

CITIZENS' SERVICE DELIVERY CHARTER

OUR VISION

The trusted regulator of an inclusive Capital Markets

OUR MISSION

To regulate and promote the development of an orderly, fair, and efficient capital and commodities markets that safeguard stakeholder Interests.

SERVICE	REQUIREMENTS	USER CHARGES (KSHS)	TIMELINE
Response to enquiries	<ul style="list-style-type: none"> • Written • Verbal • Walk-ins 	Free	<ul style="list-style-type: none"> • Written – 14 days • Verbal – Immediate • Walk-ins – Immediate
Processing applications for a license	<ul style="list-style-type: none"> • Submit a complete application as per the checklist on CMA website www.cma.or.ke • Satisfactory background checks • CMA Board Approval 	Stockbroker or Dealer, Investment Adviser, Fund Manager, Investment Banks, Authorized Depositories, Authorized Securities Dealers, REITs, Derivatives Brokers, Securities Exchange, Derivatives Exchange (Kshs 2,500) Commodity Exchange, Commodity Broker (Kshs 10,000)	5 days upon fulfilment of all the requirements in column 2
Processing applications for Issuances and Approvals	<ul style="list-style-type: none"> • Submit a complete application • CMA Management approval or CMA Board approval, where required 	Refer to the Second Schedule of the Licensing Requirements Regulations on the CMA website www.cma.or.ke	5 days upon fulfilment of all the requirements in column 2
Investigate capital markets malpractices	Lodge a complaint on the CMA Complaints Portal on CMA website www.cma.or.ke Whistleblower tip made through the Whistleblower Portal on CMA website www.cma.or.ke	Free	30 days – simple cases 120 days – complex cases
Complaints handling	Walk-in, email, call or lodge a complaint on the CMA Complaints Portal on CMA website www.cma.or.ke	Free	7 days
Provision of investor education and general information	Walk-in or call or written request	Free	2 days to acknowledge request upon receipt

Excellent and quality service is not a privilege, it is your right
“Commitment to Courtesy and Excellence in Service Delivery”

Any service that does not conform to the above standards or any officer who does not live up to commitment to courtesy and excellence in Service Delivery should be reported to:

The Chief Executive Officer,
Capital Markets Authority
P.O. Box 74800-00200 Nairobi
Embankment Plaza, 3rd Floor,
Longonot Road, Upper Hill

Tel: +254 (020) 2264900 / 2221910 / 2722825
/ 2226225
Email: corporate@cma.or.ke

OR

The Commission Secretary/Chief Executive Officer,
Commission on Administrative Justice,
2nd Floor, West End Towers,
Opposite Aga Khan High School, Waiyaki Way
P.O. Box 20414 – 00200, NAIROBI

Tel: +254-20-2270000/2303000/2603765/2441211
8030666 or 0722207767
Email: info@ombudsman.go.ke (for general inquiries)
complain@ombudsman.go.ke (for complaints)