
STATUTORY INSTRUMENTS
SUPPLEMENT No. 26

6th December, 1996

STATUTORY INSTRUMENTS SUPPLEMENT

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THE CAPITAL MARKETS (REGISTERS OF INTERESTS IN
SECURITIES) REGULATIONS, 1996.

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STATUTORY INSTRUMENTS.

1996 No. 57.

The Capital Markets (Registers of Interests in Securities) Regulations, 1996.

(Under section 102 of the Capital Markets Authority Statute, 1996 Statute No. 1 of 1996).

IN EXERCISE of the powers conferred on the Authority by section 102 of the Capital Markets Authority Statute, 1996 these Regulations are made this 20th day of November, 1996.

Statute
No. 1 of
1996.

PART I—PRELIMINARY.

1. These Regulations may be cited as the Capital Markets (Registers of Interests in Securities) Regulations, 1996.

Title.

2. (1) In these Regulations, unless the context otherwise requires—

Inter-
pretation.

“register” means a register of interests in securities required under section 50 of the Statute;

“Statute” means the Capital Markets Authority Statute, 1996.

Statute
No. 1 of
1996.

(2) In these Regulations, any term defined in the Statute shall have the meaning assigned to it in the Statute.

PART II—REGISTERS TO BE MAINTAINED.

3. Every licenced broker or dealer, broker or dealer’s representative, investment adviser, investment representative and financial journalist shall maintain a register of securities in which he or she has an interest in the form prescribed in the Schedule to these Regulations.

Form of
registers.

4. Particulars of the securities in which a person to whom these Regulations apply has an interest shall be entered in the register within seven days after acquisition or disposal of the interest.

Period of
entry in
register.

Changes in interest in securities.

5. Where there is a change in the interest or interests in securities of a person to whom these Regulations apply, he or she shall enter in the register, within 7 days after the date of the change, full particulars of the change, including the date of the change and the circumstances by reason of which that change has occurred and, for the purposes of this regulation, where a person acquires or disposes of securities, there shall be taken to be a change in the interest or interests of that person in the securities concerned.

SCHEDULE.

Regulation 3.

FORM OF REGISTERS.

FORM A

REGISTER OF INTERESTS IN SECURITIES FOR BROKER OR DEALER OR BROKER OR DEALER'S REPRESENTATIVES

I

PURCHASES REGISTER

<i>Date</i>	<i>Name of Seller</i>	<i>Type and Description of Security</i>	<i>Amount Paid</i>
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II

SALES REGISTER

<i>Date</i>	<i>Name of Buyer</i>	<i>Type and Description of Security</i>	<i>Amount Paid</i>
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FORM B

REGISTER OF INTERESTS IN SECURITIES FOR
INVESTMENT ADVISERS AND REPRESENTATIVES

<i>Date</i>	<i>Name of Client</i>	<i>Type and Description of Security</i>

FORM C

REGISTER OF INTERESTS IN SECURITIES FOR
FINANCIAL JOURNALISTS

<i>Date of or Publication</i>	<i>Name of Journal or News paper</i>	<i>Title of Analytical Report</i>	<i>Volume No. of Publication</i>

LEO KIBIRANGO,
Chairman, Capital Markets Authority.