarded on the 23rd day of January, 2009 and a Diploma in Legal Practice awarded by the Law Development Centre on the 3rd day of September, 2010, for the issue of a Certificate of Eligibility for entry of his name on the Roll of Advocates for Uganda.

Kampala,
6th October, 2010.

MARGARET APINY,
Ag. Secretary, Law Council

General Notice No. 590 of 2010.

THE ADVOCATES ACT, CAP. 267.

NOTICE OF APPLICATION FOR A CERTIFICATE OF ELIGIBILITY.

IT IS HEREBY NOTIFIED that an application has been presented to the Law Council by Namutebi Veronica who is stated to be a holder of a Bachelor of Laws Degree from Makerere University having been awarded on the 17th day of January, 2003 and a Diploma in Legal Practice awarded by the Law Development Centre on the 6th day of May, 2005, for the issue of a Certificate of Eligibility for entry of her name on the Roll of Advocates for Uganda.

Kampala,
9th November, 2010.

MARGARET APINY,
Ag. Secretary, Law Council

General Notice No. 591 of 2010.

THE COMPANIES ACT, LAWS OF UGANDA, 2000.

(Cap. 110).

NOTICE.

PURSUANT to Section 19(4) of the Companies Act, (Cap. 110) Laws of Uganda, 2000, notice is hereby given that British-American Uganda Limited has been by special resolution passed on 14th September, 2010 and with the approval of the Registrar of Companies changed in name to Britam Insurance Company (Uganda) Ltd and that such new name has been entered in my Register.

Dated at Kampala, this 27th day of October, 2010.

MAUDAH ATUZARIRWE,
Assistant Registrar of Companies.

General Notice No. 592 of 2010.

UGANDA REGISTRATION SERVICES BUREAU.

The Copyright and Neighbouring Rights Regulations, 2010.

FORM 2

NOTICE OF APPLICATION FOR REGISTRATION OF COPYRIGHT OR NEIGHBOURING RIGHT.

TAKE NOTICE THAT Oluwole-Olusola Akitunde of P. O. Box 7134, Kampala, has lodged an application with the Registrar of Copyright for the registration of copyright/neighbouring rights for the following works:—

1. APPLICATION SOFTWARE TITLED 'KITSOFT-PREMIUM'.

Any person intending to object to the application for registration of copyright or neighbouring rights may file a letter of objection with this office within 60 days from the date of this notice.

DATED this Wednesday, November 03, 2010.

JULIET NASSUNA,
Registrar of Copyright.

General Notice No. 593 of 2010.

THE MINING ACT, 2003

(The Mining Regulations, 2004)

NOTICE OF GRANT OF EXPLORATION LICENCE

IT IS HEREBY NOTIFIED that Exploration Licence, Number EL 0658 registered as Number 000858 has been granted in accordance with the provisions of Section 27 and Section 29 to M/s Kweri Limited of P.O. Box 71680, Kampala, for a period of three (3) years effective from 12th July, 2010.

The Exploration area subject to the Exploration Licence is 160km² on Topography Map, Sheet Number 73/1 & 73/2 situated in Bugiri and Mayuge Districts.

Dated at Entebbe, this 12th day of July, 2010.

RUDIGIZAH CHRIS,
for Ag. Commissioner for Geological Survey and Mines Department.

General Notice No. 594 of 2010.

THE MINING ACT, 2003
(The Mining Regulations, 2004)

NOTICE OF GRANT OF AN EXPLORATION LICENCE

IT IS HEREBY NOTIFIED that Exploration Licence, Number EL 0667 registered as Number 000871 has been granted in accordance with the provisions of Section 27 and Section 29 to M/s Kweri Ltd of P.O. Box 71680, Kampala, for a period of three (3) years effective from 21st July, 2010.

The Exploration area subject to the Exploration Licence is 202km² and is on Topography Map, Sheet Number 73/1 & 63/3 and is situated in Iganga and Mayuge Districts.

Dated at Entebbe, this 21st day of July, 2010.

RUDIGIZAH CHRIS,
*for Ag. Commissioner for Geological Survey
and Mines Department.*

General Notice No. 595 of 2010.

THE MINING ACT, 2003
(The Mining Regulations, 2004)

**NOTICE OF GRANT OF CERTIFICATES OF
SUSPENSION OF WORKING OBLIGATIONS ON A
MINING LEASE**

PURSUANT to Section 93(4) of the Mining Act, 2003, notice is hereby given that Certificate of Suspension of Working Obligations on Mining Lease No. 0127 held by M/s Tororo Cement Limited of P.O. Box 74, Tororo has been granted.

The Mining area comprises of 901 hectares and is situated in Manjiya Block 7, Plot 88 on Topographic Sheet 54/4 Bududa District.

Dated at Entebbe, this 12th day of October, 2010.

JOSEPH P. OKEDI,
*for Ag. Commissioner for Geological Survey
and Mines Department.*

General Notice No. 596 of 2010.

THE MINING ACT, 2003
(The Mining Regulations, 2004)

**NOTICE OF GRANT OF CERTIFICATES OF
SUSPENSION OF WORKING OBLIGATIONS ON A
MINING LEASE**

PURSUANT to Section 93(4) of the Mining Act, 2003, notice is hereby given that Certificate of Suspension of Working Obligations on Mining Lease No. 4474 held by M/s Tororo Cement Limited of P.O. Box 74, Tororo has been granted.

The Mining area comprises of 40 hectares and is situated in Tororo County, Block 5, Plot 75 on Topographic Sheet 64/3/8 Tororo District.

Dated at Entebbe, this 12th day of October, 2010.

JOSEPH P. OKEDI,
*for Ag. Commissioner for Geological Survey
and Mines Department.*

General Notice No. 597 of 2010.

THE TRADE MARKS ACT.
(Cap. 83).
NOTICE.

NOTICE IS HEREBY GIVEN that any person who has grounds to oppose the registration of any of the marks advertised herein may within sixty days from the date of this *Gazette*, lodge a Notice of opposition on Trade Mark Form No. 6 together with a fee of Shs. 4000 in case of National applicants or US\$ 250 in case of Foreign applicants. The period of lodging Notice of opposition may be extended in suitable cases by the Registrar as he thinks fit upon such terms as he may direct. Formal opposition should not be lodged until after reasonable notice has been given by letter to the applicant so that he may have an opportunity to withdraw his application before the expense of opposition proceedings is incurred. Failure to give such notice will be taken into account in considering any application by the opponent for an order for costs if the opposition is uncontested by the applicant. Representations of the marks herein advertised can be inspected at the office of the Registrar of Trade Marks, Amamu House, Plot No. 5B George Street, P.O. Box 6848, Kampala.

- (21) APPLICATION No. 32414 IN PART "A".
(52) Class 16.
(54)

BLACKBERRY APP WORLD

- (53)
(59)
(64)
(57) *Nature of goods*— Paper, cardboard and goods made from these materials, not included in other classes; printed matter; bookbinding material; photographs; stationery; adhesives for stationery or household purposes; artists' materials; paint brushes; typewriters and office requisites (except furniture); instructional and teaching material (except apparatus); plastic materials for packaging (not included in other classes); printers' type; printing blocks.
(73) *Name of applicant*— Research in Motion Limited.
(77) *Address*— 295 Phillip Street, Waterloo, Ontario N2L 3W8, Canada.
(74) C/o. Muganwa, Nanteza & Co. Advocates, P.O. Box 8543, Kampala.

(22) *Date of filing application*— 6th October, 2009.

- (21) APPLICATION No. 2010/41435 IN PART "A".
(52) Class 30.
(54)



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(64)
(57) *Nature of goods*— Coffee, tea, cocoa, sugar, rice, tapioca, sago, artificial coffee; flour and preparations made from cereals, bread, pastry and confectionery, ices; honey, treacle; yeast, baking-powder; salt, mustard; vinegar, sauces (condiments); spices; ice.
(73) *Name of applicant*— Real Food Maize Millers Ltd.
(77) *Address*— P.O. Box 2311, Kampala, Uganda.
(74)
(22) *Date of filing application*— 26th October, 2010.

- (21) APPLICATION NO. 32413 IN PART "A".
 (52) Class 9.
 (54)

BLACKBERRY APP WORLD

- (53)
 (59)
 (64)
 (57) *Nature of goods*— Scientific, nautical, surveying, photographic, cinematographic, optical, weighing, measuring, signaling, checking (supervision), life-saving and teaching apparatus and instruments; apparatus and instruments for conducting, switching, transforming, accumulating, regulating or controlling electricity; apparatus for recording, transmission or reproduction of sound or images; magnetic data carriers, recording discs; automatic vending machines and mechanisms for coin operated apparatus; cash registers, calculating machines, data processing equipment and computers; fire-extinguishing apparatus.
 (73) *Name of applicant*— Research in Motion Limited.
 (77) *Address*— 295 Phillip Street, Waterloo, Ontario N2L 3W8, Canada.
 (74) C/o. Muganwa, Nanteza & Co. Advocates, P.O. Box 8543, Kampala.
 (22) *Date of filing application*— 6th October, 2009.

- (21) APPLICATION NO. 2009/40205 IN PART "A".
 (52) Class 5.
 (54)

VASTAREL

- (53)
 (59)
 (64)
 (57) *Nature of goods*— Pharmaceutical and veterinary preparations; sanitary preparations for medical purposes; dietetic substances adapted for medical use, food for babies; plasters, materials for dressings; material for stopping teeth, dental wax; disinfectants; preparations for destroying vermin; fungicides, herbicides.
 (73) *Name of applicant*— Biofarma.
 (77) *Address*— 22 rue Garnier, 92200, Neuilly-Sur-Seine, France
 (74) C/o. Muganwa, Nanteza & Co. Advocates, P.O. Box 8543, Kampala.
 (22) *Date of filing application*— 7th August, 2009.

- (21) APPLICATION NO. 32731 IN PART "A".
 (52) Class 5.
 (54)

- (53)
 (59)
 (64)
 (57) *Nature of goods*— Pharmaceutical and veterinary preparations; sanitary preparations for medical purposes; dietetic substances adapted for medical use, food for babies; plasters, materials for dressings; material for stopping teeth, dental wax; disinfectants; preparations for destroying vermin; fungicides, herbicides.
 (73) *Name of applicant*— N.V. Organon.

- (77) *Address*— Kloosterstraat 6, 5349 AB, Oss, Netherlands.
 (74) C/o. Muganwa, Nanteza & Co. Advocates, P.O. Box 8543, Kampala.
 (22) *Date of filing application*— 11th December, 2009.

- (21) APPLICATION NO. 2009/40207 IN PART "A".
 (52) Class 5.
 (54)

COVERSYL

- (53)
 (59)
 (64)
 (57) *Nature of goods*— Pharmaceutical and veterinary preparations; sanitary preparations for medical purposes; dietetic substances adapted for medical use, food for babies; plasters, materials for dressings; material for stopping teeth, dental wax; disinfectants; preparations for destroying vermin; fungicides, herbicides.
 (73) *Name of applicant*— Biofarma.
 (77) *Address*— 22 rue Garnier, 92200, Neuilly-Sur-Seine, France.
 (74) C/o. Muganwa, Nanteza & Co. Advocates, P.O. Box 8543, Kampala.
 (22) *Date of filing application*— 7th August, 2009.

- (21) APPLICATION NO. 2010/41448 IN PART "A".
 (52) Class 5.
 (54)



- (53)
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 (64)
 (57) *Nature of goods*— Pharmaceutical and veterinary preparations; sanitary preparations for medical purposes; dietetic substances adapted for medical use, food for babies; plasters, materials for dressings; material for stopping teeth, dental wax; disinfectants; preparations for destroying vermin; fungicides, herbicides.
 (73) *Name of applicant*— Safi Group Limited.
 (77) *Address*— P.O. Box 31281, Kampala, Uganda.
 (74)
 (22) *Date of filing application*— 28th October, 2010.

- (21) APPLICATION NO. 2010/41348 IN PART "A".
 (52) Class 5.
 (54)

ULTANE

- (53)
 (59)
 (64)
 (57) *Nature of goods*— Pharmaceutical and veterinary preparations; sanitary preparations for medical purposes; dietetic substances adapted for medical use, food for babies; plasters, materials for dressings; material for stopping teeth, dental wax; disinfectants; preparations for destroying vermin; fungicides, herbicides.
 (73) *Name of applicant*— Abbott Laboratories.
 (77) *Address*— 100 Abott Park, ILL 60064, U.S.A.
 (74) C/o. Sipi Law Advocates, P.O. Box 4180, Kampala.
 (22) *Date of filing application*— 13th October, 2010.

- (21) APPLICATION NO. 32385 IN PART "A".
 (52) Class 26.
 (54)

Toyokalon

- (53)
 (59)
 (64)
 (57) *Nature of goods*— Lace and embroidery, ribbons and braid; buttons, hooks and eyes, pins and needles; artificial flowers.
 (73) *Name of applicant*— Denki Kagaku Kogyo Kabushiki Kaisha.
 (77) *Address*— 1-1, Nihonbashi-Muromachi 2-chome, Chuo-ku, Tokyo, Japan.
 (74) *C/o. Muganwa, Nanteza & Co. Advocates*, P.O. Box 8543, Kampala.
 (22) *Date of filing application*— 23rd September, 2009.

- (21) APPLICATION NO. 32386 IN PART "A".
 (52) Class 17.
 (54)

Toyokalon

- (53)
 (59)
 (64)
 (57) *Nature of goods*— Rubber, gutta-percha, gum, asbestos, mica and goods made from these materials and not included in other classes; plastics in extruded form for use in manufacture; packing, stopping and insulating materials; flexible pipes, not of metal.
 (73) *Name of applicant*— Denki Kagaku Kogyo Kabushiki Kaisha.
 (77) *Address*— 1-1, Nihonbashi-Muromachi 2-chome, Chuo-ku, Tokyo, Japan.
 (74) *C/o. Muganwa, Nanteza & Co. Advocates*, P.O. Box 8543, Kampala.
 (22) *Date of filing application*— 23rd September, 2009.

- (21) APPLICATION NO. 2010/41472 IN PART "A".
 (52) Class 32.
 (54)

FLASH

- (53)
 (59)
 (64)
 (57) *Nature of goods*— Beers; mineral and aerated waters and other non-alcoholic drinks; fruit drinks and fruit juices; syrups and other preparations for making beverages.
 (73) *Name of applicant*— MR Distilleries Ltd.
 (77) *Address*— P.O. Box 35333, Kampala, Uganda.
 (74)
 (22) *Date of filing application*— 3rd November, 2010.

- (21) APPLICATION NO. 32389 IN PART "A".
 (52) Class 32.
 (54)



- (53)
 (59)
 (64)
 (57) *Nature of goods*— Beers; mineral and aerated waters and other non-alcoholic drinks; fruit drinks and fruit juices; syrups and other preparations for making beverages.
 (73) *Name of applicant*— S.M. Jaleel & Company Ltd.
 (77) *Address*— Otaheita Industrial Estate, South Oropouche, San Fernando, Trinidad & Tobago.
 (74) *C/o. Muganwa, Nanteza & Co. Advocates*, P.O. Box 8543, Kampala.
 (22) *Date of filing application*— 23rd September, 2009.

- (21) APPLICATION NO. 32732 IN PART "A".
 (52) Class 10.
 (54)



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 (57) *Nature of goods*— Surgical, medical, dental and veterinary apparatus and instruments, artificial limbs, eyes and teeth; orthopedic articles; suture materials.
 (73) *Name of applicant*— N.V. Organon.
 (77) *Address*— Kloosterstraat 6, 5349 AB, Oss, Netherlands.
 (74) *C/o. Muganwa, Nanteza & Co. Advocates*, P.O. Box 8543, Kampala.
 (22) *Date of filing application*— 11th December, 2009.

- (21) APPLICATION NO. 2010/41345 IN PART "A".
 (52) Class 43.
 (54)



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 (57) *Nature of goods*— Services for providing food and drink; temporary accommodation.
 (73) *Name of applicant*— Nando's International Holdings Limited.
 (77) *Address*— Suite 1, 17 Sir A. Bartolo Street, Ta' Xbiex, Malta.
 (74) *C/o. Sipi Law Associates*, P.O. Box 4180, Kampala.
 (22) *Date of filing application*— 13th October, 2010.

- (21) APPLICATION No. 2010/41346 IN PART "A".
 (52) Class 43.
 (54)

CHICKENLAND

- (53)
 (59)
 (64)
 (57) *Nature of goods*— Services for providing food and drink; temporary accommodation.
 (73) *Name of applicant*— Nando's International Holdings Limited.
 (77) *Address*— Suite 1, 17 Sir A. Bartolo Street, Ta' Xbiex, Malta.
 (74) C/o. Sipi Law Associates, P.O. Box 4180, Kampala.
 (22) *Date of filing application*— 13th October, 2010.

- (21) APPLICATION No. 2010/41347 IN PART "A".
 (52) Class 43.
 (54)

NANDO'S

- (53)
 (59)
 (64)
 (57) *Nature of goods*— Services for providing food and drink; temporary accommodation.
 (73) *Name of applicant*— Nando's International Holdings Limited.
 (77) *Address*— Suite 1, 17 Sir A. Bartolo Street, Ta' Xbiex, Malta.
 (74) C/o. Sipi Law Associates, P.O. Box 4180, Kampala.
 (22) *Date of filing application*— 13th October, 2010.

- (21) APPLICATION No. 2010/41349 IN PART "A".
 (52) Class 18.
 (54)



- (53)
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 (64)
 (57) *Nature of goods*— Leather and imitations of leather, and goods made of these material and not included in other classes; animal skins, hides; trunks and travelling bags; umbrellas, parasols and walking sticks; whips, harness and saddlery.
 (73) *Name of applicant*— Lotto Sport Italia S.p.A.
 (77) *Address*— Via Montebelluna, 5/7, I-31040, Treviso, Italy.
 (74) C/o. Sipi Law Associates, P.O. Box 4180, Kampala.
 (22) *Date of filing application*— 13th October, 2010.

- (21) APPLICATION No. 2010/41350 IN PART "A".
 (52) Class 25.
 (54)



- (53)
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 (64)
 (57) *Nature of goods*— Clothing, footwear, headgear.

- (73) *Name of applicant*— Lotto Sport Italia S.p.A.
 (77) *Address*— Via Montebelluna, 5/7, 31040, Treviso, Italy.
 (74) C/o. Sipi Law Associates, P.O. Box 4180, Kampala.
 (22) *Date of filing application*— 13th October, 2010.

