G. GENERAL

1) If you are filing your claim in connection with information that you provided to the Authority, then your form and any attachments thereto must be received by the Authority within ninety (90) days of the date of the Enforcement Action to which the claim relates.
2) You must submit your Form to us in one of the following two ways:
   a) By Email sent to: ceoffice@cma.or.ke
   b) By mailing or delivering the signed form to the Capital Markets Authority Office, Embankment Plaza, 3rd Floor, Upper Hill -Nairobi, P.O. Box 74800-00200, Nairobi.

FOR OFFICIAL USE

Received by:........................Date:................. Verified by:.............Date: ...................
Signature:.............................. Signature: .........................


UKUR YATANI,
Cabinet Secretary for the National Treasury and Planning.

LEGAL NOTICE NO. 66

THE CAPITAL MARKETS ACT
(Cap. 485A)

IN EXERCISE of the powers conferred by section 12 of the Capital Markets Act, the Cabinet Secretary to the National Treasury and Planning makes the following Regulations—

THE CAPITAL MARKETS (CONDUCT OF BUSINESS) (MARKET INTERMEDIARIES) (AMENDMENT) REGULATIONS, 2022

1. These Regulations may be cited as the Capital Markets (Conduct of Business) (Market Intermediaries) (Amendment) Regulations, 2022.

2. Regulation 42 of the Capital Markets (Conduct of Business) (Market Intermediaries) Regulations, 2011, is amended in paragraph (4) by adding the following proviso—

Provided that a market intermediary which is a subsidiary, or an associated company of a listed company may be exempted from this requirement for purposes of aligning the term of an auditor in the entire group of companies.

Made on the 4th April, 2022.

UKUR YATANI,
Cabinet Secretary for the National Treasury and Planning.