

## Regulation & Client Protections

### Capital Markets Authority (CMA)

EGM Securities is the trading name of EGM Securities Limited (Company Registration no. PVT-AAAAFF7), which is a licensed non-dealing online foreign exchange brokerage company regulated and authorised by the Capital Markets Authority, Kenya. Its registered address is 22 Riverside Drive, Riverside Green Suites, 1st floor, Cedar Suite, Westlands, Nairobi, Kenya.

The Capital Markets Authority is an independent public agency established by an Act of Parliament, the Capital Markets Act (Cap 485A) Laws of Kenya under the National Treasury. The Authority came into being on December 15, 1989 when the Act was passed and was inaugurated in March 1990.

The CMA is the regulating body charged with the prime responsibility of supervising, licensing and monitoring activities of market intermediaries, including Online Forex Brokers, Money Managers, Fund Managers, Stock Exchange, the Central Depository and Settlement System and any the other persons licensed under the Capital Markets Act and its enabling Regulations

The Authority derives its powers to regulate and supervise the capital markets industry from the Capital Markets Act and the Regulations issued there under. The regulatory functions of the Authority as provided by the Act and the Regulations include, but are not limited to the following:

- Licensing and supervising all the capital market intermediaries;
- Ensuring proper conduct of all licensed persons and market institutions;

EGM Securities | 12th floor, Tower 2, Delta Corner Towers, Waiyaki Way, Westlands, Nairobi.

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- Regulating the issuance of the capital market products (bonds, shares etc);
- Promoting market development through research on new products and institutions;
- Promoting investor education and public awareness; and
- Protecting investors' interest.

EGM Securities is licensed and regulated under the Capital Markets, Foreign Exchange Trading Regulations, 2017. The regulations provide for, among other requirements, segregation of client accounts.

### **Client Money Segregation**

All clients are categorised as a retail client, and will be notified of the same upon approval and opening of their trading account. The client has the option to request re-classification to be treated as either a professional client or an eligible counterparty client and any such request will be reviewed and the client will be duly notified of the approval or rejection of their request. Irrespective of classification, all clients of EGM Securities will have their money fully segregated, in accordance with CMA Regulations. All client money is held in segregated bank accounts and do not form part of the Firm's assets or funds.