- (21) APPLICATION No. 2010/41351 IN PART "A".
 (52) Class 28.
 (54)



- (53)
 (59)
 (64)
 (57) *Nature of goods*— Games and playthings; gymnastic and sporting articles not included in other classes; decorations for Christmas trees.
 (73) *Name of applicant*— Lotto Sport Italia S.p.A.
 (77) *Address*— Via Montebelluna, 5/7, 31040, Treviso, Italy.
 (74) C/o. Sipi Law Associates, P.O. Box 4180, Kampala.
 (22) *Date of filing application*— 13th October, 2010.

- (21) APPLICATION No. 2010/41453 IN PART "A".
 (52) Class 44.
 (54)



- (53)
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 (64)
 (57) *Nature of goods*— Medical services; veterinary services; hygienic and beauty care for human beings or animals; agriculture, horticulture and forestry services.
 (73) *Name of applicant*— The National Deaf Children's Society.
 (77) *Address*— 15 Dufferin Street London EC1Y 8UR, United Kingdom.
 (74) C/o. Sipi Law Associates, P.O. Box 4180, Kampala.
 (22) *Date of filing application*— 29th October, 2010.

- (21) APPLICATION No. 2010/41467 IN PART "A".
 (52) Class 6.
 (54)



- (53)
 (59)
 (64)
 (57) *Nature of goods*— Common metals and their alloys; metal building materials; transportable buildings of metal; materials of metal for railway tracks; non-electric cables and wires of common metal; ironmongery, small

items of metal hardware; pipes and tubes of metal; safes; goods of common metal not included in other classes; ores.

(73) *Name of applicant*— Roofings Group.

(77) *Address*— P.O. Box 7169, Kampala, Uganda.

(74)

(22) *Date of filing application*— 2nd November, 2010.

(21) APPLICATION No. 2010/41416 IN PART "A".

(52) Class 30.

(54)

SNOWMANS

(53)

(59)

(64)

(57) *Nature of goods*— Coffee, tea, cocoa, sugar, rice, tapioca, sago, artificial coffee; flour and preparations made from cereals, bread, pastry and confectionery, ices; honey, treacle; yeast, baking-powder; salt, mustard; vinegar, sauces (condiments); spices; ice.

(73) *Name of applicant*— Mahesh Patel.

(77) *Address*— P.O. Box 20006, Kampala, Uganda.

(74)

(22) *Date of filing application*— 22nd October, 2010.

(21) APPLICATION No. 2010/41417 IN PART "A".

(52) Class 30.

(54)

SMARTZ

(53)

(59)

(64)

(57) *Nature of goods*— Coffee, tea, cocoa, sugar, rice, tapioca, sago, artificial coffee; flour and preparations made from cereals, bread, pastry and confectionery, ices; honey, treacle; yeast, baking-powder; salt, mustard; vinegar, sauces (condiments); spices; ice.

(73) *Name of applicant*— Mahesh Patel.

(77) *Address*— P.O. Box 20006, Kampala, Uganda.

(74)

(22) *Date of filing application*— 22nd October, 2010.

(21) APPLICATION No. 2010/41192 IN PART "A".

(52) Class 11.

(54)



GREE

(53)

(59)

(64) *Association*— To be associated with T.M. Nos. 29378, 30652 and 40681.

(57) *Nature of goods*— Apparatus for lighting, heating, steam generating, cooking, refrigerating, drying, ventilating, water supply and sanitary purposes.

(73) *Name of applicant*— Gree Electric Appliances, Inc.

(77) *Address*— Jinji West Road, Qianshan Zhuhai, Guangdong, Peoples China.

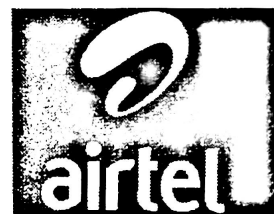
(74) C/o. Magezi, Ibale & Co. Advocates, P.O. Box 10969, Kampala.

(22) *Date of filing application*— 30th August, 2010.

(21) APPLICATION No. 2010/41469 IN PART "A".

(52) Class 38.

(54)



(53)

(59)

(64)

(57) *Nature of services*— Telecommunications.

(73) *Name of applicant*— Bharti Airtel Limited.

(77) *Address*— P.O. Box H-5/12, Qutab Ambience, Mehrauli Road, New Dheli-110030, India.

(74) C/o. Lex Uganda Advocates, Solicitors & Legal Consultants, P.O. Box 22490, Kampala.

(22) *Date of filing application*— 3rd November, 2010.

(21) APPLICATION No. 2010/41495 IN PART "A".

(52) Class 45.

(54)

Juris East Africa

(53)

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(57) *Nature of goods*— Legal services; security services for the protection of property and individuals; personal and social services rendered by others to meet the needs of individuals.

(73) *Name of applicant*— Juris East Africa.

(77) *Address*— P.O. Box 225, Kampala, Uganda.

(74)

(22) *Date of filing application*— 05th November, 2010.

(21) APPLICATION No. 2010/41494 IN PART "A".

(52) Class 45.

(54)



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(57) *Nature of goods*— Legal services; security services for the protection of property and individuals; personal and social services rendered by others to meet the needs of individuals.

(73) *Name of applicant*— Sebalu & Lule Advocates and Legal Consultants.

(77) *Address*— P.O. Box 2255, Kampala, Uganda.

(74)

(22) *Date of filing application*— 05th November, 2010.

Kampala, MERCY KYOMUGASHO K. NDYAHIKAYO.
8th November, 2010. Registrar of Trade Marks.

- (21) APPLICATION No. 2010/40367 IN PART "A".
 (52) Class 10.
 (54)

STIEFEL

- (53)
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 (64)

(57) *Nature of goods*— Surgical, medical, dental and veterinary apparatus and instruments, artificial limbs, eyes and teeth; orthopedic articles; suture materials.

(73) *Name of applicant*— Stiefel Laboratories, Inc.

(77) *Address*— Corporation Service Company, 2711 Centerville Road, Suite 400, Wilmington, Delaware 19801, U.S.A.

(74) *C/o.* Muganwa, Nanteza & Co. Advocates, P.O. Box 8543, Kampala.

(22) *Date of filing application*— 12th February, 2010.

- (21) APPLICATION No. 2010/40366 IN PART "A".
 (52) Class 5.
 (54)

STIEFEL

- (53)
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 (64)

(57) *Nature of goods*— Pharmaceutical and veterinary preparations; sanitary preparations for medical purposes; dietetic substances adapted for medical use, food for babies; plasters, materials for dressings; material for stopping teeth, dental wax; disinfectants; preparations for destroying vermin; fungicides, herbicides.

(73) *Name of applicant*— Stiefel Laboratories, Inc.

(77) *Address*— Corporation Service Company, 2711 Centerville Road, Suite 400, Wilmington, Delaware 19801, U.S.A.

(74) *C/o.* Muganwa, Nanteza & Co. Advocates, P.O. Box 8543, Kampala.

(22) *Date of filing application*— 12th February, 2010.

- (21) APPLICATION No. 2010/40365 IN PART "A".
 (52) Class 3.
 (54)

STIEFEL

- (53)
 (59)
 (64)

(57) *Nature of goods*— Bleaching preparations and other substances for laundry use; cleaning, polishing, scouring and abrasive preparations; soaps; perfumery, essential oils; cosmetics, hair lotions; dentifrices.

(73) *Name of applicant*— Stiefel Laboratories, Inc.

(77) *Address*— Corporation Service Company, 2711 Centerville Road, Suite 400, Wilmington, Delaware 19801, U.S.A.

(74) *C/o.* Muganwa, Nanteza & Co. Advocates, P.O. Box 8543, Kampala.

(22) *Date of filing application*— 12th February, 2010.

- (21) APPLICATION No. 2010/41340 IN PART "A".
 (52) Class 9.
 (54)

APP STORE

- (53)
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(57) *Nature of goods*— Scientific, nautical, surveying, photographic, cinematographic, optical, weighing, measuring, signalling, checking (supervision), life-saving and teaching apparatus and instruments; apparatus and instruments for conducting, switching, transforming, accumulating, regulating or controlling electricity; apparatus for recording, transmission or reproduction of sound or images; magnetic data carriers, recording discs; automatic vending machines and mechanisms for coin-operated apparatus; cash registers, calculating machines, data processing equipment and computers; fire-extinguishing apparatus.

(73) *Name of applicant*— Apple Inc.

(77) *Address*— 1 Infinite Loop, Cupertino CA 95014, U.S.A.

(74) *C/o.* MMAKS Advocates, P.O. Box 7166, Kampala.

(22) *Date of filing application*— 12th October, 2010.

- (21) APPLICATION No. 2010/41359 IN PART "A".
 (52) Class 37.
 (54)

Hisense

- (53)
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 (64)

(57) *Nature of goods*— Building construction; repair; installation services.

(73) *Name of applicant*— Hisence Electronics Industry Holding Co. Limited.

(77) *Address*— No. 218, Qianwangang Road, Economic & Technological Development Zone, Qingdao, Peoples China.

(74) *C/o.* MMAKS Advocates, P.O. Box 7166, Kampala.

(22) *Date of filing application*— 13th October, 2010.

- (21) APPLICATION No. 2010/41339 IN PART "A".
 (52) Class 9.
 (54)

CHNT

- (53)
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(57) *Nature of goods*— Scientific, nautical, surveying, photographic, cinematographic, optical, weighing, measuring, signalling, checking (supervision), life-saving and teaching apparatus and instruments; apparatus and instruments for conducting, switching, transforming, accumulating, regulating or controlling electricity; apparatus for recording, transmission or reproduction of sound or images; magnetic data carriers, recording discs; automatic vending machines and mechanisms for coin-operated apparatus; cash registers, calculating machines, data processing equipment and computers; fire-extinguishing apparatus.

(73) *Name of applicant*— Zhejiang Chint Electrics Co., Ltd.
 (77) *Address*— No. 1 Chint Road, Chint Industrial Zone,
 North Baixiang, Yueqing City, Zhejiang Province
 325603, Peoples China.

(74) *C/o*. MMAKS Advocates, P.O. Box 7166, Kampala.

(22) *Date of filing application*— 12th October, 2010.

(21) APPLICATION NO. 2010/41391 IN PART "A".

(52) Class 12.

(54)



(53) *Disclaimer*— Registration of this Trademark shall give
 no right to the exclusive use of the Letters 'R.S.'
 except as represented.

(59)

(64)

(57) *Nature of goods*— Vehicles; apparatus for locomotion by
 land, air or water.

(73) *Name of applicant*— Golden Boy [U] Ltd.

(77) *Address*— P.O. Box 35145, Kampala, Uganda.

(74)

(22) *Date of filing application*— 20th October, 2010.

(21) APPLICATION NO. 2010/41110 IN PART "A".

(52) Class 11.

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(57) *Nature of goods*— Apparatus for lighting, heating,
 steam generating, cooking, refrigerating, drying,
 ventilating, water supply and sanitary purposes.

(73) *Name of applicant*— Ningbo Sanjie Lights Co. Ltd.

(77) *Address*— West of Industrial Zone, Guanhaiwei Town,
 CIXI, 315315 Zhejiang, Peoples China.

(74) *C/o*. Magezi, Ibale & Co. Advocates, P.O. Box 10969,
 Kampala.

(22) *Date of filing application*— 10th August, 2010.

(21) APPLICATION NO. 2010/41099 IN PART "A".

(52) Class 12.

(54)

MRF ZLO

(53)

(59)

(64) *Association*— To be associated with T.M. Nos. 24390
 and 24391.

(57) *Nature of goods*— Vehicles; apparatus for locomotion by
 land, air or water.

(73) *Name of applicant*— MRF ZLO.

(77) *Address*— 124, Grems Road, Chennai 600006, India.

(74) *C/o*. Magezi, Ibale & Co. Advocates, P.O. Box 10969,
 Kampala.

(22) *Date of filing application*— 6th August, 2010.

Kampala,

20th October, 2010.

KATUTSI VINCENT,
 Registrar of Trade Marks.

(21) APPLICATION NO. 2010/41344 IN PART "A".

(52) Class 31.

(54)



(53) *Disclaimer*— Registration of this Trademark shall give
 no right to the exclusive use of the word 'Products'
 except as represented.

(59)

(64)

(57) *Nature of goods*— Agricultural, horticultural and forestry
 products and grains not included in other classes; live
 animals; fresh fruits and vegetables; seeds, natural
 plants and flowers; foodstuffs for animals; malt.

(73) *Name of applicant*— Tropical Crop Initiative Project Limited.

(77) *Address*— P.O. Box 40214, Kampala, Uganda.

(74)

(22) *Date of filing application*— 13th October, 2010.

Kampala,

13th October, 2010.

MAUDAH ATUZARIRWE,

Registrar of Trade Marks.

(21) APPLICATION NO. 2010/41462 IN PART "A".

(52) Class 29.

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(57) *Nature of goods*— Meat, fish, poultry and game; meat
 extracts; preserved, frozen, dried and cooked fruits
 and vegetables; jellies, jams, compotes; eggs, milk
 and milk products; edible oils and fats.

(73) *Name of applicant*— Agachick Enterprises.

(77) *Address*— P.O. Box 4530, Kampala, Uganda.

(74)

(22) *Date of filing application*— 2nd November, 2010.

Kampala,

2nd November, 2010.

BISEREKO KYOMUHENDO,

Registrar of Trade Marks.

ADVERTISEMENTS

THE REGISTRATION OF TITLES ACT.

(Cap. 230).

NOTICE.

ISSUE OF SPECIAL CERTIFICATE OF TITLE.

Kyadondo Block 97 Plot 8 Land at Busimbo Apprx. 1.54
 Hectares.

NOTICE IS HEREBY GIVEN that after the expiration of one
 month from the publication hereof, I intend to issue in the
 names of Livingstone Ziwa of P.O. Box 1941, Kampala, a
 Special Certificate, the Title, which was originally issued
 having been lost.

Kampala,

13th October, 2010. for Ag. Commissioner for Land Registration.

MUHEREZA EDWIN,

THE REGISTRATION OF TITLES ACT.

(Cap. 230).

NOTICE.

ISSUE OF SPECIAL CERTIFICATE OF TITLE.

Kyadondo Block 197 Plot 164 Land at Kitetika.

NOTICE IS HEREBY GIVEN that after the expiration of one month from the publication hereof, I intend to issue a Special Certificate of Title of the above description in the names of Zachariah Kasa Sajabi Bukenya of P.O. Box 16211, Kampala, the original having been lost.

Kampala, ROBERT V. NYOMBI,
4th November, 2010. *for Ag. Commissioner for Land Registration.*

THE REGISTRATION OF TITLES ACT.

(Cap. 230).

NOTICE.

ISSUE OF SPECIAL CERTIFICATE OF TITLE.

Kyadondo Block 265 Plot 3079 Land at Bunamwaya

NOTICE IS HEREBY GIVEN that after the expiration of one month from the publication hereof, I intend to issue a Special Certificate of Title of the above description in the names of George Martin Lutajumwa of Bunamwaya Sabagabo, Kyadondo, the original having been lost.

Kampala, MUHEREZA EDWIN,
2nd November, 2010. *for Ag. Commissioner for Land Registration.*

THE REGISTRATION OF TITLES ACT.

(Cap. 230).

NOTICE.

ISSUE OF SPECIAL CERTIFICATE OF TITLE.

Bulemezi Block 380 Plot 281 Land at Nakaseke Area 0.04 Hectares.

NOTICE IS HEREBY GIVEN that after the expiration of one month from the publication hereof, I intend to issue in the names of Juliet Nandawula, Eliazali Ssewanyana, Eliphaz Mponye, a Special Certificate of Title under the above Block and Plot, the Duplicate Certificate of Title which was originally issued having been lost.

Bukalasa, KAHABURA DENIS,
9th November, 2010. *Registrar of Titles—Bukalasa.*

THE REGISTRATION OF TITLES ACT.

(Cap. 230).

NOTICE.

ISSUE OF SPECIAL CERTIFICATE OF TITLE.

Kyadondo Block 191 Plot 41 Land at Magere Approx. 2.5 Acres.

NOTICE IS HEREBY GIVEN that after the expiration of one month from the publication hereof, I intend to issue in the names of Sebuliba Samson & Nsereko Christopher (Admn of the Estate of the Late A/C No. 61 of 2002 of the High Court of Uganda), a Special Certificate, the Title, which was originally issued having been lost.

Kampala, MUHEREZA EDWIN,
27th October, 2010. *for Ag. Commissioner for Land Registration.*

THE REGISTRATION OF TITLES ACT.

(Cap. 230).

NOTICE.

ISSUE OF SPECIAL CERTIFICATE OF TITLE.

Kyadondo Block 208 Plot 3378 Land at Kawempe Approx. 0.311 Hectares.

NOTICE IS HEREBY GIVEN that after the expiration of one month from the publication hereof, I intend to issue in the names of Zerubaberi Wasswa Wampamba Namawata P.O. Box Kamengo Mawokota, a Special Certificate, the Title, which was originally issued having been lost.

Kampala, ROBERT V. NYOMBI,
29th October, 2010. *for Ag. Commissioner for Land Registration.*

THE REGISTRATION OF TITLES ACT.

(Cap. 230).

NOTICE.

ISSUE OF SPECIAL CERTIFICATE OF TITLE.

Kyadondo Block 120 Plots 97, 134 Land at Kitagobwa.

NOTICE IS HEREBY GIVEN that after the expiration of one month from the publication hereof, I intend to issue a Special Certificate of Title of the above description in the names of George Sewamala Serwanga, the original having been lost.

Kampala, ROBERT V. NYOMBI,
2nd November, 2010. *for Ag. Commissioner for Land Registration.*

THE REGISTRATION OF TITLES ACT.

(Cap. 230).

NOTICE.

ISSUE OF SPECIAL CERTIFICATE OF TITLE.

Kyadondo Block 151 Plot 1 Land at Luunga Approx. 20.1 Acres.

NOTICE IS HEREBY GIVEN that after the expiration of one month from the publication hereof, I intend to issue in the names of Firipo Kavuma, a Special Certificate, the Title, which was originally issued having been lost.

Kampala, ROBERT V. NYOMBI,
2nd November, 2010. *for Ag. Commissioner for Land Registration.*

THE REGISTRATION OF TITLES ACT.

(Cap. 230).

NOTICE.

ISSUE OF SPECIAL CERTIFICATE OF TITLE.

Busiro Block 438 Plot 715 Land at Nkumba.

NOTICE IS HEREBY GIVEN that after the expiration of one month from the publication hereof, I intend to issue a Special Certificate of Title of the above description in the names of Emmanuel Ssemamanda Salongo of P.O. Box 3139, Kampala, the original having been lost.

