

### SECOND SCHEDULE

Information and documentation checklist  
(CBS/NBS/REG/0002 Art. 10)

Name of Applicant business/partnership/entity: \_\_\_\_\_

Please initial the first column to indicate inclusion in your submission package or the second column to indicate that the point is not applicable to the applicant

Ref. Number	Tick for inclusion	Tick for "Not Applicable"	Component Title	Ensure the following documents are attached
1	<input type="checkbox"/>	<input type="checkbox"/>	First Schedule	Filled in <i>License application; oath and declaration</i> . Ensure document is signed, witnessed and notarized. (Lic.III.10a) The application must be authorized by the Applicant's supreme management body or its board of directors, or equivalent (Lic.III.10.vi)
2	<input type="checkbox"/>	<input type="checkbox"/>	Third Schedule	Filled in <i>Money Transfer License Application Form</i> . Ensure document is signed. (Lic.III.10b.i)
3	<input type="checkbox"/>	<input type="checkbox"/>	List of owners, management and external auditors	List of persons who; - Own or control the applicant, including shareholders, owners, directors, officers, external auditors, or otherwise persons participating in the management of the affairs of the business (Lic.III.10b.viii). See Fourth Schedule, point B for details. The list must entail the individual's connection to the Applicant as exemplified above.
4	<input type="checkbox"/>	<input type="checkbox"/>	Fourth Schedule	Filled in and signed <i>Fit and Proper Questionnaire</i> for each person in <i>List of owners, management and auditors</i> (Lic.III.10b.viii). Any attachments such as resumes should be attached to the individual's questionnaire
5	<input type="checkbox"/>	<input type="checkbox"/>	Fourth Schedule - disclosure	If any of the persons required to fill in a <i>Fit and Proper Questionnaire</i> has answered "yes" to any questions in section 14, please attach documents providing all available details, including all available legal documentation, and provide a written explanation.
6	<input type="checkbox"/>	<input type="checkbox"/>	Receipt of fee Payment	Copy of receipt(s) of payment of application fees to CBS (Lic.III.11)

7	<input type="checkbox"/>	<input type="checkbox"/>	Formation documents	<p><u>If Applicant is a company:</u> Certified copies of the applicant's articles of incorporation or articles of organization and bylaws or operating agreement with all amendments. (Lic.III.10b.v)</p> <p><u>If Applicant is a partnership:</u> Certified copies of all partnership agreements for the applicant (Lic.III.10b.iv)</p>
8	<input type="checkbox"/>	<input type="checkbox"/>	Ownership information	Information detailing identity of owners, percentages of ownership, and clarifying the extent to which the applicant is controlled by another entity, and if the applicant has subsidiaries or affiliated entities. (Lic.III.10b.v)
9	<input type="checkbox"/>	<input type="checkbox"/>	Management information	Organizational chart showing the applicant's departments, officer bearers and reporting/control lines. (Lic.III.10b.v)
10	<input type="checkbox"/>	<input type="checkbox"/>	Trade or business name registration certificate	If applicant will be operating under a name other than its legal or company name (Lic.III.10b.ii)
11	<input type="checkbox"/>	<input type="checkbox"/>	Financial statements	Financial statement for the last two financial years prepared by a trained accountant in accordance with internationally accepted accounting standards. Financial statements should include a balance sheet, profit and loss accounts, statement of cash flows and all relevant notes (Lic.III.10b.xi)
12	<input type="checkbox"/>	<input type="checkbox"/>	Business plan	Business plan for at least the next three years (including the assumption underlying the projects and a sensitivity analysis of varying assumptions) outlining the applicant's marketing strategy, products, target markets and operating structure the applicant intends to employ (Lic.III.10b.xii)
13	<input type="checkbox"/>	<input type="checkbox"/>	Compliance manual and AML program	Compliance manual describing how the applicant and all authorized agents will comply with all applicable Somali laws and regulations including the applicant's anti-money laundering ("AML") program which provides for designation of a compliance officer, independent annual AML review, education, training of officers and written policies, procedures and controls to maintain an effective AML program. (Lic.III.10b.xv)

14	<input type="checkbox"/>	<input type="checkbox"/>	Countries of business	List of countries where the applicant is licensed or registered to conduct money transfer business, and where the applicant will be transmitting money to or from. (Lic.IV.27)
15	<input type="checkbox"/>	<input type="checkbox"/>	Agents and points of business	List and location of: <ul style="list-style-type: none"> <li>- agents who are authorized to conduct money transfers in Somalia on the applicant's behalf;</li> <li>- and the applicants points of business, including those of agents</li> <li>- and the type of service(s) performed by each agent (money or value transfer, currency exchange, mobile money, cheque cashing)</li> </ul> (Lic.III.10b.ix and Lic.III.10b.x)
16	<input type="checkbox"/>	<input type="checkbox"/>	Risk handling	Applicant's risk management policies, procedures and the risk assessment which informs monitoring and control of risks (Lic.III.10b.xiv)
17	<input type="checkbox"/>	<input type="checkbox"/>	Customer care & fee schedule	Applicant's customer care policies and procedures, and complaint handling manual. Include fee schedule for all money transfer services
18	<input type="checkbox"/>	<input type="checkbox"/>	Banks	<ul style="list-style-type: none"> <li>- The name and address of every bank at which the applicant or its agents maintains a transaction account. (Lic.III.10b.xvii)</li> <li>- Notarized business documentation and agreement with the bank. (Lic.III.10b.xvii.d)</li> </ul>
19	<input type="checkbox"/>	<input type="checkbox"/>	Letter of good standing	A letter of good standing from the authority which registers companies or partnerships in the country in which the applicant is incorporated or organized; (Lic.III.10b.vii)
20	<input type="checkbox"/>	<input type="checkbox"/>	Litigation	If any history of litigation against the applicant in the last three years should be documented and attached here.



## Information and documentation checklist

If Applicant initialled for “Not Applicable” for any of the components of the submission package above, please provide explanation for each point below, or in attached document:

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