

## CHECKLIST

### SECTION A: APPLICATION DOCUMENTS

S/N	Required Document	Yes/No	Comments
1	Completed Application Form (Schedule A)		
2	Certificate of Incorporation / Registration (Certified)		
3	Memorandum & Articles / Partnership Deed (Certified)		
4	Beneficial Ownership Form		
5	Certified List of Directors & Shareholders		
6	National IDs (Ugandan Directors)		
7	Notarized Passport + Certificate of Good Conduct (Foreign Directors)		
8	Passport Photos		
9	CVs & Academic Documents (Directors, Partners & Key Personnel)		
10	Business Plan (Not more than 15 pages)		

### SECTION B: ELIGIBILITY & INNOVATION CRITERIA

S/N	Assessment Area	Yes/No	Comments
1	Innovation within Sandbox scope (securities-related)		
2	Product/service is new, emerging, or technologically innovative		
3	Demonstrates clear market, investor, or industry benefit		

### SECTION C: INVESTOR PROTECTION & RISK MEASURES

S/N	Requirement	Yes/No	Comments
1	Internal controls to ensure only informed investors are onboarded		
2	Dispute resolution mechanism provided		

S/N	Requirement	Yes/No	Comments
3	Compensation plan for investor losses		
4	Risks identified and mitigation measures adequate		

#### SECTION D: TESTING READINESS

S/N	Requirement	Yes/No	Comments
1	Clear test scenarios & expected outcomes		
2	Test plan with timelines & milestones ( <b>Not more than 10 pages</b> )		
3	Testing methodology & controls defined		
4	Reporting framework defined		
5	Boundary conditions defined (client limits, value caps, transaction limits)		

#### SECTION E: CAPACITY & GOVERNANCE

S/N	Requirement	Yes/No	Comments
1	Fit & Proper management and governance		
2	Adequate human and financial resources		
3	Secure systems for data protection & communication with CMA		
4	Clear exit and transition strategy		
5	Risk assessment and mitigation framework		