Kampala, ROBERT V. NYOMBI,
26th July, 2010. *for Ag. Commissioner for Land Registration.*

THE REGISTRATION OF TITLES ACT.

(Cap. 230).

NOTICE.

ISSUE OF SPECIAL CERTIFICATE OF TITLE.

Busiro Block 396 Plot 677 Land at Bweya.

NOTICE IS HEREBY GIVEN that after the expiration of one month from the publication hereof, I intend to issue a Special Certificate of Title of the above description in the names of Nsanja Nathan P.O. Box 14244, Mengo, the original having been lost.

Kampala, **ROBERT V. NYOMBI**,
7th October 2010. *for Ag. Commissioner for Land Registration.*

THE REGISTRATION OF TITLES ACT.

(Cap. 230).

NOTICE.

ISSUE OF SPECIAL CERTIFICATE OF TITLE.

Busiro Block 545 Plot 51 Land at Suka Approx. 16.0 Acres.

NOTICE IS HEREBY GIVEN that after the expiration of one month from the publication hereof, I intend to issue in the names of Antonio Kyekulidde Musoke, Seguka Sabagabo, Busiro (Box 14168 Mengo), a Special Certificate, the Title, which was originally issued having been lost.

Kampala, **MUHEREZA EDWIN**,
3rd November, 2010. *for Ag. Commissioner for Land Registration.*

THE REGISTRATION OF TITLES ACT.

(Cap. 230).

NOTICE.

ISSUE OF SPECIAL CERTIFICATE OF TITLE.

Busiro Block 498 Plot 12 Land at Namutebi Approx. 210.50 Acres.

NOTICE IS HEREBY GIVEN that after the expiration of one month from the publication hereof, I intend to issue in the names of Ezekieri Bunjo, a Special Certificate, the Title, which was originally issued having been lost.

Kampala, **MUHEREZA EDWIN**,
18th October, 2010. *for Ag. Commissioner for Land Registration.*

THE REGISTRATION OF TITLES ACT.

(Cap. 230).

NOTICE.

ISSUE OF SPECIAL CERTIFICATE OF TITLE.

Kibuga Block 4 Plots 325, 326, 327, 328 & 348 Land at Namirembe.

NOTICE IS HEREBY GIVEN that after the expiration of one month from the publication hereof, I intend to issue a Special Certificate of Title of the above description in the names of Kampala City Council of P.O. Box 7010, Kampala, the original having been lost.

Kampala, **MUHEREZA EDWIN**,
28th October 2010. *for Ag. Commissioner for Land Registration.*

THE REGISTRATION OF TITLES ACT.

(Cap. 230).

NOTICE.

ISSUE OF SPECIAL CERTIFICATE OF TITLE.

Busiro Block 376 Plot 81 Land at Katale.

NOTICE IS HEREBY GIVEN that after the expiration of one month from the publication hereof, I intend to issue a Special Certificate of Title of the above description in the names of Okot Garimoi Mathew of P.O. Box 373, Gulu, the original having been lost.

Kampala, **ROBERT V. NYOMBI**,
5th November 2010. *for Ag. Commissioner for Land Registration.*

THE REGISTRATION OF TITLES ACT.

(Cap. 230).

NOTICE.

ISSUE OF SPECIAL CERTIFICATE OF TITLE.

Kyadondo Block 227 Plot 490 Land at Bweyogerere.

NOTICE IS HEREBY GIVEN that after the expiration of one month from the publication hereof, I intend to issue Special Certificate of Title of the above description in the names of Charles B. Ddunga Kintu of P.O. Box 6457, Kampala, the original having been lost.

Kampala, **ROBERT V. NYOMBI**,
9th November 2010. *for Ag. Commissioner for Land Registration.*

THE REGISTRATION OF TITLES ACT.

(Cap. 230).

NOTICE.

ISSUE OF SPECIAL CERTIFICATE OF TITLE.

Kyadondo Block 111 Plot 23 Land at Lubata Approx. 3.0 Acres.

NOTICE IS HEREBY GIVEN that after the expiration of one month from the publication hereof, I intend to issue in the names of Yona Segirinya, Special Certificate, the Title, which was originally issued having been lost.

Kampala, **MUHEREZA EDWIN**,
14th October, 2010. *for Ag. Commissioner for Land Registration.*

THE REGISTRATION OF TITLES ACT.

(Cap. 230).

NOTICE.

ISSUE OF SPECIAL CERTIFICATE OF TITLE.

Butambala Block 123 Plot 23 Land at Lukalu Approx. 31.10 Acres.

NOTICE IS HEREBY GIVEN that after the expiration of one month from the publication hereof, I intend to issue in the names of Semyoni Ssonga, a Special Certificate, the Title, which was originally issued having been lost.

Kampala, **ROBERT V. NYOMBI**,
26th October, 2010. *for Ag. Commissioner for Land Registration.*

THE REGISTRATION OF TITLES ACT.

(Cap. 230).

NOTICE.

ISSUE OF SPECIAL CERTIFICATE OF TITLE.

Bulemezi Block 11 Plot 11 Land at Kabembe Area 6.05 Hectares.

NOTICE IS HEREBY GIVEN that after the expiration of one month from the publication hereof, I intend to issue in the name of Eseza Nampera, a Special Certificate of Title under the above Block and Plot, the Duplicate Certificate of Title which was originally issued having been lost.

Bukalasa,
21st September, 2010.

NABUKEERA MADIINAH,
Registrar of Titles—Bukalasa.

THE REGISTRATION OF TITLES ACT.

(Cap. 230).

NOTICE.

ISSUE OF SPECIAL CERTIFICATE OF TITLE.

Leasehold Register 3718 Folio 12 Plot 53 Naboa Road, Mbale.

NOTICE IS HEREBY GIVEN that after the expiry of one month from the publication hereof, I intend to issue in the names of Henry Okori Okumu of P.O. Box 707, Mbale, a Special Certificate of Title under the above Volume and Folio, the Title which was originally issued having been lost.

Kampala,
8th November, 2010. *for Ag. Commissioner for Land Registration.*

EDWARD KARIBWENDE,

THE REGISTRATION OF TITLES ACT.

(Cap. 230).

NOTICE.

ISSUE OF SPECIAL CERTIFICATE OF TITLE.

Kyaggwe Block 133 Plot 59 Area: 2.00 Hectares at Namasinda.

NOTICE IS HEREBY GIVEN that after the expiration of one month from the publication hereof, I intend to issue in the names of Lyazzi Joseph, a special Certificate of Title under the above Block and Plot, the Certificate of Title which was originally issued having been lost.

Mukono,
10th November, 2010. *for Chief Registrar of Titles.*

CHRISTINE NAMIREMBE KATENDE,

THE REGISTRATION OF TITLES ACT.

(Cap. 230).

NOTICE.

ISSUE OF SPECIAL CERTIFICATE OF TITLE.

Plot 233 Block 2 Tororo, Land at Iki-Iki Trading Centre Tororo, Leasehold Register Volume 1688 Folio 19.

NOTICE IS HEREBY GIVEN that after the expiry of one month from the publication hereof, I intend to issue in the names of Stephen Mutaki of P.O. Box 702, Mbale, a Special Certificate of Title under the above Volume and Folio, the Title which was originally issued having been lost.

Kampala,
2nd November, 2010. *for Ag. Commissioner for Land Registration.*

EDWARD KARIBWENDE,

THE REGISTRATION OF TITLES ACT.

(Cap. 230).

NOTICE.

ISSUE OF SPECIAL CERTIFICATE OF TITLE.

Leasehold Register 660 Folio 8 Plot 22 Eden Road, Jinja-Busoga.

NOTICE IS HEREBY GIVEN that after the expiry of one month from the publication hereof, I intend to issue in the names of Printpak Uganda Limited, a Limited Liability Company of P.O. Box 20081, Kampala, a Special Certificate of Title under the above Volume and Folio, the Title which was originally issued having been lost.

Kampala,
3rd November, 2010. *for Ag. Commissioner for Land Registration.*

EDWARD KARIBWENDE,

THE REGISTRATION OF TITLES ACT.

(Cap. 230).

NOTICE.

ISSUE OF SPECIAL CERTIFICATE OF TITLE.

Plot No. 223 Kibuga Block 5 Mulago, Kyadondo Leasehold Register Volume 660 Folio 4.

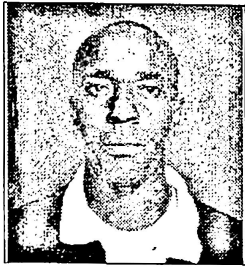
NOTICE IS HEREBY GIVEN that after the expiry of one month from the publication hereof, I intend to issue in the names of Mary Frances Mukasa of P.O. Box 262, Kampala, a Special Certificate of Title under the above Volume and Folio, the Title which was originally issued having been lost.

Kampala,
1st October, 2010. *for Ag. Commissioner for Land Registration.*

EDWARD KARIBWENDE,

DEED POLL

IN THE MATTER OF VERIFICATION OF NAMES BY
JOHN SSEMPA



KNOW YE ALL MEN BY THESE PRESENTS that:

I the undersigned JOHN SSEMPE of C/o P.O Box 21625 Kampala now lately identified by the name HAMISI SSEMPE, a Uganda, do hereby for and on behalf of myself renounce the name of HAMISI SEMPA.

AND in pursuance of such change of name as aforesaid I shall at all time hereafter in all deeds, writings and in all proceedings, dealings and transactions of a private or public nature and upon all occasions whatsoever use and sign the name in place and in substitution for my former names HAMISI SEMPA now to JOHN SSEMPE.

AND I expressly authorize and request all persons at all times hereafter to designate describe and address me by such assumed names of JOHN SSEMPE accordingly and exclusively.

IN WITNESS whereof, I have subscribed my confirmed and adopted name of JOHN SSEMPE this 20th day of May 2009.

SIGNED by the said JOHN SSEMPE.

JOHN SSEMPE.

DEED POLL



BY this deed poll I, NANTUMBWE ALICE, whose photograph appears hereabove, a Ugandan Adult Female of sound mind of C/o P.O. Box 28661, Kampala DO HEREBY renounce and forthwith cease usage of my former name "AISHA" and from the date hereof, I renounce, relinquish and accordingly adopt, assume and take on the use of the name NANTUMBWE ALICE.

That I declare that I shall at all material times hereinafter in all records, deeds and dealings, private or public or whatsoever, use the name NANTUMBWE ALICE as my name in place of my former name.

That I expressly authorize and request all persons at all times to designate and address me by such assumed and adopted name NANTUMBWE ALICE.

In witness whereof, I have hereunto subscribed to my proper and adopted name NANTUMBWE ALICE this 14th day of September 2010.

NANTUMBWE ALICE,
Renouncer.

IN THE CHIEF MAGISTRATE'S COURT
OF NAKAWA AT NAKAWA

PROBATE/ADMINISTRATION CAUSE No. 99 OF 2010

In the matter of the Estate of the Late Ibrahim Kigula,
formerly of Goma, Misindye, Mukono District
and

In the matter of an Application for grant of Letters of
Administration by Wasswa Peter Weraga (Heir/Grandson)

TO WHOM IT MAY CONCERN:

TAKE NOTICE that an application for grant of LETTERS OF ADMINISTRATION to the estate of the above mentioned deceased has been lodged in this Court by WASSWA PETER WERAGA (HEIR/EXECUTIONER) of the deceased.

This Court will proceed to grant the same if no caveat is lodged in this Honorable Court within 14 days from the date of publication of this notice, unless cause is shown to the contrary.

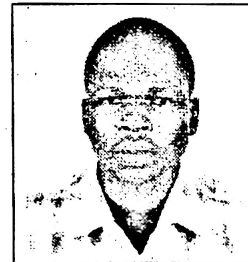
Dated at Kampala this 26th day of October, 2010.


Magistrate.

THE BIRTH AND DEATHS REGISTRATION ACT,
CAP. 309

AND

THE REGISTRATION OF DOCUMENTS ACT CAP. 81
DEED POLL



THIS CHANGE OF NAME DEED made this 06th day of August, 2010 by me the undersigned GIMARA XAVIER FRANCIS of C/o. P.O. Box 21007 Kampala now lately called GIDAGA XAVIER FRANCIS.

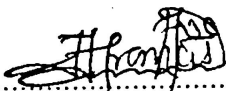
WITNESSETH AND IT IS HEREBY DECLARED:-

1. I absolutely and entirely renounce, relinquish and abandon the use of the said former name GIDAGA XAVIER FRANCIS and assume, adopt and determined to take and use the name of GIMARA XAVIER FRANCIS in substitution for my former name of GIDAGA XAVIER FRANCIS.
2. I shall at all times hereafter in all records, deed and documents and other writings and in all actions and proceedings as well as in all dealings and transactions and on all occasions whatsoever use and subscribe the said name of GIMARA XAVIER FRANCIS as my name in substitution for my former name GIDAGA XAVIER FRANCIS so relinquished as aforesaid to the intent that I may hereinafter be called, known or distinguished not by my former name of GIDAGA XAVIER FRANCIS but by the name of GIMARA XAVIER FRANCIS.

3. I authorize and require all persons at all times to designate, describe and address me by the adopted name of GIMARA XAVIER FRANCIS.

IN WITNESS whereof I have hereunto subscribed my substitute name of GIMARA XAVIER FRANCIS and also my former name of GIDAGA XAVIER FRANCIS and I have affixed my signature the day and year first above written.

SIGNED AND DELIVERED by the above named GIMARA XAVIER FRANCIS formerly GIDAGA XAVIER FRANCIS.



IN THE MATTER OF THE REGISTRATION OF
DOCUMENTS ACT, CAP. 81

AND

IN THE MATTER OF MPINDI FREDRICK GEORGE
FORMERLY NTALE ROBERT

DEED POLL




BY THIS DEED POLL which is intended to be registered with the Registrar of Documents of the Republic of Uganda, I MPINDI FREDRICK GEORGE the under signed of Nsawo Kyadondo P.O.BOX 36585, Kampala, a citizen of Uganda by birth, lately called NTALE ROBERT, do hereby for and on behalf of myself wholly and absolutely renounce, relinquish and abandon the use of my former names of NTALE ROBERT and in place thereof do assume from the date hereof the names of MPINDI FREDRICK GEORGE

AND IN PURSUANCE of the change of the names aforesaid, I hereby declare that, I shall at all times thereafter in all records, deeds and writings and in all proceedings, dealings and transactions private as well as public and upon all occasions whatsoever use and sign the names MPINDI FREDRICK GEORGE as my names in place of and in substitution for my former names of NTALE ROBERT

AND I HEREBY expressly authorize and request all persons at all times hereafter to designate and address me and my children and remoter issue by such assumed names of MPINDI FREDRICK GEORGE accordingly.

DATED AT Kampala, this 8th day of November, 2010.

SIGNED and DELIVERED at Kampala by the ABOVE named MPINDI FREDRICK GEORGE Formerly NTALE ROBERT.



Renouncer.

THE BIRTH AND DEATH REGISTRATION
ACT, CAP 309

DEED POLL



By this deed AMINAT ANNET JILLY of P.O. Box 29920, Kampala do hereby renounces and abandon the use of my former names ASELLE ANNET JILLY in lieu thereof so assume from the date hereon the names of AMINAT ANNET JILLY in pursuance of such change of names as aforesaid.

I hereby declare that I shall at all times hereafter in all records, deeds and instruments in writing and in actions and proceedings and in all dealings and transactions and UPON allocations whatsoever use and sign the said name of AMINAT ANNET JILLY as my name in lieu of the said name ASELLE ANNET JILLY so renounces as aforesaid.

And I hereby authorize and request all persons to designate and address me by such said names AMINAT ANNET JILLY only.

In witness thereof I have hereunder signed and assumed names AMINAT ANNET JILLY this 9th day of November, 2010.

Signed, Sealed and delivered by AMINAT ANNET JILLY.

THE REGISTRATION OF TITLES ACT.

(Cap. 230).

NOTICE.

ISSUE OF SPECIAL CERTIFICATE OF TITLE.

Kyaggwe Block 133 Plot 20 Area: 6.25 Hectares at Namasinda.

NOTICE IS HEREBY GIVEN that after the expiration of one month from the publication hereof, I intend to issue in the names of Norah Kiwumulo M. of P.O. Box 29154, Kampala, a special Certificate of Title under the above Block and Plot, the Certificate of Title which was originally issued having been lost.

Mukono,
1st April, 2010.

CHRISTINE NAMIREMBE KATENDE,
for Chief Registrar of Titles.

STATUTORY INSTRUMENTS SUPPLEMENT

to The Uganda Gazette No. 67 Volume CIII dated 12th November, 2010

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

2010 No. 44.

**THE FINANCIAL INSTITUTIONS (CONSOLIDATED SUPERVISION)
REGULATIONS, 2010.**

ARRANGEMENT OF REGULATIONS

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3. Purpose of Regulations
4. Application

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8. Prudential limits
9. Conduct of examinations
10. Group reconstructions

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SCHEDULE

Annual information requirements for financial institution's affiliates,
associates, holding or subsidiary companies or controlling persons

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

2010 No. 44.

The Financial Institutions (Consolidated Supervision) Regulations, 2010

(Under section 131 of the Financial Institutions Act, 2004, Act No.2 of 2004)

IN EXERCISE of the powers conferred upon the Central Bank by section 131 of the Financial Institutions Act, 2004, and in consultation with the Minister responsible for finance, these Regulations are made this 16th day of September, 2010.

PART I—PRELIMINARY

1. Title

These Regulations may be cited as the Financial Institutions (Consolidated Supervision) Regulations, 2010.

