



ARE YOU READY TO BLOW THE WHISTLE?

CMA WHISTLEBLOWER PORTAL

The Capital Markets Authority (the "Authority") was set up in 1989 as a statutory agency under the Capital Markets Act Cap 485A. The Act was amended in 2000 and renamed as Capital Markets Act. It is charged with the prime responsibility of both regulating and developing an orderly, fair and efficient capital markets in Kenya with the view to promoting market integrity and investor confidence.

To strengthen market integrity, the Authority has established an anonymous reporting portal for whistleblowers. The portal which is accessible through our website, allows whistle blowers to share anonymous but verifiable evidence to complement and support CMA's investigation and enforcement efforts. To report malpractices in the Capital Markets, visit the whistle blower portal through our website: www.cma.or.ke

BE BOLD AND BLOW THE WHISTLE ON CAPITAL MARKETS MALPRACTICES

REPORTING MALPRACTICES
IN THE MARKETS
STRENGTHENS EFFICIENCY
AND TRANSPARENCY IN
THE CAPITAL MARKETS

THIS WILL PROMOTE ECONOMIC GROWTH

ADD MORE GREAT INFO HERE!

HERE IS HOW TO GO ABOUT IT.



Visit the Authority's website www.cma.or.ke to blow the whistle

On the lower left side of the website, click on the whistle icon that will take you to the Whistleblower Portal

2

When you visit our whistleblower portal, you will see the following details which you will be required to fill in, before you submit:

- 1. Reporter's contact information (Optional)

 This is a voluntary step to give us your identity, if you wish to be known, if not you can still proceed to whistle blow.
- 2. What wrongdoing occurred?*
- 3. Who did the wrongdoing?*
- 4. Where did this happen (Unit, location)?*
- 5. What/who enabled this to happen (How)?*
- 6. Key suspect to be investigated?*
- 7. When did this occur (Date)?*
- 8. VERIFIER(S) Please provide details of 3rd party that can verify allegation (Optional)

3

STAND OUT AND BE COUNTED

* The information requested is mandatory and must be provide to facilitate investigation by CMA.

For further information, please contact:



CAPITAL MARKETS AUTHORITY Embankment Plaza, 3rd Floor, Upper Hill, Longonot Road, Off Kilimanjaro Avenue P.O. Box 74800-00200, Nairobi, Kenya Tel: +254 20 2264900/ 2710789/ 2710775/ 2221910

> Fax: +254 20 2228254 Email: corporate@cma.or.ke Website: www.cma.or.ke

Disclaimer

This brochure is by no means a conclusive document. The Capital Markets Authority takes no responsibility for any consequences arising from decisions taken based on the contents of this brochure.