2. Interpretation

In these Regulations, unless the context otherwise requires—

“Act” means the Financial Institutions Act, 2004;

“affiliate” in respect of a financial institution means any entity, corporate or unincorporated where five per cent or more of any class of its voting shares or other voting participation is directly or indirectly owned or controlled by that financial institution or is held by it with power to vote;

“associate” means—

(a) in relation to a natural person—

- (i) where the relationship is through marriage and includes wife, husband, mother or father in law, sister or brother of the wife or husband;
- (ii) where the relationship is through consanguinity, includes father, mother, sister, brother, son, daughter, niece, nephew, grandson or granddaughter, maternal or paternal uncle or aunt or

- cousin;
 - (iii) any company of which that person is a director; or
 - (iv) any person who is an employee or partner of that person;
 - (b) in relation to a company, any company which enjoys common shareholding or common shareholders with another company directly or indirectly; and
 - (c) in relation to trusts, the trustees of any settlement in which that person is a beneficiary;
- “conglomerate group” means a group of two or more companies with significant financial and non-financial businesses including one or more financial institutions;
- “consolidated supervision” means an overall evaluation both qualitative and quantitative of a financial institution and the group to which it belongs to ensure that all risk exposures of the financial institution and its subsidiaries, or a financial institution belonging to a financial or conglomerate group, are taken into account, whether the risks arise in the financial institution itself, or in a parent, subsidiary, affiliate or associate;
- “control” means the relationship between the parent undertaking and a subsidiary undertaking or similar relations between an individual and an undertaking or the power to determine the financial and operational policy of a financial institution under its charter or to an agreement, or direct or indirect influence by a person over decision-making and the management of a financial institution;
- “financial group” means a group of two or more companies that engage predominantly in financial institution business and securities business;
- “holding company” means a company, the subsidiary undertakings of which are either exclusively or mainly other companies or financial institutions, where at least one of the subsidiaries is

a financial institution;
“parent undertaking” means an undertaking which effectively exercises a dominant influence over another undertaking.

“subsidiary company” means—

- (a) a company whose holding company is a member of the subsidiary company and controls the composition of its board of directors;
- (b) a company whose holding company holds more than half in nominal value of the equity share capital of the subsidiary company;
- (c) an undertaking over which a parent undertaking effectively exercises a dominant influence; or
- (d) a company which is a subsidiary of a subsidiary company.

3. Purpose of Regulations

The purpose of these Regulations is—

- (a) to enable the Central Bank to evaluate the entire group to which a financial institution belongs, taking into account all the risks which may affect the institution, regardless of whether the risks arise in the financial institution or parent undertaking, subsidiary company, affiliates, associates or other undertakings in which it has a relationship;
- (b) to establish reporting requirements for financial institutions and their subsidiaries and entities within financial groups and conglomerate groups in order to provide the Central Bank with a full understanding of the structure of the banking or financial group, as well as the business conducted by each entity in the group and the risk environment in which they operate;
- (c) to prevent abuses by financial institutions using group structures

- to evade prudential limits or make multiple uses of capital;
- (d) to enable the Central Bank to supervise risks that arise outside the financial institution itself such as financial risk on intra-group lending and reputational risk due to losses or other problems elsewhere in the group;
 - (e) to enable the Central Bank to supervise financial institutions that conduct part of their business through subsidiaries and affiliates that are not supervised or regulated by the Central Bank yet their activities have the potential to affect the soundness of the financial institution thus, the risk profiles of such entities have to be considered in evaluating the financial condition of the financial institution; and
 - (f) to prevent the practice of double gearing or multiple uses of capital and capital leveraging which occurs when a holding company or parent company raises funds in the form of debt and down streams the funds to a subsidiary in the form of equity, or companies within the group have cross-shareholdings.

4. Application

These regulations apply to all financial institutions licensed to carry on financial institution business in Uganda.

PART II—REGULATORY REQUIREMENTS

5. Information requirements

(1) A financial institution shall provide the information set out in Schedule to these Regulations by the 31st of December of each year for all their affiliates, holding or subsidiary companies or controlling persons and not later than 31st January of the following year.

(2) The Central Bank shall, if it deems necessary, require a financial institution to provide the information set out in the Schedule to these Regulations by 31st December of each year for the financial institution's

associates and not later than 31st January of the following financial year.

(3) The Central Bank shall, if it deems necessary require a copy of the latest annual audited financial statements of the affiliates, associates, holding or subsidiary companies or persons exercising control over the financial institution, to be submitted to the Central Bank not later than 30th June of the year following the financial year in which the audited financial statements relate.

(4) The Central Bank shall, if it deems necessary, require in writing any or all of a financial institution's affiliates, associates, holding or subsidiary companies, or controlling persons to submit an information sheet (in case of companies) and a personal declaration form (in case of natural persons) as set out in Schedules II and III, respectively, of the Financial Institutions (Licensing) Regulations, 2005.

6. Consolidated financial statements

(1) A financial institution that has a subsidiary shall submit a copy of the audited consolidated financial statements within three months from the end of the financial year.

(2) A financial institution that has subsidiaries shall in addition to its own reports submit on a consolidated basis submit to the Central Bank the following reports—

- (a) quarterly computation of capital adequacy as set out in Schedule I of the Financial Institutions (Capital Adequacy Requirements) Regulations, 2005;
- (b) quarterly report on credit concentration and large exposures as set out in Schedule I of the Financial Institutions (Limits on Credit Concentration and Large Exposures) Regulations, 2005; and
- (c) quarterly report on credit facilities extended to insiders as set out in Schedule I of the Financial Institutions (Insider Lending Limits) Regulations, 2005.

(3) The Central Bank may require a sub-consolidation of the licensed financial institution and such subsidiaries, associates and

affiliates within or outside Uganda as the Central Bank may specify.

7. Scope of consolidated supervision

(1) In addition to the annual reporting requirements specified in regulations 5 and 6 of these Regulations, the Central Bank shall determine any additional information that may be required from a financial institution and any of its affiliates, associates, holding or subsidiary companies or any person exercising control over the financial institution in order to satisfy itself that the operations and affairs of such companies or persons are not detrimental to the safety and soundness of the financial institution concerned.

(2) Notwithstanding regulations 5, 6, 7(1) and 8 of these Regulations, the focus of the Central Bank's supervision shall remain the financial institution itself and there is no intention to supervise all companies or controlling persons in a group to which the financial institution belongs.

8. Prudential limits

(1) A financial institution with subsidiaries shall—

- (a) comply with the minimum capital adequacy requirements established by the Financial Institutions (Capital Adequacy Requirements) Regulations, 2005, on a consolidated basis in addition to complying on a solo basis;
- (b) comply with limits on credit concentration established by the Financial Institutions (Limits on Credit Concentration and Large Exposures) Regulations, 2005, on a consolidated basis in addition to complying on a solo basis; and
- (c) comply with the limits on Financial Institutions (Insider-Lending Limits) Regulations, 2005, on a consolidated basis in addition to complying on a solo basis.

(2) Where a financial institution with subsidiaries is not in compliance with the consolidated prudential limits specified in this regulation, the Central Bank shall pursuant to section 27 (2) of the Act and in recognition of the risks, prescribe such higher capital adequacy requirements for that institution as may be required to ensure

compliance with the prudential limits on a consolidated basis.

9. Conduct of examinations

(1) The Central Bank may appoint, under section 81(2) of the Act, a competent person to carry out an examination of the operations and affairs of an affiliate, associate, holding or subsidiary company of a financial institution or of any person who exercises control over the financial institution in order to satisfy itself that the operations and affairs of the affiliate, associate or holding or subsidiary company are not detrimental to the safety and soundness of the financial institution concerned.

(2) Where applicable, the examination to be conducted under subregulation(1) may be done in co-ordination with the relevant authority or body which exercises supervision or regulation over such affiliates, associates, holding or subsidiary companies or controlling persons.

(3) The competent person referred to in subregulation (1) shall refer to an officer of the Central Bank or any other person appointed by the Central Bank.

(4) The competent person shall after the examination prepare and submit to the Central Bank a report which shall draw attention to any unsafe and unsound practices that are detrimental to the financial institution or to its depositors and any breach or contravention of the Act, Regulations issued under the Act, notices or other directives issued by the Central Bank.

10. Group reconstruction

In accordance with section 113 of the Act, no reconstruction of companies within a group of which a financial institution or a subsidiary of a financial institution is a member shall be effected without the prior written approval of the Central Bank.

PART III—OFFENCES, PENALTIES AND ADMINISTRATIVE SANCTIONS

11. Offences and penalties

(1) Any person who fails, refuses, omits or neglects to provide information requested under these Regulations commits an offence and is liable on conviction to a fine not exceeding two hundred and fifty currency points or imprisonment not exceeding two years or both and an additional fine not exceeding fifty currency points for each day on which

the offence continues.

(2) A substantial shareholder or director of a financial institution who—

- (a) being a natural person fails, refuses, omits or neglects to provide information requested under these Regulations or is a party to such failure, refusal, omission or neglect; or
- (b) being a company fails, refuses, omits or neglects to provide information requested under these Regulations or is a party to such failure, refusal, omission or neglect,

shall cease to be a fit and proper person and shall not remain a substantial shareholder or director in a financial institution.

12. Administrative sanctions

In addition to the penalties under regulation 11, the Central Bank may impose any or all of the following administrative sanctions with regard to a financial institution, person, shareholder, director or officer of a financial institution who fails to comply with these Regulations—

- (a) suspension of access to new credit facilities of the Central Bank;
- (b) suspension or restriction of lending and investment operations;
- (c) suspension of opening letters of credit or issuance of guarantees;
- (d) suspension of acceptance of new deposits; or
- (e) suspension or removal from office of the erring, officer or employee of the financial institution.

SCHEDULE

Regulation 5 (1) and (2)

ANNUAL INFORMATION REQUIREMENTS FOR FINANCIAL INSTITUTION'S AFFILIATES, ASSOCIATES, HOLDING OR SUBSIDIARY COMPANIES OR CONTROLLING PERSONS

Name of Financial Institution

(Date) As at, 2.....

1. A chart or series of charts which shows the relationship between the financial institution and/or among affiliates, associates, holding or subsidiary companies or controlling persons and the extent of outside shareholders' interests.
2. A chart of the group management structure which clearly indicates the way in which group senior management responsibilities (including the names and job titles) are allocated.
3. A brief outline of the nature of each of the above- mentioned company's or person's business, types of products or range of services being offered and locations of principal places of business.
4. A list of shareholders, directors and officers for each of such company or controlling person.
5. The name and contact details of the authority or body responsible for regulation and supervision of each of such company or controlling person if any.
6. The name and contact details of the external auditors for each of such company or controlling person.

Note: Details of the above listed information should be attached and cross-referenced to this page.

Reported by:.....

Signature:.....

Position:

Cross References

The Financial Institutions (Licensing) Regulations, 2005, SI No. 41 of 2005

The Financial Institutions (Capital Adequacy Requirements) Regulations, 2005, SI No. 42 of 2005

The Financial Institutions (Limits on Credit Concentration and Large Exposures) Regulations, 2005, SI No 44 of 2005

The Financial Institutions (Insider Lending Limits) Regulations, 2005, SI No. 45 of 2005

EMMANUEL TUMUSIIME-MUTEBILE,
Governor, Bank of Uganda.

STATUTORY INSTRUMENTS SUPPLEMENT

to The Uganda Gazette No. 67 Volume CIII dated 12th November, 2010

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

2010 No. 45.

**THE FINANCIAL INSTITUTIONS (EXTERNAL AUDITORS)
REGULATIONS, 2010**

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ARRANGEMENT OF REGULATIONS

Regulation

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1. Title
2. Purpose of Regulations
3. Application

PART II—REGULATORY REQUIREMENTS

4. Appointment of external auditors
5. Approval of external auditor
6. Disqualification of external auditor
7. Duties, responsibilities and rights of external auditor
8. Reporting requirements
9. Meetings between the Central Bank, the financial institution and the external auditor
10. Special audit services
11. Submission of audited annual financial statements
12. Publication and exhibition of audited financial statements

PART III—REMEDIAL MEASURES AND ADMINISTRATIVE SANCTIONS

13. Offences, penalties and remedial measures
14. Administrative sanctions

SCHEDULE

Newspaper format for publication of financial statements

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

2010 No. 45.

The Financial Institutions (External Auditors) Regulations, 2010
(Under section 131 of the Financial Institutions Act, 2004, Act No 2 of 2004)

IN EXERCISE of the powers conferred upon the Central Bank by section 131 of the Financial Institutions Act, 2004 and in consultation with the Minister responsible for finance, these Regulations are made this 16th day September, 2010.

PART I—PRELIMINARY

1. Title

These Regulations may be cited as the Financial Institutions (External Auditors) Regulations, 2010.

2. Purpose of Regulation

The purpose of these Regulations is—

- (a) to ensure that external auditors of financial institutions have acceptable standards of competence and independence;
- (b) to require external auditors of financial institutions to discharge their responsibilities effectively;
- (c) to enforce international best practices in carrying out audits of financial institutions;
- (d) to assist in promoting confidence in the financial system by ensuring that qualified auditor make reports;
- (e) to promote transparency and accuracy in reporting to enhance market discipline; and
- (f) to safeguard depositors' funds by requiring financial institutions to be subjected to an effective external audit.

3. Application

These Regulations apply to all financial institutions in Uganda and their external auditors.

PART II—REGULATORY REQUIREMENTS

4. Appointment of external auditors

(1) A financial institution shall nominate for appointment annually, from a pre-qualified list to be published by the Central Bank a firm of qualified external auditors whose duty shall be to perform an audit of the annual financial statements of the financial institution.

(2) The Central Bank shall publish a list of approved auditors by 31st of December of each year from which financial institutions shall nominate for appointment their respective external auditors.

(3) The following criteria shall be used by the Central Bank in evaluating external auditors and drawing up the list referred to in subregulation (1)—

- (a) the staff strength of the firm taking into account the number of staff, their qualifications and experience in audit;
- (b) the history and experience of the audit firm basing on the firm's date of establishment and its experience in auditing financial institutions;
- (c) the tests, procedures and audit methodology employed by the firm; and
- (d) the legal status of the firm which shall consist of proper registration of the firm and practicing certificates of partners issued by the Institute of Certified Public Accountants of Uganda.

(4) An Audit firm that wishes to be included on the list of pre-qualified external auditors shall apply in writing to the Central Bank not later than 30th September of each year.

(5) The Central Bank shall require the applicant firm to supply the necessary information to enable it to carry out the necessary evaluation.

(6) Audit firms on the pre-qualified list shall keep the Central Bank informed of any changes in partnerships, directors and audit managers and any disciplinary or legal actions taken against the firm or their staff on an ongoing basis.

5. Approval of external auditor

(1) A financial institution shall, within thirty days after the nomination for appointment of an external auditor, apply in writing to the Central Bank for the approval of the appointment.

(2) Within thirty days after receipt of an application from a financial institution on the appointment of an external auditor, the Central Bank may in writing—

- (a) approve the appointment;
- (b) approve the appointment subject to such conditions as shall be specified in the approval; or
- (c) decline to approve the appointment stating reasons, in which case a financial institution shall nominate another firm as external auditors and shall apply to the Central Bank for approval of the appointment.

(3) Where a financial institution fails to nominate or obtain approval of an external auditor within two months after the lapse of the term of its previous external auditor, or fails to fill a vacancy for an external auditor, the Central Bank may appoint a qualified firm of external auditors whose remuneration shall be paid by the financial institution.

(4) A person appointed as an external auditor by the Central Bank shall be deemed to have been appointed as an external auditor at the immediately preceding annual general meeting of the financial institution and shall be deemed to be an external auditor appointed by the financial institution and approved by the Central Bank.

(5) An audit firm shall not be approved by the Central Bank to serve as an external auditor of a financial institution for a continuous period exceeding four years.

(6) A firm of external auditors approved for appointment by the Central Bank shall, have in force before the commencement of the audit, a valid professional indemnity insurance cover for negligence in the performance of its duties.

(7) The Central Bank may for sufficient cause withdraw its approval of the appointment of an external auditor previously granted.

(8) Sufficient cause referred to under subregulation (7) relate to failure to comply with the requirements of the Financial Institutions Act, 2004, breach of duty as imposed by the Act, inability to perform to the prescribed standard or any other reason that the Central Bank may, in its discretion consider applicable.

(9) Where the Central Bank withdraws its approval under subregulation (7), the auditor concerned shall vacate office.

(10) A financial institution shall not change its external auditors except with the prior written approval of the Central Bank.

(11) An external auditor of a financial institution who decides to resign from office, or does not seek re-appointment, shall give adequate written notice of not less than twenty eight days to the financial institution and the Central Bank of his or her decision to resign from office or not seek re-appointment, and the reasons for doing so.

6. Disqualification of external auditor

A person shall not qualify to be appointed or to act as an external auditor of a financial institution where—

- (a) that person is not on the pre-qualified list published by the Central Bank;

- (b) that person, and in case of a firm, every partner in the firm is not a registered member of the Institute of Certified Public Accountants of Uganda established under the Accountants Act;
- (c) that person, either directly or indirectly has a material interest in the financial institution or its affiliates;
- (d) in the opinion of the Central Bank, circumstances exist which may impair the independence or impartiality of that person in the performance of his or her duties as an external auditor of the financial institution;
- (e) that person is an officer or servant of the financial institution;
- (f) that person is a partner, or associate of a director or substantial shareholder of the financial institution;
- (g) that person by himself or herself, together with his or her partners or employees, performs the duties of secretary or book-keeper for the financial institution; or
- (h) that firm or its partners or audit managers serve the financial institution in any other capacity other than that of external auditors or provision of professional tax services.

7. Duties, responsibilities and rights of external auditor

(1) The primary duty of an external auditor of a financial institution is to perform an audit of the financial statements of a financial institution and to give an opinion in accordance with the Financial Institutions Act, 2004, the Companies Act, and international standards on auditing as adopted in Uganda on the following—

- (a) annual balance sheet, profit and loss account and other financial statements required to be submitted by the financial institution to the Central Bank;
- (b) compliance of the financial institution with the requirements of the Financial Institutions Act, 2004; and
- (c) compliance of the financial institution with the requirements of the Companies Act.

(2) In carrying out its functions, an external auditor has the following duties to the financial institution—

- (a) to warn the board of directors of a financial institution of—
 - (i) the ability or inability of a financial institution to meet its capital requirements;
 - (ii) the ability or inability of the financial institution to meet the reserve and liquidity requirements;
 - (iii) the credit, foreign exchange and operations risks of the financial institution; and
 - (iv) any other matter which the auditor becomes aware of in the performance of his or her functions as an external auditor which may prejudice the ability of the financial institution to continue conducting business as a going concern, be detrimental to the interest of the depositors, or violate the principles of sound financial management or the maintenance of adequate internal controls and systems by the financial institution;
- (b) to obtain sufficient, relevant and reliable evidence to satisfy themselves of the various matters necessary to form their opinion;
- (c) to carefully plan, supervise and review all their work including work performed by subordinate staff;
- (d) to ascertain, evaluate and test internal controls before placing audit reliance on them;
- (e) to exercise reasonable care and skill in accordance with the current professional standards and practices and to perform the audit in accordance with international standards on auditing and such other regulations, directives, policies and guidelines as the Central Bank may issue; and

- (f) to assess, and in writing comment on, the report of the board of directors before the report is tabled at the annual general meeting;

(3) In carrying out its functions, an external auditor has the following duties to the Central Bank—

- (a) to inform the Central Bank if there are reasonable grounds to believe that—
 - (i) the financial institution is insolvent, or there is a significant risk that the financial institution will become insolvent; or
 - (ii) the financial institution has contravened a prudential standard, a requirement in the Financial Institutions Act, 2004, Regulations, notice or directive issued under the Act, or a condition imposed on its licence;
- (b) to verify all quarterly returns and other reports of the financial institution which the Central Bank may from time to time require to be verified;
- (c) to submit to the Central Bank a management letter;
- (d) upon request, to submit such information about the financial institution and its subsidiaries or affiliates if the Central Bank considers that the information will assist it in performing its functions; and
- (e) to perform any other functions as the Central Bank may by notice assign to them.

(4) The external auditor of a financial institution shall have a right of access at all times to books, accounts, computer systems, vouchers, financial records and securities of the financial institution and shall be entitled to receive from the officers and staff of the financial institution all information and explanations as he or she may require in the performance of his or her duties.

8. Reporting requirements

(1) The external auditor shall, after performing the audit, submit to the financial institution an audit report and the financial institution shall ensure that this report and the management letter are submitted to the Central Bank with the financial statements to which they relate within three months after the close of its financial year.

(2) The external auditor shall, obtain from the management of a financial institution, a letter of assurance in which they shall state that they have disclosed all financial and other related transactions both on and off balance sheet including contingent liabilities, and a copy of this letter shall be submitted to the Central Bank with the audit report.

(3) When a qualified audit report is issued to a financial institution, the auditor shall identify and quantify the matters that have led to the qualification.

(4) The Central Bank may, if dissatisfied with the standard or quality of the audit, reject the audit report and call for a fresh audit at the expense of the financial institution concerned or the external auditor or both, and may appoint an auditor for the financial institution and shall fix the remuneration to be paid to the auditor.

(5) Before annual accounts of a financial institution are finalized, dividends paid and the capital requirements in sections 26 and 27 of the Financial Institutions Act, 2004 are met, the Central Bank shall require to be satisfied by the financial institution that there is sufficiency of provisions for bad debts, existence and enforcement of a proper policy of non-accrual of interest on non-performing loans, and amortization of preliminary and similar expenses has been done.

9. Meetings between the Central Bank, the financial institution and the external auditor

(1) The Central Bank shall, at least once in every financial year, arrange meetings between the Central Bank, the financial institution and its external auditor to discuss matters relevant to the Central Bank's supervisory responsibilities which have arisen in the course of the statutory audit of that financial institution, including relevant aspects of the business of the financial institution, its accounting and internal control systems, and its annual balance sheet, profit and loss accounts, and management letter.

(2) The Central bank may, if it considers it necessary, arrange from time to time meetings with the auditors of a financial institution.

10. Special audit services

(1) The Central Bank may require an external auditor to submit such additional information in relation to the audit of a financial institution as the Central Bank may deem necessary or carry out any other special investigations or further investigations and submit a report on the matter concerned.

(2) Where an external auditor carries out an audit or investigation under subregulation (1), the financial institution shall remunerate the auditor for the additional duties.

11. Submission of audited annual financial statement

(1) A financial institution shall within a period of three months after the end of its financial year, submit to the Central Bank its audited annual financial statements approved by its board of directors, the auditors' report and the management letter.

(2) The form and contents of the audited annual financial statements required under this regulation shall be prepared in accordance with all the International Financial Reporting Standards (IFRS) and any other standards issued by the International Accounting Standards Board.

(3) Where the Central Bank is satisfied that the audited annual financial statements of a financial institution do not comply with the requirements of these Regulations, or contain information that may be misleading in any way, or are not published in the form and with the contents specified in these Regulations, the Central Bank may require the financial institution—

- (a) to amend or correct the audited annual financial statements to comply with these Regulations or any other additional requirements;
- (b) to correct the misleading information;
- (c) to re-publish the amended or corrected audited annual financial statements; or

- (d) to submit to the Central Bank any further documents or information or explanations relating to any document or information.

12. Publication and exhibition of financial statements

(1) A financial institution shall, within four months after the end of its financial year, publish its audited annual financial statements and the external auditor's report, in a newspaper circulating in the whole of Uganda in the format prescribed in the Schedule to these Regulations.

(2) A financial institution shall exhibit throughout the year in a conspicuous place in the banking hall of each of its offices and branches a copy of its audited annual financial statements and the external auditor's report.

(3) A financial institution shall exhibit on a half yearly basis, in the banking hall of each of its offices and branches a copy of its un audited financial statements stating the fact that they are not audited.

PART III—REMEDIAL MEASURES AND ADMINISTRATIVE SANCTIONS

13. Offences, penalties and remedial measures

(1) Where an external auditor fails to comply with the requirements of these Regulations, the Central Bank may remove the external auditor from the list of approved auditors.

(2) A financial institution which fails to submit the audited annual financial statements within the period prescribed in regulation 11 shall pay to the Central Bank a civil penalty of twenty currency points for each day on which the default continues.

(3) A financial institution which fails to publish the audited financial statements within the period prescribed in regulation 12 shall pay to the Central Bank a civil penalty of twenty currency points for each day on which the default continues.

(4) A person who obstructs an external auditor in the performance of his or her duties, or fails, refuses or neglects to provide an external auditor with books, accounts, computer systems, vouchers or financial records as requested by the external auditor, commits an offence and is liable on conviction to a fine not exceeding one hundred currency points or imprisonment not exceeding one year or both.

(5) An external auditor to whom a notice has been given to provide information under regulation 7(3) (d), fails, refuses or neglects to provide the information, or provides information which is false or misleading, commits an offence and is liable on conviction to a fine not exceeding two hundred and fifty currency points or imprisonment not exceeding two years or both.

14. Administrative sanctions

In addition to the remedial measures available to it in regulation 13 and the Financial Institutions Act 2004, the Central Bank may impose any or all of the following administrative sanctions with regard to a financial institution that fails to comply with these Regulations—

- (a) suspension of access to new credit facilities of the Central Bank;
- (b) suspension or restriction of lending and investment operations;
- (c) suspension of opening letters of credit or issuance of guarantees;
- (d) suspension of acceptance of new deposits; or
- (e) suspension or removal from office of the erring director, officer or employee.

SCHEDULE

Regulation 12(1)

NEWSPAPER FORMAT FOR PUBLICATION OF FINANCIAL STATEMENTS

.....
Name of Financial Institution

Date: _____

I INDEPENDENT EXTERNAL AUDITORS' REPORT

.....
Signed

II BALANCE SHEET (SHS '000)

Current Year Previous Year

Assets

Cash and balances with BOU	XXX	XXX
Balances with banking institutions	XXX	XXX
Due from parent/group companies	XXX	XXX
Marketable (trading) securities	XXX	XXX
Loans and advances (Net)	XXX	XXX
Investment securities	XXX	XXX
Interest receivable and other assets	XXX	XXX
Property and equipment	XXX	XXX
Tax recoverable	XXX	XXX
Deferred tax Asset	XXX	XXX

Total assets	<u>XXX</u>	<u>XXX</u>
<u>Liabilities and Shareholders' Equity</u>		
Customers' deposits	XXX	XXX
Balances due to banking institutions	XXX	XXX
Due to parent/group companies	XXX	XXX
Interest payable and other liabilities	XXX	XXX
Tax payable	XXX	XXX
Dividends payable	XXX	XXX
Deferred tax liability	XXX	XXX
Subordinated debt	XXX	XXX
Total liabilities	XXX	XXX
Share capital	XXX	XXX
Share premium	XXX	XXX
Retained earnings	XXX	XXX
Reserves	XXX	XXX
Total shareholders' equity	XXX	XXX
Total liabilities and shareholders' equity	<u>XXX</u>	<u>XXX</u>

IIII	INCOME STATEMENT (SHS '000)	Current Year	Previous Year
------	-----------------------------	--------------	---------------

Income

Interest on deposits and placements	XXX	XXX
Interest on loans and advances	XXX	XXX
Interest on marketable/trading securities	XXX	XXX
Interest on investment securities	XXX	XXX
Other interest income	XXX	XXX
Foreign exchange income	XXX	XXX
Fees and commissions income	XXX	XXX
Other income	XXX	XXX

Total Income	<u>XXX</u>	<u>XXX</u>
Expenditure		
Interest expense on deposits	XXX	XXX
Interest expense on borrowings	XXX	XXX
Interest expense on trading securities	XXX	XXX
Other interest expense	XXX	XXX
Provisions for bad and doubtful debts	XXX	XXX
Management fees	XXX	XXX
Operating expenses	XXX	XXX
Other expenses	XXX	XXX
Total Expenditure	XXX	XXX
Net profits before tax	XXX	XXX
Taxation	XXX	XXX
Net Profits after tax	<u>XXX</u>	<u>XXX</u>
IV OTHER DISCLOSURES (SHS '000)	Current Year	Previous Year
Contingent liabilities		
Letters of Credit	XXX	XXX
Guarantees and Performance Bonds	XXX	XXX
Other contingent liabilities	XXX	XXX
Total	<u>XXX</u>	<u>XXX</u>
Commitments		
Undrawn stand-by facilities	XXX	XXX
Undrawn credit lines	XXX	XXX
Other commitments to lend	XXX	XXX

Total	XXX	XXX
Non-Performing Loans and other Assets	XXX	XXX
Interest in Suspense	XXX	XXX
Bad debts written off	XXX	XXX
Large loan exposures	XXX	XXX
Insider loan exposures	XXX	XXX
Capital Position:		
Core Capital	XXX	XXX
Supplementary Capital	XXX	XXX
Total Qualifying Capital	XXX	XXX
Total Risk Weighted Assets (RWA)	XXX	XXX
Core Capital to RWA	XX%	XX%
Total Qualifying Capital to RWA	XX%	XX%

V MESSAGE FROM DIRECTORS (for audited annual accounts)

The above balance sheet and income statement were audited by _____ and received a _____ opinion. The financial statements were approved by the Board of Directors on _____ and discussed with the Bank of Uganda on _____.

.....
Signed (Chairman)

.....
Signed (Managing Director)

Cross References

Accountants Act, Cap. 266

Companies Act, Cap. 110

Financial Institutions Act, 2004

STATUTORY INSTRUMENTS SUPPLEMENT

to The Uganda Gazette No. 67 Volume CIII dated 12th November, 2010

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

2010 No. 46.

**THE FINANCIAL INSTITUTIONS (ANTI- MONEY LAUNDERING)
REGULATIONS, 2010**

ARRANGEMENT OF REGULATIONS

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3. Purpose of Regulations
4. Application

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

2010 No. 46.

The Financial Institutions (Anti-Money Laundering) Regulations, 2010 *(Under section 131(1) (g) of the Financial Institutions Act, 2004, Act No.2 of 2004)*

IN EXERCISE of the powers conferred upon the Central Bank by section 131 (1) (g) of the Financial Institutions Act, 2004; and in consultation with the Minister responsible for finance, these Regulations are made this 16th day of September, 2010.

PART I—PRELIMINARY

1. Title

These Regulations may be cited as the Financial Institutions (Anti-Money Laundering) Regulations, 2010.

2. Interpretation

In these Regulations, unless the context otherwise requires—

“Act” means the Financial Institutions Act, 2004;

“audit trail” means the chronological record of a transaction, loan or investment, including credit memos and related documents revealing the step-by-step history of a transaction as it flows through the financial institution, enabling an after-the -fact review to determine the time and place where errors occurred or other supervisory actions taken;

“large cash transaction” means a transaction amounting to US\$ 10,000 and above or the equivalent in other currencies;

“money laundering” covers all activities and procedures designed to change the identity of illegally obtained money so that it appears to have originated from a legitimate source;

“non-face-to-face customers” are customers who do not present themselves for personal interview when they open accounts with financial institutions such as non-resident customers;

“suspicious transaction” refers to a transaction which is inconsistent with a customer's known legitimate business or personal activities or with the normal business for that type of account, or a complex and unusual transaction or complex or unusual pattern of transaction that has no apparent or visible economic purpose;

“transaction with no apparent or visible economic purpose” includes—

- (a) a transaction that gives rise to a reasonable suspicion that it may involve the laundering of money or the proceeds of any crime and is made in circumstances of unusual or unjustified complexity;
- (b) a transaction whose form suggests that it might be intended for an illegal purpose, or the economic purpose of which is not discernible;
- (c) a customer-relationship with the financial institution that does not appear to make economic sense, such as a customer having a large number of accounts with the same bank, frequent transfers between different accounts or exaggeratedly high liquidity;
- (d) a transaction in which assets are withdrawn immediately after being deposited, unless the customer's business activities furnish plausible reason for immediate withdrawal;
- (e) a transaction that cannot be reconciled with the usual activities of the clientele of the financial institution or branch office in question, and in which the reason for the customer's choice of that particular financial institution or branch cannot be ascertained;
- (f) a transaction which, without plausible reason, results in the intensive use of what was previously a relatively inactive account, such as a customer's account which shows virtually no normal personal or business related activities but is used to receive or disburse unusually large sums which have no obvious purpose or relationship to the customer or his or her business; or

- (g) a transaction which is incompatible with the financial institution's knowledge and experience of the customer in question or with the purpose of the business relationship.

3. Purpose of Regulations

The purpose of these Regulations are—

- (a) to require financial institutions to establish and maintain specific policies and procedures to guard against the use of the financial system for the purpose of money laundering;
- (b) to enable financial institutions to recognise suspicious transactions and to provide an audit trail of transactions carried out by customers who come under investigation;
- (c) to require financial institutions to submit reports and to disclose information on suspicious transactions; and
- (d) to check the negative social, economic and political effects of money laundering and the financing of terrorism which include—
 - (i) the facilitation of continuing criminal networks by money launderers;
 - (ii) the erosion of the credibility of a financial institution that can affect the very stability of the financial markets;
 - (iii) the erosion of investor confidence in legitimate financial institutions in an economy that has weak or no anti-money laundering laws;
 - (iv) the promotion of transparency through the enactment of money laundering laws;
 - (v) the distortion of the operation of the markets transactions effected for the purpose of money laundering may increase the demand for cash, render interest and exchange rates unstable and worsen inflation in the country; and

- (vi) the global nature of money laundering and the financing of terrorism problems that affect not only security and political stability, but also potentially harm economic prosperity and the state of the international financial system.

4. Application

These Regulations apply to all financial institutions in Uganda.

PART II—REGULATORY REQUIREMENTS

5. Development of programmes against money laundering

(1) Every Financial institution in Uganda shall develop programmes against money laundering.

(2) The programmes referred to in subregulation (1) shall include—

- (a) internal controls, policies and procedures including the designation of compliance officers at management level;
- (b) “Know Your Customer” rules and procedures;
- (c) record keeping;
- (d) recognition and reporting of suspicious transactions; and
- (e) education and training of relevant employees.

6. Anonymous accounts

(1) A financial institution shall not keep anonymous accounts or accounts in fictitious names.

(2) A financial institution shall identify, on the basis of an official or other reliable identifying document and record, the identity of their customers, either occasional or usual, when establishing business relations or conducting transactions.

(3) Subregulation (2) shall apply, in particular to—

- (a) the opening of accounts or passbooks;
- (b) fiduciary transactions;
- (c) the renting of safe-deposit boxes;

- (d) the use of safe custody facilities; and
- (e) large cash transactions.

7. “Know Your Customer” rules and procedures

(1) A financial institution shall include the following essential elements in the design of “Know Your Customer” rules and procedures—

- (a) customer acceptance policies and procedures which describe the types of customers that are likely to pose a higher than average risk to the financial institution and which require more extensive due diligence for higher risk customers and other customers requiring special attention including—
 - (i) trust, nominee and fiduciary accounts;
 - (ii) corporate bodies;
 - (iii) introduced business;
 - (iv) client accounts opened by professional intermediaries;
 - (v) non-face-to-face customers; and
 - (vi) correspondent banking accounts;
- (b) customer identification requirements and procedures which lay down all information necessary to establish to the financial institution's satisfaction the identity of each new customer, the purpose and intended nature of the business relationship and ensure that customer records remain up-to-date and relevant;
- (c) on-going monitoring of accounts and transactions which is able to detect unusual or suspicious patterns of activities and those activity that do not appear to make economic or commercial sense, or those unusually large transactions that are not consistent with the normal and expected transactions of the customer; and
- (d) risk management procedures which include proper management oversight, systems and controls, segregation of duties, training and other related policies.

(2) A financial institution shall demand and record proof of the identity of its clients or customers, whether usual or occasional when establishing business relations or conducting transactions, in particular opening of accounts or issuing of passbooks, entering into fiduciary transactions, renting safe deposit boxes or performing large cash transactions.

(3) For the purposes of subregulation (2), evidence of identity shall be deemed satisfactory if—

- (a) it is reasonably capable of establishing that the applicant for business is the person he or she claims to be; and
- (b) the financial institution which obtains the evidence is satisfied, in accordance with the procedures established by the financial institution, that it does establish that fact.

(4) Minimum requirements for verification of customer identity set out in **Schedule 1** to these Regulations shall apply to business relationships entered into by a financial institution with its customers.

(5) A financial institution shall not open an account for a customer where problems of verification arise in the banking or financial relationship, which cannot be resolved.

(6) Where a financial institution has opened an account for a customer and problems of customer verification arise in the banking or financial relationship which can not be resolved, the financial institution shall close the account of the customer and return the money to the customer.

8. Disclosure of identity

(1) Where a customer or client of a financial institution opens an account or conducts a transaction on behalf of another person, the financial institution shall require the customer or client to disclose the true identity of the person on whose behalf the account is opened or the transaction is conducted.

(2) Without limiting the generality of subregulation (1), a financial institution shall ensure that registered companies, corporations, associations, partnerships, foundations, trust, attorney trusts or funds or other bodies or persons which or who do not conduct any commercial or manufacturing business or any other form of commercial operation in the country where the registered offices of those bodies or persons are located comply with these Regulations.

9. Records on customer identification

A financial institution shall, in accordance with section 46(6) and (9) of the Act, keep records on customer identification including copies or records of official identification documents like passports, identity cards, driving licences or similar documents, account files and business correspondence for a period of not less than 10 years after an account is closed to enable them comply with requests from competent authorities.

10. Maintenance of records

(1) A financial institution shall, in accordance with section 46 (6) and (9) of the Act, maintain, for a minimum period of 10 years, all necessary records to enable them to comply with information requests from competent authorities.

(2) The records referred to in subregulation (1) shall be kept in sufficient form to permit reconstruction of individual transaction, including the amounts and types of currency involved, if any, so as to provide evidence for prosecution in criminal proceedings.

11. Review of unusual transactions

A financial institution shall review and properly document the background and purpose of all complex transactions, and all unusual patterns of transactions, which have no apparent economic or visible lawful purpose.

12. Suspicious transactions

(1) A financial institution shall report promptly any knowledge or suspicion of money laundering related to a specific customer or any account held with the financial institution, to the national law enforcement agencies, and shall serve a copy to the Central Bank, using the Suspicious Transactions Report set out in **Schedule 2** to these Regulations.

(2) A financial institution shall report as suspicious the following transactions—

- (a) outward remittances without visible lawful purpose;
- (b) inward remittances without visible lawful purpose or without underlying trade transactions;
- (c) unusual purchases of foreign exchange without visible lawful purpose;
- (d) unusual purchases of foreign exchange whose sources are not satisfactorily established;
- (e) complex, unusual large transactions and all unusual patterns of transactions, which have no apparent or visible lawful purpose;
- (f) deposits and any other funds managed or held in trust, if there is reasonable ground to believe that the deposits or funds managed or held in trust are proceeds of criminal and other illegal activities; and
- (g) all other transactions which the financial institution may consider as suspicious based on reasons which should be cited in the Suspicious Transactions Report.

(3) A financial institution that has reported a suspicious transaction shall follow any instructions from or otherwise co-operate with the law enforcement agencies and the Central Bank.

(4) Acts that might constitute suspicious transactions are set out in **Schedule 3** to these Regulations.

(5) The transactions listed in schedule 3 are not intended to be exhaustive and only provide examples of the most basic ways in which money may be laundered.

(6) Identification of any of the types of transactions listed in Schedule 3 shall be a basis for initiating investigations about the source of funds.

13. Large cash transactions

A financial institution shall report, on a monthly basis, any transaction amounting to US\$ 10,000 and above or the equivalent in any other currency involving cash or “near cash” such as travellers' cheques, to the national law enforcement agencies, and serve a copy to the Central Bank by using the Large Cash Transactions Report set out in Schedule 4 to these Regulations.

14. Secrecy

A financial institution and its directors, officers and employees shall not warn their customers when information on suspicious transactions relating to them is being reported to the Central Bank and the law enforcement agencies.

15. Dealings with foreign persons

A financial institution shall exercise reasonable caution in their business transactions with persons, including companies and financial institutions from other countries.

16. Branches and subsidiaries

A financial institution shall ensure that provisions under this part are also applied to their branches and subsidiaries, especially for branches and subsidiaries, if any, in countries, which do not, or insufficiently, apply these Regulations.

17. Staff awareness and training

A financial institution shall take appropriate measures to—

- (a) make employees aware of internal controls, policies and procedures put in place to prevent money laundering including those for identification, record keeping and internal reporting; and
- (b) provide training to all staff dealing with customers or their transactions on a general appreciation of the background to money laundering and on the required reporting of any suspicious transactions.

18. Offences

(1) A financial institution or a director, an officer or employee of a financial institution that contravenes these Regulations, commits an offence and is liable on conviction to a fine not exceeding two hundred and fifty currency points or imprisonment not exceeding two years or both.

(2) In the case of a continuing contravention of these Regulations, a financial institution or a director, an officer or employee of a financial institution shall pay an additional fine not exceeding fifty currency points for each day on which the offence continues.

19. Administrative sanctions

In addition to the offence under regulation 18, the Central Bank may impose any or all of the following administrative sanctions with regard to a financial institution, person, shareholder, director or officer of a financial institution that or who fails to comply with these Regulations—

- (a) suspension of access to new credit facilities of the Central Bank;
- (b) suspension or restriction of lending and investment operations;
- (c) suspension of opening of letters of credit or issuance of guarantees;
- (d) suspension of acceptance of new deposits;
- (e) suspension or removal from office of the erring director, officer or employee of the financial institution; declaration of the relevant director(s) or of the financial institution as not fit and proper persons for purposes of the Act.

SCHEDULE 1

Regulation 7 (4)

MINIMUM REQUIREMENTS FOR VERIFICATION OF CUSTOMER IDENTITY

1. Individual applicants

- (a) A financial institution shall institute effective procedures for obtaining satisfactory evidence of the identity of applicants for accounts and other customers transacting business with the institution including obtaining information about name, permanent address, date of birth and occupation.
- (b) Positive identification should be obtained from documents issued by official or other reputable sources such as passports or identity cards, drivers licence, or a voter's roll card.
- (c) A financial institution shall check the address of the applicant by appropriate means, such as recent utility or rates bills (electricity, telephone, water, satellite T.V. bills), government or local authority bills, Bank Statement, drivers licence, Passport and by checking the voters roll maintained by the Electoral Commission.
- (d) An introduction may be obtained if the prospective customer is unable to provide a valid address document. Introductions could be acceptable from the prospective customer's employer, existing financial institutions' customer, member of the financial institutions' staff, registered accountant, lawyer/advocate, clergyman, headmaster and doctor or any other acceptable person or method of identification.

2. Corporate applicants

- (a) In the case of corporate applicants, a financial institution shall obtain satisfactory evidence of the identity and profile of the principal shareholders, directors and authorized signatories and of the nature of the business. The guiding principle is to establish that it is safe to enter into a business relationship with the company concerned.

- (b) Before a business relationship is established, a financial institution shall take measures by way of a company search or other commercial enquiries to ensure that the applicant company has not been, or is not in the process of being dissolved, struck off, wound-up or terminated. In addition, if a financial institution becomes aware of subsequent changes to the company structure or ownership, or suspicions are aroused by a change in the profile of payments through a company account, the financial institution shall initiate fresh inquiries in the changes made.
- (c) The following documents or information shall be obtained in respect of corporate applicants for business which are registered in Uganda (comparable documents, preferably certified by qualified persons such as lawyers, notaries public or accountants in the country of registration should be obtained for those applicants which are not registered in Uganda)—
 - (i) certificate of incorporation and business registration certificate;
 - (ii) memorandum and articles of association;
 - (iii) resolution of the board of directors to open an account and to confer authority on those who will operate it;
 - (iv) result of a search of the file of the company at the Companies Registry;
 - (v) evidence that the individual representing the company has the necessary authority to do so should be sought and retained;
 - (vi) satisfactory evidence of the identity of the principal or substantial shareholders, at least two directors (including the managing director) and all authorized signatories in line with the requirements for individual applicants, and of the nature of the business.
 - (vii) company headed paper;
 - (viii) Tax Identification Number (TIN); and
 - (ix) Trading Licence.

3. Clubs, Societies and Charities

- (a) In the case of accounts to be opened for clubs, societies and charities, an institution should satisfy itself as to the legitimate purpose of the organization by requesting a copy of its constitution. Satisfactory evidence should be obtained of the identity of the authorized signatories who are not already known to the institution in line with the requirements for individual applicants.
- (b) The prospective customer must be in possession of one or more of the following—
 - (i) Trust Deed (where available);
 - (ii) Certificate of Registration / Trading;
 - (iii) Constitution of the clubs, societies and charities;
 - (iv) headed paper; and
 - (v) VAT Registration Number and receipt (where applicable);

4. Unincorporated businesses

- (a) In the case of partnerships and other unincorporated businesses whose partners are not known to the financial institution, satisfactory evidence should be obtained of the identity of at least two partners and all authorized signatories in line with the requirements for individual applicants.
- (b) In cases where a formal partnership arrangement exists, a mandate from the partnership authorizing the opening of an account and conferring authority on those who will operate it should be obtained. For a prospective partnership business, the prospective customer must be in possession of a Partnership Deed.

5. Shell companies

- (a) A financial institution shall take notice of the potential for abuse by money launderers of shell companies (legal entities through which financial transactions may be conducted but which have no business substance in their own right) and should therefore be cautious in their dealings with them.
- (b) In keeping with the “Know Your Customer” principle, institutions should obtain satisfactory evidence of the identity of beneficial owners, directors and authorized signatories of shell companies.

6. Applicants acting on behalf of another person

- (a) A financial institution shall always establish, by confirmation from an applicant for business, whether the applicant is acting on behalf of another person as trustee, nominee or agent (especially where it involves a Trust, nominee and fiduciary accounts which are a popular vehicle for criminals wishing to avoid identification procedures and mask the origin of the criminal money they wish to launder).
- (b) Any application to open an account or undertake a transaction on behalf of another person without applicants identifying their trust or nominee capacity should be regarded as suspicious and may lead to enquiries as to the underlying principals and the nature of the business to be transacted.
- (c) A financial institution shall obtain satisfactory evidence of the identity of trustees, nominees and authorized signatories and of the nature of their trustee or nominee capacity and duties by, for example, obtaining a copy of the trust deed. Enquiries shall also be made of the extent to which the applicant for business is subject to any official regulation.
- (d) Particular care shall be taken in relation to trusts created in all jurisdictions.
- (e) Where the intermediary is a firm of lawyers or accountants, their professional codes of conduct may preclude the firms from divulging information to the financial institution concerning their underlying clients. It may therefore be onerous for a financial institution to establish the identity of the person(s) for whom a lawyer or accountant is acting. The financial institution shall not be precluded from making reasonable enquiries about transactions passing through client accounts that give cause for concern or from reporting those transactions if any suspicions are aroused.

7. Account opening by post

- (a) Whenever possible, applicants for opening accounts should be interviewed personally. (Any mechanism that avoids face-to-face contact between a financial institution and an applicant inevitably poses difficulties for customer identification and produces a loophole that money launderers may wish to exploit).
- (b) Care shall be taken when dealing with accounts opened by post, or from coupon applications, to ensure that the identities of the applicants are obtained as much as possible. (in case of a local applicant, account opening by post should not be permitted.)

- (c) A financial institution shall request applicants to call on one of their branches for account opening.
- (d) For overseas applicants in a country where the financial institution does not have a presence, the application should be submitted through a correspondent bank in that country or a bank which can be relied upon to undertake effective identification procedures on behalf of the financial institution.

8. Non-account holders (occasional customers)

- (a) Where transactions are undertaken by a financial institution for non-account holders of that financial institution such as requests for telegraphic transfers, or where funds are deposited into an existing account by persons whose names do not appear on the mandate of that account, care and vigilance are required.
- (b) Where the transaction involves large sums of cash, or is unusual, the applicant shall be asked to produce positive evidence of identity from the sources set out above and in the case of a foreign national, the nationality recorded. Copies of the identification documents should be kept on file.

9. Safe custody and safety deposit boxes

- (a) A financial institution shall take the necessary precautions in relation to requests to hold boxes, parcels and sealed envelopes in safe custody.
- (b) Where such facilities are made available to non-account holders, the identification procedures set out in this Schedule should be followed.

10. Correspondent banks

- (a) A financial institution shall gather sufficient information about their respondent banks to understand fully the nature of the respondent's business. Factors to consider include; information about the respondent bank's management, major business activities, where they are located and its money laundering prevention and detection efforts; the purpose of the account; the identity of any third party entities that will use the correspondent banking services and the condition of bank regulation and supervision in the respondent's country.
- (b) A financial institution shall refuse to enter into or continue a correspondent banking relationship with a bank incorporated in a jurisdiction in which it has no physical presence and which is unaffiliated with a regulated financial group (i.e., shell banks).

SCHEDULE 2

Regulation 12 (1)

SUSPICIOUS TRANSACTIONS REPORT

(Name of Financial Institution)

Name of client	Account Number	Date	Amount involved	Nature of Transaction (Deposit/Withdrawals etc)	Location	Reason for suspicion	Action taken

Reported by: _____

Signature: _____

Date: _____

Position: _____

SCHEDULE 3

Regulation 12 (4, (5) and (6)

EXAMPLES OF SUSPICIOUS TRANSACTIONS

1. Money laundering using cash transactions

- (a) Unusually large cash deposits made by an individual or company whose ostensible business activities would normally be generated by cheques and other instruments.
- (b) Substantial increases in cash deposits of any individual or business without apparent cause, especially if such deposits are subsequently transferred within a short period out of the account or to a destination not normally associated with the customer.
- (c) Customers who deposit cash by means of numerous credit slips so that the total of each deposit is not remarkable, but the total of all the credits is significant.
- (d) Company accounts whose transaction, both deposits and withdrawals, are denominated in cash rather than the forms of debit and credit normally associated with commercial operations (such as cheques, Letters of Credit, Bills of Exchange, etc.).
- (e) Customers who constantly pay-in or deposit cash to cover requests for banker's drafts, money transfers or other negotiable and readily marketable money instruments.
- (f) Customers who frequently seek to exchange large quantities of low denomination notes for those of higher denomination.
- (g) Branches that have a great deal more cash transactions than usual. (Head Office statistics should detect aberrations in cash transactions.)
- (h) Customers whose deposits contain counterfeit notes or forged instruments.
- (i) Customers transferring large sums of money to or from overseas locations with instructions for payment in cash.
- (j) Large cash deposits using night safe facilities, thereby avoiding direct contact with the financial institution.

- (k) Purchasing or selling of foreign currencies in substantial amounts by cash settlement despite the customer having an account with the financial institution.
- (l) Customers making large and frequent cash deposits but cheques drawn on the accounts are mostly to individuals and firms not normally associated with their retail business.

2. Money laundering using deposit accounts

- (a) Customers who wish to maintain a number of trustee or clients' accounts which do not appear consistent with their type of business, including transactions which involve nominee names.
- (b) Customers who have numerous accounts and pay in amounts of cash to each of them in circumstances in which the total of credits would be a large amount.
- (c) Any individual or company whose account shows virtually no normal personal deposit or business related activities, but is used to receive or disburse large sums which have no obvious purpose or relationship to the account holder and/or his business (e.g. a substantial increase in turnover on an account).
- (d) Reluctance to provide normal information when opening an account, providing minimal or fictitious information or, when applying to open an account, providing information that is difficult or expensive for the institution to verify.
- (e) Customers who appear to have accounts with several financial institutions within the same locality, especially when the institution is aware of a regular consolidation process from such accounts prior to a request for onward transmission of the funds.
- (f) Matching of payments out with credits paid in by cash on the same or previous day.
- (g) Paying in large third party cheques endorsed in favor of the customer.
- (h) Large cash withdrawals from a previously dormant/inactive account, or from an account which has just received an unexpected large credit from abroad.

- (i) Customers who together, and simultaneously, use separate tellers to conduct large cash transactions or foreign exchange transactions.
- (j) Greater use of safe deposit facilities by individuals. The use of sealed packets deposited and withdrawn.
- (k) Companies' representatives avoiding contact with the branch.
- (l) Substantial increases in deposits of cash or negotiable instruments by a professional firm or company, using client accounts or in-house company or trust accounts, especially if the deposits are promptly transferred between other client company and trust accounts.
- (m) Customers who decline to provide information that in normal circumstances would make the customer eligible for credit or for other banking or financial services that would be regarded as valuable.
- (n) Large number of individuals making payments into the same account without an adequate explanation.
- (o) Customers who maintain an unusually large number of accounts for the type of business they are purportedly conducting and/or use inordinately large number of fund transfers among these accounts.
- (p) High velocity of funds through an account, including low beginning and ending daily balances, which do not reflect the large volume of money flowing through an account.
- (q) Multiple depositors using a single deposit account.

3. Money laundering using investment related transactions

- (a) Purchasing of securities to be held by the institution in safe custody, where this does not appear appropriate given the customer's apparent standing.
- (b) Back to back deposit/loan transactions with subsidiaries of, or affiliates of, overseas financial institutions in known drug trafficking areas.

- (c) Requests by customers for investment management services (either foreign currency or securities) where the source of the funds is unclear or not consistent with the customer's apparent standing.
- (d) Larger or unusual settlements of securities transactions in cash form.
- (e) Buying and selling of a security with no discernible purpose or in circumstances that appear unusual.

4. Money laundering involving off-shore international activity

- (a) Customers introduced by an overseas branch, affiliate or other bank based in countries where production of drugs or drug trafficking may be prevalent.
- (b) Use of Letters of Credit and other methods of trade finance to move money between countries where such trade is not consistent with the customer's usual business.
- (c) Customers who make regular and large payments, including wire transactions, that cannot be clearly identified as bona fide transactions to, or receive regular and large payments from countries which are commonly associated with the production, processing or marketing of drugs.
- (d) Building up of large balances, not consistent with the known turnover of the customer's business, and subsequent transfer to account(s) held overseas.
- (e) Unexplained electronic fund transfers by customers on an in and out basis or without passing through an account.
- (f) Frequent requests for traveller's cheques, foreign currency drafts or other negotiable instruments to be issued.
- (g) Frequent paying in of traveller's cheques, foreign currency drafts particularly originating from overseas.

- (h) Numerous wire transfers received in an account where each transfer is below the large cash reporting requirement in the remitting country.
- (i) Customers sending and receiving wire transfer to/from financial haven countries, particularly if there are no apparent business reasons for such transfers or such transfers are not consistent with the customers' business or history.

5. Money laundering involving employees and agents of a financial institution

- (a) Changes in employee characteristics, such as lavish life styles.
- (b) Any dealing with an agent where the identity of the ultimate beneficiary or counterpart is undisclosed, contrary to normal procedure for the type of business concerned.

6. Money laundering by secured and unsecured lending

- (a) Request to borrow against assets held by the financial institution or a third party, where the origin of the assets is not known or the assets are inconsistent with the customer's standing.
- (b) Request by a customer for a financial institution to provide or arrange finance where the source of the customer's financial contribution is unclear, particularly where property is involved.
- (c) A customer, who is reluctant, fails, refuses to state a purpose of a loan or the source of repayment, or provides a questionable purpose and/or source.

SCHEDULE 4

Regulation 13

LARGE CASH TRANSACTIONS REPORT (STRICTLY CONFIDENTIAL)

Date due: Every end of month

(Name of Financial Institution)

(AMOUNTS IN US DOLLARS)

Name of Customer	Transaction Date	Amount*	Particulars of Transaction**

Reported by:.....**Signature:**.....**Position:**.....

Date:.....

* US\$ 10,000 and above or the equivalent in other currencies.

** Transaction shall include travellers' cheques.

EMMANUEL TUMUSIIME-MUTEBILE,
Governor, Bank of Uganda.

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

2010 No. 47.

**THE FINANCIAL INSTITUTIONS (FOREIGN EXCHANGE BUSINESS)
RULES, 2010**

ARRANGEMENT OF RULES

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1. Title and application
2. Interpretation
3. Purpose of Rules

PART II—REGULATORY REQUIREMENTS

4. Conduct of foreign exchange business
5. Compliance with capital requirements
6. Limit on foreign exchange Open Position
7. Restrictions on foreign exchange lending
8. Restrictions on foreign exchange deposits and placements with correspondent financial institutions
9. Reporting requirements

**PART III—OFFENCES, PENALTIES, REMEDIAL MEASURES
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10. Offences
11. Remedial measures and administrative sanctions
12. Suspension of foreign exchange business

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Schedule 1- Daily foreign exchange exposure monitoring return

Schedule 2- Foreign Exchange placements in Banks and Financial
Institutions Abroad.

STATUTORY INSTRUMENTS

2010 No. 74.

The Financial Institutions (Foreign Exchange Business) Rules, 2010

(Under section 40 (1) of the Financial Institutions Act, 2004, Act No 2 of 2004)

In exercise of the powers conferred on the Central Bank by section 40 (1) of the Financial Institutions Act, 2004, these Rules are made this 16th day of September, 2010.

PART I—PRELIMINARY

1. Title and application

(1) These Rules may be cited as the Financial Institutions (Foreign Exchange Business) Rules, 2010.

(2) These Rules apply to all financial institutions authorised by the Central Bank to conduct foreign exchange business.

2. Interpretation

In these Rules, unless the context otherwise requires—

“authorised financial institution” means a financial institution authorised by the Central Bank to conduct foreign exchange business;

“core capital” means permanent shareholder equity in the form of issued and fully paid-up shares plus all disclosed reserves, less goodwill or any intangible assets;

“correspondent financial institution” means a foreign bank or other financial institution outside Uganda that holds deposits or performs correspondent banking or financial services for and on behalf of a financial institution in Uganda;

“foreign currency” means a currency other than legal tender of Uganda;

“foreign currency account” means an account denominated in foreign currency maintained with an authorised financial institution;

“foreign exchange” is synonymous with foreign currency and includes—

- (a) banknotes, coins or electronic units of payment in any currency other than the currency of Uganda which are legal tender outside of Uganda;
- (b) financial instruments denominated in foreign currency; and
- (c) any right to receive such banknotes or coins in respect of any balance at a financial institution located within or outside of Uganda;

“foreign exchange business” means a facility offered, business undertaken or transactions executed with any person involving a foreign currency inclusive of any account facility, credit extension, lending, issue of guarantee, counter-guarantee, purchase or sale by means of cash, cheque, draft, transfer or any other instrument denominated in a foreign currency;

“forward transaction, forward purchase, forward buy or forward sale” means transactions executed after more than two working days from the date the transaction is contracted or agreed;

“foreign currency assets” means to all assets denominated in foreign currency;

“foreign currency deposits” means deposit liabilities of customers of a financial institution;

“foreign currency liabilities” means all liabilities denominated in foreign currency;

“inter-bank foreign exchange market” means the market in which spot, forward, futures or other foreign exchange trading mechanisms operate;

“international rating agencies” means internationally recognised rating firms such as Standard and Poors and Moody's;

“long position or long open position or overbought position of a financial institution in a foreign currency” means the holding by the financial institution of foreign currency for its own account in excess of all its contractual spot, same day value and forward transaction commitments in a foreign currency;

“mid-rate” means the mid-point of the buying and selling of exchange rates in foreign currency prevailing as at the close of business;

“net open position of a financial institution in a foreign currency” means the sum of all its assets and liabilities inclusive of all its spot, same day value and forward transactions and its off-balance sheet commitments in that foreign currency;

“off-balance sheet items” includes all items not shown on the balance sheet but which constitute credit risk and such other risks as in guarantees, acceptances, performance bonds ,letters of credit and other off-balance sheet items deemed to constitute risk as such by the Central Bank;

“same day transaction”, “same day purchase”, “same day but” or 'same day sale” means a transaction having a same day value;

“same day value” means a transaction to which it is referred is to be executed on the very day it is contracted or agreed;

“short position, short open position or oversold position of a financial institution in a foreign currency” means that the holding by the financial institution of that foreign currency for its own account is less than all its contractual spot, same day value and forward transaction commitments in that foreign currency;

“spot transaction”, “spot purchase”, “spot buy” or “spot sale” means a transaction having a spot value;

“spot value” means the transaction to which it is referred is to be executed within two working days from the date it is contracted or agreed;

“significantly under-capitalised” means a financial institution which does not hold minimum capital funds unimpaired by losses, core capital or total capital of at least fifty percent of the requirement under sections 26 and 27 of the Financial Institutions Act, 2004; and

“value date of a transaction” means the date on which it is to be executed.

3. Purpose of Rules

The purpose of these Rules is—

- (a) to minimise foreign exchange risk by preventing the taking of excessive foreign currency positions that may expose the financial institution to foreign exchange risks and potential for losses;
- (b) to enable financial institutions to play an active role in the development of foreign exchange market and instruments in the Ugandan economy;
- (c) to facilitate foreign exchange based lending while at the same time minimising credit and liquidity risks inherent in such type of lending;
- (d) to minimise risks arising from concentration of foreign exchange placements or deposits abroad;
- (e) to ensure that financial institutions have put in place adequate foreign exchange risk management systems, appropriate operational guidelines and internal controls intended to identify and control foreign exchange risks;
- (f) to limit foreign exchange exposures as a necessary and significant component of financial institutions' internal controls and overall foreign exchange risk management system;

- (g) to regulate financial institution lending in foreign currency to ensure that they are able to manage the additional foreign exchange and country risks inherent in those loans; and
- (h) to minimise risks that financial institutions are exposed to due to concentration risks inherent in excessive placements of foreign exchange with their correspondent banks.

PART II—REGULATORY REQUIREMENTS

4. Conduct of foreign exchange business

A financial institution shall not conduct foreign exchange business without authorisation from the Central Bank.

5. Compliance with capital requirements

A financial institution shall not conduct any new foreign exchange business if it is significantly undercapitalised.

6. Limit on foreign exchange open position

(1) The daily foreign exchange open position of authorised financial institutions shall lie within (+/-) 25 % of a financial institution's core capital as at the preceding quarter.

(2) The overall foreign exchange open position shall be calculated using the “shorthand” method which includes—

- (a) calculating all net position in each currency and converting the same into shillings equivalent at mid-rate;
- (b) arriving at the sum of all the net short positions;
- (c) arriving at the sum of all net long positions; and
- (d) taking the greater of the absolute value of both sums as the overall foreign exchange open position.

7. Restrictions on foreign exchange lending

The granting of loans and other credit accommodations denominated in foreign currency by a financial institution shall be subject to the following conditions-

- (a) lending in foreign currency shall have a maximum maturity of not more than one year unless the borrower has a clearly defined income stream in the currency being borrowed that matches the longer-term maturity of the loan;
- (b) lending in foreign currency shall not exceed 80% of a financial institution's total foreign currency deposits at all times; and
- (c) lending in foreign currency to a single borrower or insider shall be subject to the requirements of the Financial Institutions (Limits on Credit Concentration and Large Exposures) Regulations, 2005 and the Financial Institutions (Insider Lending Limits) Regulations, 2005 and shall be aggregated with exposures in local currency after converting the same into shillings at mid-rate in calculating compliance with the prudential limits.

8. Restrictions on foreign exchange deposits and placements with correspondent financial institutions

(1) An authorised financial institution shall not establish a new correspondent relationship with any bank or another financial institution abroad without the prior approval of the Central Bank.

(2) In granting its approval, the Central Bank shall among other things consider the credit risk rating of the correspondent financial institution by international rating agencies.

(3) An authorised financial institution may deposit or make a placement at any one time with a correspondent financial institution which has a minimum international rating of A and above up to a maximum of 50% of its total capital, except where the parent bank is rated A and above .

(4) An authorised financial institution may deposit or make a placement at any one time with its parent-bank, related bank or a correspondent financial institution that has a minimum international rating of B up to a maximum of 30% of its total capital.

(5) An authorised financial institution may deposit or make a placement at any one time with its parent-bank, a related bank or a correspondent financial institution that has an international rating of below B or is unrated up to a maximum of 20% of its total capital.

9. Reporting requirements

(1) An authorised financial institution shall submit to the Central Bank a report to monitor their compliance with the limit on foreign exchange open position titled “Daily Foreign Exchange Exposure Monitoring Return” set out in Schedule 1 to these Rules not later than 11.00 a.m. on the business day following the day to which the report pertains.

(2) An authorised financial institution shall submit to the Central Bank on a monthly basis a report to monitor their compliance with the restrictions on foreign exchange deposits and placements as set out in Schedule 2 to these Rules on the 15th day of the month to which the report pertains.

(3) An authorised financial institution shall submit to the Central Bank the following additional reports—

- (a) a daily report of its forex transactions;
- (b) a monthly report of its forex currency position; and
- (c) a schedule of its forex commitments.

PART III—OFFENCES, PENALTIES, REMEDIAL MEASURES AND ADMINISTRATIVE SANCTIONS

10. Offences

(1) A person who contravenes these Rules or any other law applicable to the conduct of foreign exchange business commits an offence and is liable on conviction to a fine not exceeding two hundred and fifty currency points or imprisonment not exceeding two years or both.

(2) An authorised financial institution that conducts any new foreign exchange business while it is significantly under-capitalised commits an offence and shall be liable to a fine not exceeding two hundred and fifty currency points for each day on which the offence continues.

(3) An authorised financial institution whose overall foreign exchange open position exceeds the limit prescribed in these Rules shall pay to the Central Bank a civil penalty of one percent of the excess net open position per day on which the contravention continues.

(4) The non-compliant by a financial institution shall, before the penalty is applied, be given 12 hours within which to correct its position and to explain to the Central Bank the reasons that led to such non-compliance.

(5) An authorised financial institution that fails to submit the returns prescribed in these Rules in a timely and accurate manner shall pay to the Central Bank a civil penalty of fifty currency points for each day on which the contravention continues.

(6) An authorised financial institution which provides false information in the returns to the Central Bank commits an offence and is liable on conviction to a fine not exceeding two hundred and fifty currency points for each day on which the return remains uncorrected.

11. Remedial measures and administrative sanctions

(1) When the Central Bank determines through an inspection that a financial institution is not in compliance with these Rules, it may impose any of its enforcement powers under section 82 of the Act.

(2) The Central Bank may impose any or all of the administrative sanctions with regards to a financial institution that is not in compliance with these Rules including—

- (a) suspension from participation in the inter-bank foreign exchange operations;

- (b) suspension from accepting foreign exchange deposits;
- (c) suspension of the privilege to issue letters of credit;
- (d) suspension of authority to grant credit facilities in foreign exchange; or
- (e) revocation of the licence to conduct foreign exchange business.

12. Suspension of foreign exchange business

The Central Bank may, in accordance with the provisions of section 43 of the Act, suspend a financial institution from conducting foreign exchange business if the financial institution is under any criminal investigation concerning its dealings in foreign exchange.

SCHEDULE 1

DAILY FOREIGN CURRENCY EXPOSURE MONITORING RETURN

Rule 9(1)

AUTHORISED DEALER

Date:

(In Thousands)	SINGLE CURRENCY EXPOSURE								Overall Exposure
	US\$	UK	YEN	EURO	TShs	KShs	Rand	Others	
I FOREIGN EXCHANGE ASSETS (+)									
(a) Currency on hand									
(b) Due from banks abroad (Nostro)									
(c) Cheques and items in transit									
(d) Loans and advances									
(e) Accrued Interest receivable									
(f) Other assets									
II FOREIGN EXCHANGE LIABILITIES (-)									
(a) Due to banks abroad									
(b) Foreign currency deposits									
(c) Loans payable									
(d) Accrued interest payable									
(e) Other liabilities									
III OFF-BALANCE SHEET									
(a) Undelivered spot purchases (+)									
(b) Undelivered spot sales (-)									
(c) Forward purchase (+)									
(d) Forward sales (-)									
(e) Options, swaps, derivatives (+)/(-)									
(f) Contingent liabilities (-) (Note 1)									
(at 20% of recorded value)									
- Letters of credit									
- Guarantees									
- Performance Bonds									
Other commitments									

Other commitments									
IV FOREIGN EXCHANGE POSITION									
(a) Net Long(+)/Short(-)									
Position in FX Currency									
(b) Exchange Rate in									
Shillings (Mid Rate)									
(c) Net Position in Shillings									
V FOREX POSITION LIMIT									
(a) Total Net Long Position (+)									
(b) Total Net Short Position (-)									
(c) OVERALL EXPOSURE									
(higher of V(a) & (b)									
(d) Exposure limit (25% of									
core capital) Core capital is									
Shs									
(e) EXCESS OVER LIMIT									

Note 1 Off-balance sheet items exclude the following guarantees issued by World Bank and other multilateral lending institutions (Please enumerate indicating amount and issuer)

Certified correct _____

Name & signature _____

Position _____

SCHEDULE 2

Rule 9(2)

FOREIGN EXCHANGE PLACEMENTS IN BANKS AND FINANCIAL INSTITUTIONS ABROAD

Deadline: Fifteenth day of the month following of reference month

Name of Bank / Financial Institution.....

For the month ending.....

NAME OF FOREIGN BANK/ FINANCIAL INSTITUTION	Rating	Rating Agency	Rating date	Amount		% of Total Capital
				Foreign Currency	Shillings Equivalent	
1						
2						
3						
4						
5						
6						
7						
8						
9						
10						
	Total Foreign Currency Deposits Placements					100%

* Use mid-rate at end of reference month

Name: _____

Signature _____

Position: _____

Date: _____

Cross References

The Financial Institutions (Limits on Credit Concentration and Large Exposures) Regulations, 2005, S I No.44 of 2005

The Financial Institutions (Insider Lending Limits) Regulations, 2005, SI No. 45 of 2005

EMMANUEL TUMUSIIME-MUTEBILE,
Governor, Bank of Uganda.

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

2010 No. 48.

**THE BANK OF UGANDA (EXPORT REFINANCE SCHEME)
INSTRUMENT, 2010**

ARRANGEMENT OF PARAGRAPHS

Paragraph

PART I—PRELIMINARY

1. Title and commencement
2. Interpretation
3. Object of Export Refinance Scheme

**PART II—ESTABLISHMENT AND OPERATION OF
EXPORT REFINANCE SCHEME**

4. Establishment of Export Refinance Scheme
5. Funds of ERS
6. Application of ERS funds
7. Eligible non-traditional exports
8. Eligible facilities
9. Eligible borrowers
10. Loan denominations and amounts
11. Application for loan
12. Loan repayment period
13. Miscellaneous
14. Validation

STATUTORY INSTRUMENTS

2010 No. 48.

The Bank of Uganda (Export Refinance Scheme) Instrument, 2010

(Under section 29 (6) and (7) of the Bank of Uganda Act, Cap. 51)

IN EXERCISE of the powers conferred upon the Bank of Uganda by section 29 (6) and (7) of the Bank of Uganda Act and with the approval of the Minister responsible for finance, this Instrument is made this 16th day of September, 2010.

PART I—PRELIMINARY

1. Title and commencement

(1) This Instrument may be cited as the Bank of Uganda (Export Refinance Scheme) Instrument, 2010.

(2) This Instrument shall be deemed to have come into force on the 14th May, 1993.

2. Interpretation

In this Instrument, unless the context otherwise requires—

“Bank” means the Bank of Uganda;

“borrower” means a person specified in a guarantee certificate or loan authorisation notice as a borrower;

“ERS” means the Export Refinance Scheme;

“non-traditional goods” means goods other than coffee, cotton, tea and tobacco in their unprocessed form with a Ugandan content of at least thirty five percent of the total export price;

“non-traditional services” means services required for the processing, preparation and delivery of non-traditional goods for export under the Export Refinance Scheme; and

“participating financial institution” means a financial institution accredited by the Bank of Uganda to participate in the Export Refinance Scheme.

3. Object of Export Refinance Scheme

The object of the Export Refinance Scheme is—

- (a) to ensure increased access to credit resources by exporters of non-traditional goods and non traditional services; and
- (b) to diversify and expand exports in order to increase Uganda's foreign exchange earning capacity.

PART II—ESTABLISHMENT AND OPEATION OF EXPORT REFINANCE SCHEME

4. Establishment of Export Refinance Scheme

(1) There is established, in the Bank of Uganda, the Export Refinance Scheme.

(2) The Export Refinance Scheme shall be managed by a department of the Bank of Uganda designated for that purpose by the Governor.

5. Funds of ERS

The funds of the ERS shall consist of—

- (a) an initial sum of one billion shillings from the Bank;
- (b) such further sums of money as the Government and the Bank may contribute in each year from time to time;
- (c) such sums as may accrue to the scheme through its operations; and;
- (d) any other sums which may be raised from any other source.

6. Application of ERS funds

The funds of the ERS shall be applied by the Bank for the following purposes—

- (a) to provide refinance facilities on a revolving basis to eligible financial institutions providing concessionary loans and advance to exporters of non-traditional exports;
- (b) to provide training to potential exporters of non-traditional exports; and
- (c) to invest in such securities, debentures, or other negotiable securities exceeding twelve months but not exceeding twenty four months as may be approved by the Bank for the purpose of raising funds for financing activities under paragraphs (a) and (b).

7. Eligible non-traditional exports

Eligible non-traditional exports for refinancing under the Scheme include—

- (a) goods other than coffee, cotton, tea and tobacco in their unprocessed form with a Ugandan content of at least thirty five percent (35%) of the total export price or such other percentage as the Bank may from time to time prescribe; and
- (b) services classified as non-traditional under guidelines issued by the Bank.

8. Eligible facilities

The following are eligible for refinance under the Scheme—

- (a) pre-shipment credit facility against an export order or contract to provide working capital requirements for procurement of commodities for exports, purchase of raw materials, payment of wages for cleaning, sorting, grading, storage charges, parking and packaging expenses, transport and export related costs including freight, insurance and other charges that enable exporters to fulfill their export orders or contracts;
- (b) post-shipment credit facility against shipment documents, export bills; letters of credit to replenish the exporters working capital needs during the period between shipment and realisation of export proceeds; and

- (c) medium-term loans to exporters for investment in infrastructure improvements such as cold storage, grain storage, silos cleaning, drying or grading facilities which are needed to directly facilitate exports.

9. Eligible borrowers

(1) An exporter of non-traditional goods and non-traditional services who has secured an export order or contract for Uganda's exports is eligible for borrowing under the Scheme if the Bank is satisfied that the borrower—

- (a) is a bonafide licensed exporter or trader dealing in export commodities, and has suitable facilities and the capacity to undertake the business for which he or she is borrowing;
- (b) is creditworthy and is not a defaulter of any financial institution or tax authority; and
- (c) has a valid export or trading licence.

(2) A financial institution licensed to do financial institution business in Uganda is eligible to participate in the ERS.

10. Loan denomination and amounts

(1) Loans to exporters may be granted in local or foreign currency or both depending on the purpose of the loan and loan amounts shall depend on the cost of the project and genuine credit needs of an exporter.

(2) The amounts referred to in subparagraph (1) shall be as follows—

- (a) loan amounts for pre-shipment and post shipment shall not exceed—
 - (i) eighty percent of the local export costs;
 - (ii) one hundred percent of the foreign currency cost of exports; or

- (iii) eighty percent of the free on board (f.o.b) value of planned exports.
- (b) medium-term loan amounts shall not exceed—
 - (i) seventy five percent of the local cost of the project; and
 - (ii) one hundred percent of the foreign currency cost of the project.

(2) A loan facility may be granted to a participating financial institution to the extent of one hundred percent of the loan amount (both local and foreign currency) to the exporter provided that in all instances, credit facilities supported under another scheme or fund operated by the Bank of Uganda do not qualify for export refinance under the scheme.

11. Application for loan

(1) An application for a refinance loan shall be in the form prescribed by the Bank and shall be submitted to the head of the department of the Bank designated for that purpose.

(2) A participating financial institution shall scrutinise all loan applications, maintain a well documented credit appraisal system and must be fully satisfied as to the technical feasibility, financial and economic viability of the purpose of the project and certify to the Bank of Uganda to this effect.

(3) The Bank may reject or modify any loan application for refinance approved by a participating financial institution.

(4) A loan amount shall not be disbursed by a participating financial institution to the ultimate borrower before a formal written approval of refinance by the Bank.

(5) A request for refinance approval by a participating financial institution shall be made in the manner prescribed by guidelines issued by the Bank.

12. Loan repayment period

(1) The determination of the repayment period of a loan by the borrower to the participating financial institution should be based on the purpose of the loan, type of loan facility, terms of letters of credit or export bills payment, or any other contract arrangements between the borrower and his or her overseas buyer but in any case, the repayment period shall not exceed 180 days.

(2) The repayment of the refinance—

- (a) may be effected either in a lump-sum or in installments depending on the type of loan and realisation of the export proceeds;
- (b) shall be synchronized with the payment of the loan amount by the borrower to the financial institution; and
- (c) shall be made to the Bank within seven days after receipt of the payment from the borrower and on failure to do so, the financial institution shall pay a one percent per annum penalty charge on the amount due over and above the refinance rate.

(3) A loan repayment period shall not exceed 180 days for pre-shipment and post-shipment credit facilities or 5 years for medium term loans, including a one-year grace period.

(4) Pre-shipment advances shall be repaid within 10 days after the date of shipment of goods by way of adjustment from post-shipment credit obtained against export bills or letters of credit.

(5) Post-shipment advances shall be adjusted by the lending institution out of payment received from the importers of exports.

13. Miscellaneous

(1) If at any time the amount due and owing from a financial institution on refinance facilities not being an amount authorised by the Bank exceeds ten percent of the amount for the time being outstanding on the facilities, the institution shall be adjudged delinquent and shall be suspended from participating in the scheme until it pays the amount due.

(2) A borrower shall be considered to have defaulted if payment of the principal or interest is not made within sixty days after notice of demand for payment has been served on the borrower and the financial institution shall notify the Bank of such default and the steps being taken to recover the amount in default.

(3) The Bank reserves the right to modify, cancel or replace the Scheme, provided that the cancellation, modification or replacement shall not affect any rights or obligations accruing or arising out of the Scheme.

14. Validation

A credit facility issued by a participating financial institution in favour of a borrower before the commencement of this Instrument shall be deemed to have been issued and guaranteed under this Instrument.

EMMANUEL TUMUSIIME-MUTEBILE,
Governor, Bank of Uganda.

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

2010 No. 49.

**THE BANK OF UGANDA (EXPORT CREDIT GUARANTEE SCHEME)
INSTRUMENT, 2010**

ARRANGEMENT OF PARAGRAPHS

Paragraph

PART I—PRELIMINARY

1. Title and commencement
2. Interpretation
3. Purpose of Export Credit Guarantee Scheme

**PART II—ESTABLISHMENT AND OPERATION OF
EXPORT CREDIT GUARANTEE SCHEME**

4. Establishment of Export Credit Guarantee Scheme
5. Funds of the ECGS
6. Application of ECGS funds
7. Eligibility of exporters and participating financial institutions
8. Terms and conditions of ECGS Credit
9. Application for collateral support and guarantee under ECGS
10. Liability for guarantee cover under ECGS
11. Loan Repayment
12. Claims
13. Powers of the Bank
14. Validation

STATUTORY INSTRUMENTS

2010 No. 49.

The Bank of Uganda (Export Credit Guarantee Scheme) Instrument, 2010

(Under section 29 (6) and (7) of the Bank of Uganda Act, Cap. 51)

IN EXERCISE of the powers conferred upon the Bank of Uganda by section 29 (6) and (7) of the Bank of Uganda Act and with the approval of the Minister responsible for finance, this Instrument is made this 16th day of September, 2010.

PART I—PRELIMINARY

1. Title and commencement

(1) This Instrument may be cited as the Bank of Uganda (Export Credit Guarantee Scheme) Instrument, 2010.

(2) This Instrument shall be deemed to have come into force on 14th May 1993.

2. Interpretation

In this Instrument, unless the context otherwise requires—

“Bank” means the Bank of Uganda;

“borrower” means a person specified in a guarantee certificate or loan authorisation notice as a borrower to whom a participating financial institution may avail credit facilities;

“claim” means a written demand on the Bank of Uganda by a participating financial institution for payment under the guarantee in accordance with the terms of the agreement between the Bank of Uganda and a participating financial institution;

“collateral” means property and interest in property that a participating financial institution has been granted as security or interest with respect to the repayment of loan;

“credit facility” means a loan facility established by a participating financial institution in favor of a borrower guaranteed by Bank of Uganda and extended for a property providing a pre-export or multiple loans in support of a specific export transaction or multiple transactions;

“ECGS” means the Export Credit Guarantee Scheme;

“non traditional goods” means goods other than coffee, cotton, tea and tobacco in their unprocessed form with a Ugandan content of at least thirty five percent of the total export price;

“non traditional services” means services required for the processing, preparation and delivery of non-traditional goods for export under the Export Credit Guarantee Scheme;

“participating financial institution” means a financial institution accredited by the Bank of Uganda to participate in the Export Credit Guarantee Scheme.

3. Object of ECGS

The object of the ECGS is—

- (a) to stimulate the export of non-traditional goods and non-traditional services by ensuring that credit facilities are made available to exporters; and
- (b) to ensure increased access to reasonably priced export finance to exporters of non-traditional goods and non-traditional services.

PART II—ESTABLISHMENT AND OPERATION OF EXPORT CREDIT GUARANTEE Scheme

4. Establishment of Export Credit Guarantee Scheme

(1) There is established, in the Bank of Uganda, the Export Credit Guarantee Scheme.

(2) The ECGS shall be managed by a department of the Bank designated for that purpose by the Governor.

5. Funds of ECGS

The funds of the ECGS shall consist of—

- (a) an initial sum of one billion and forty six million shillings from the Government of Uganda and one billion shillings from the Bank;
- (b) such further sums of money as the Government and the Bank may contribute from time to time; and
- (c) any other sums which may be raised by the Bank from any other source.

6. Application of ECGS funds

The funds of the ECGS shall be applied by the Bank for the following purposes—

- (a) to provide collateral support by way of partial guarantee for pre-export loans or advances provided by participating financial institutions to exporters of non-traditional goods and non traditional services to enable them finance the cost and expenses associated with the pre-shipment of their export sales;
- (b) to cover credit risks associated with lending to the non-traditional export sector;
- (c) to provide training to potential exporters of non-traditional exports; and
- (d) to invest in such securities, debentures, or other negotiable securities exceeding twelve months but not exceeding twenty-four months as may be approved by the Bank for the purpose of raising funds for financing activities in paragraphs (a), (b) and (c).

7. Eligibility of exporters and participating financial institutions

(1) An exporter of non-traditional goods and non-traditional services is eligible to benefit from the ECGS where the exporter—

- (a) is a partnership, corporation or company with private ownership of at least fifty percent of the shares;
- (b) has conducted the business of exporting non-traditional goods and non traditional services from Uganda for a period of at least one year;
- (c) has at least fifteen percent of the total costs and expenses required to fund the pre-shipment of the exports; and
- (d) satisfies any other criteria as may be prescribed by the Bank.

(2) A bank or credit institution licensed to do financial institution business in Uganda is eligible to participate in the ECGS.

8. Terms and conditions of ECGS

(1) A loan or advance granted by a participating financial institution to a borrower for purposes of financing the pre-shipment costs of export sales, shall, to the extent determined by the Bank, be secured by a guarantee issued under the ECGS.

(2) A guarantee cover provided under subparagraph (1) shall not be used to support—

- (a) credit facilities already secured or supported under any other scheme operated by the Bank;
- (b) credit facilities granted to a borrower in respect of whom a previous claim settled by the ECGS has not been recovered;
- (c) credit facilities to a single borrower which in the aggregate exceed one billion shillings or such other sum as may be prescribed by the Bank by notice;

- (d) an export performance guarantee which indemnifies a participating financial institution against any loss owing to non-performance of contractual obligations undertaken by the exporter;
- (e) fluctuations in foreign currency occurring after the issue of the guarantee; or
- (f) specific policies or comprehensive policies issued to exporters to protect them against trading risks with foreign buyers on credit terms and political risks resulting in non-payment.

9. Application for collateral support and guarantee under ECGS

Application for collateral support and guarantee cover under ECGS shall be in the form prescribed in guidelines issued by the Bank.

10. Liability for guarantee cover under ECGS

(1) The liability of the ECGS for a credit facility granted under this Instrument by a participating financial institution is limited to the extent of seventy five percent of the net loss or the amount in default or such amount as may be prescribed by guidelines issued by the Bank.

(2) The participating financial institution shall bear as its risk, the twenty five percent balance of the loss.

(3) The ECGS shall, to the extent of the amount paid by it on account of a credit facility to a borrower guaranteed by the Scheme, have a right of subrogation on any rights, claims, securities or title to any documents, debt or action that the participating financial institution might have taken in respect of the guaranteed facility.

(4) Any amount which may be recovered by a participating financial institution after a claim has been paid, shall, after deducting the expenses incurred, if any, for recovering the amount, be shared between the ECGS and the participating financial institution in the ratio of 75:25% until their respective dues are paid in full or in accordance with the ratio that may be determined from time to time by the Bank.

(5) The amount referred to in subparagraph (4) shall be paid to the Bank within fifteen days after the date on which it was first recovered and interest of nineteen percent shall be payable on any amount outstanding after the expiry of the 15 day period.

(6) The participating financial institution shall, in respect of any guaranteed amount continue to exercise the same diligence in recovering dues in all ways available to it as it may have exercised if no guarantee had been provided under the ECGS.

11. Loan repayment

The maximum repayment term for a loan supported under the ECGS shall not exceed one hundred and eighty days.

12. Claims

(1) If at any time, the amount due and owing to any participating financial institution, supported under the ECGS, not being an amount condoned by the Bank, exceeds ten percent of the total amount for the time being outstanding on the facilities, the institution shall be adjudged delinquent and shall be suspended from participating in the Scheme until it pays the amount due.

(2) A borrower whose loan is supported under the ECGS shall be considered to have defaulted if payment of the principal or interest is not made within sixty days after notice of demand for payment has been served on the borrower.

(3) A participating financial institution shall notify the Bank of a default in payment as soon as possible, giving reasons for the default and the steps being taken to recover the amount in default.

(4) A participating financial institution is responsible for follow up with the borrower.

(5) Proceeds of all security will be shared pro-rata between the Bank and the participating financial institution.

13. Powers of the Bank

The Bank may modify, wind-up or replace the ECGS, except that the winding-up, modification or replacement of the scheme shall not affect any rights or obligations accruing or arising out of the ECGS.

14. Validation

A credit facility issued by a participating financial institution in favour of a borrower before the commencement of this Instrument shall be deemed to have been issued and guaranteed under this Instrument.

EMMANUEL TUMUSIIME-MUTEBILE,
Governor, Bank of Uganda.

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

2010 No. 50.

**THE UNIVERSITIES AND OTHER TERTIARY INSTITUTIONS
(AWARDING OF HONORARY DEGREES AND ACADEMIC TITLES)
REGULATIONS, 2010**

ARRANGEMENT OF REGULATIONS

Regulation

1. Title
2. Interpretation
3. Honorary Degrees
4. Academic Titles
5. Prohibition

SCHEDULE

STATUTORY INSTRUMENTS

2010 No. 50.

The Universities and Other Tertiary Institutions (Awarding of Honorary Degrees (*Honoris Causa*) and Academic Titles) Regulations, 2010

(Under Section 119, 123 (e) and 128 of The Universities and Other Tertiary Institutions Act, 2001)

IN EXERCISE of the powers conferred upon the National Council for Higher Education under sections 119, 123 (e) and 128 of The Universities and Other Tertiary Institutions Act, 2001, these regulations are made on this 3rd day of November, 2010.

1. Title

These Regulations may be cited as the Universities and Other Tertiary Institutions (Awarding of Honorary Degrees (*Honoris Causa*) and Academic Titles) Regulations, 2010

2. Interpretation

“Institution” means a university or other tertiary or degree awarding body for higher learning be it public or private;

“National Council” means the National Council for Higher Education established by section 4 of the Act;

“Council” means the Council of the awarding Institution;

“Committee” means the Honorary Awards Committee set up by the awarding Institution;

“Senate” means University Senate.

3. Honorary Degrees

- (a) A Chartered University or Chartered Other Degree Awarding Institution or Public University shall have the power to grant honorary degrees (*Honoris Causa*).

- (b) A University or Degree Awarding Institution holding a Provisional Licence shall however not have the power to grant an honorary degree.
- (c) An honorary degree (*Honoris Causa*) shall be awarded by an Institution to a distinguished member of society who—
 - (i) Has made an advancement in any branch of learning and/or
 - (ii) Has rendered himself or herself worthy of such honour by his or her contribution to society.
- (d) The awarding institution, in awarding an honorary degree, shall waive the usual requirements such as—
 - (i) Attending classes;
 - (ii) Writing papers;
 - (iii) Doing experiments and
 - (iv) Writing examinations.
- (e) The honorary degrees that can be granted by an institution in Uganda are—
 - (i) Doctor of Laws (LLD) for public service by eminent statesmen/women, administrators, lawyers, business people, farmers and other outstanding people in society;
 - (ii) Doctor of Letters (DLitt.) for outstanding service in the humanities;
 - (iii) Doctor of Sciences (DSc.) for outstanding contribution in the field of science.
- (f) In the awarding of an honorary degree (*honoris causa*), an Institution shall follow the rules in Schedule 1 of these regulations.

- (g) A sitting or active member of Council or Senate or an academic member of staff of the awarding Chartered University or Chartered Other Degree Awarding Institution or Public University shall not receive an honorary degree from his or her own University to avoid conflict of interest.

4. Academic Titles

- (a) Academic titles can only be awarded by an Institution to people in the academic profession who are either teaching, doing research, producing knowledge or facilitating in the production of knowledge in an academic institution.

- (b) Academic titles shall be earned as shown in the table below.

Academic Post	Research Post	Library Post	Qualifications
Teaching Assistant Tutorial Assistant	Research Assistant	Library Assistant	First degree with a First Class, Upper Second grade and or, Lower Second grade (in special circumstances)
Assistant Lecturer	Assistant Research Fellow	Assistant Librarian	Masters degree
Lecturer	Research Fellow	Librarian	Masters degree and should be on track for a PhD degree Original contribution to knowledge through research and publications A good record of community and academic service
Senior Lecturer	Senior Research Fellow	Senior Librarian	PhD degree Original contribution through research and publications
Associate Professor	Associate Research Fellow	Deputy Librarian	PhD degree Should have teaching experience of at least seven years Should have published at least one internationally recognised book by a reputable publishing house Published at least two good articles A good record of community and academic service

Professor	Research Professor	Chief Librarian	PhD Has a meritorious teaching experience of seven to fifteen years Has published at least two internationally recognised books with a reputable publishing house Published at least ten good articles Possesses a good record of community service.
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5. Prohibition

Where a person receives an honorary degree from his or her own University/institution, the honorary degree shall be declared invalid by the National Council.

SCHEDULE 1

HONORARY DEGREES AWARDS COMMITTEE

1. An Honorary Degrees Awards Committee shall be set up by the awarding Institution comprising the Chairperson of the Senate, the Deputy Vice Chancellor Academic Affairs (AA) or Academic Registrar (AR), three members elected by the Senate and three members of the Council elected by the Council.

2. The Chairperson of the Senate shall be the Chairperson of the Committee and in his or her absence shall be deputised by the Deputy Vice Chancellor.

3. In the absence of both the Chairperson of the Senate and the Deputy Vice Chancellor, the Committee shall appoint a Chairperson from the other Committee members.

4. The Academic Registrar (AR) shall be the Secretary to the Committee.

PROCEDURE FOR THE AWARD

1. A proposal to grant an honorary degree shall be made by a member of Council or Senate of an Institution and shall be communicated in writing to the Vice Chancellor.

2. A proposal shall be supported by a statement setting forth the award recommended and the detailed grounds on which the recommendation is based.

3. No proposal shall be considered without a supporting written statement on the grounds for the proposed award.

4. There shall be no consultation or communication between a Senate member of the awarding institution and the potential candidate to be awarded except where deemed extremely necessary by—

(a) The Vice Chancellor or

(b) The Deputy Vice Chancellor AA in the absence of the Vice Chancellor.

5. The Vice Chancellor shall refer such proposals to the Honorary Awards Committee for recommendation.

6. The Recommendation of the Honorary Awards Committee shall be subject to a vote by the Senate.

7. The Senate shall through a secret ballot, vote on the Committee's recommendation.

8. The outcome of the vote shall be announced at a meeting of Senate.

9. The award of honorary degrees or academic titles shall be made “in presentia” except in very exceptional circumstances when a special resolution of Senate, shall allow the award in “absentia” or posthumously.

10. If a Recommendation of the Honorary Awards Committee is rejected by Senate, such a person nominated shall not be considered again until a period of five years has elapsed.

PHENNY BIRUNGI,
*Assistant Executive Director,
National Council for Higher Education.*