



COMPLIANCE RETURN FORM

APPLICATION SERVICE PROVIDER (ASP)

PURSUANT TO THE PROVISIONS OF THE KENYA COMMUNICATIONS ACT 1998, KENYA COMMUNICATION REGULATIONS 2010 AND THE ASP LICENSE CONDITIONS

1 GENERAL INFORMATION

1.1 Licence Details

Name of Licensee: _____

License No: _____

Other Licenses held: _____

1.2 Period under review (Tick against appropriate quarter)

FINANCIAL YEAR _____ *(based on Government of Kenya Financial year i.e. 2017/2018)*

| Quarter 1 (1 st July – 30 th Sep) | Quarter 2 (1 st Oct – 31 st Dec) | Quarter 3 (1 st Jan – 31 st Mar) | Quarter 4 (1 st Apr – 30 th Jun) |
|--|---|---|---|
| | | | |

1.3 Address

1. Physical Address:

Town _____ Street/Road _____

LR No. _____ Floor No. _____ Room No. _____

Name of Building _____

2. Postal Address:

P. O. Box _____ Postal Code _____

Post Office Town _____

3. Phone and Fax Contact:

Tel. No. _____ Fax. No. _____

Mobile No. _____ Other Tel. Nos. _____

4. Email and Web Address:

Email address: _____

Web Address: _____

1.4 Contact details

Name of Chief Executive Officer (CEO): _____

Title of CEO: _____

Name of contact person: _____

Designation: _____

Telephone: (a) Landline _____ (b) Mobile: _____

Email: _____ Web address: _____

Signature of submitting contact person: _____ Date _____

Did any of the address information change during the quarter? Yes No
(Please tick as appropriate)

1.5 Instructions

- 1. This form has provision for both quarterly and annual compliance reporting.*
- 2. Please provide information in the space provided, you may insert additional rows and pages as required.*
- 3. Please provide information as accurately as possible and fill all fields required. Please provide explanation for fields where you may not have relevant information.*

PART A: QUARTERLY REPORTING SECTION

(Information to be submitted at the end of every Quarter)

2 SERVICES PROVIDED UNDER THIS ASP LICENSE

2.1 Machine to Machine Services (e.g Car tracking/IOT/etc)

| | <u>Service Provided</u> | <u>Brief Description</u> | <u>Number of Subscriptions</u> |
|-----|-------------------------|--------------------------|--------------------------------|
| 1. | | | |
| 2. | | | |
| 3. | | | |
| 4. | | | |
| 5. | | | |
| 6. | | | |
| 7. | | | |
| 8. | | | |
| 9. | | | |
| 10. | | | |

3 SUBSCRIPTION INFORMATION

3.1 Telephone Service Subscriptions

| Category of Subscriptions | | Number of Registered Active Subscriptions | | |
|-------------------------------------|----------------------------|---|--------------------------------------|--------------------------------------|
| | | 1 st month in the quarter | 2 nd month in the quarter | 3 rd month in the quarter |
| Postpaid Services | GSM (SIM Cards) | | | |
| | Terrestrial Fixed Line | | | |
| | Terrestrial Fixed Wireless | | | |
| Prepaid Services | GSM (SIM Cards) | | | |
| | Terrestrial Fixed Line | | | |
| | Terrestrial Fixed Wireless | | | |
| Voice over Internet Protocol (VoIP) | Mobile | | | |
| | Fixed | | | |

3.2 Data/Internet Service Subscriptions (Retail Customers) By Technology

| Subscriptions by Technology | Active Data/Internet Subscriptions | | |
|-----------------------------------|------------------------------------|----------------------|----------------------|
| | 1st month in quarter | 2nd month in quarter | 3rd month in quarter |
| GSM (SIM Cards) ² | | | |
| CDMA 2000 | | | |
| Fiber To The Home | | | |
| Fiber To The Office | | | |
| Fixed Wireless eg WiMax, WiFi | | | |
| Satellite | | | |
| Copper Line (Dial-up & DSL, xDSL) | | | |

¹ Active Subscription – Refers to any subscription that has generated revenue in the last 3 months (90 days)

² Any SIM card that accesses internet during the quarter regardless of the mobile technology used. Refer to the Manual.

³ Broadband-Internet/Data Speeds above 256Kbps

⁴ Any SIM card that accessed data/internet services through 3G and other more advanced mobile networks. Customer to be categorized based on highest mobile technology accessed during the quarter. Refer to the manual

⁵ Any SIM card that accesses internet during the quarter regardless of the mobile technology used. Refer to the Manual

⁵ Active 3G/4G mobile-broadband subscriptions refer to the sum of active handset-based and computer-based (USB/dongles) SIM Cards that

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| Subscriptions by Technology | Active Data/Internet Subscriptions | | |
|-----------------------------|------------------------------------|----------------------|----------------------|
| | 1st month in quarter | 2nd month in quarter | 3rd month in quarter |
| Cable Modem | | | |
| Other Fixed Please Specify | | | |

3.3 Broadband³ Service Subscriptions (Retail Customers)

| Subscriptions by Technology | Active Broadband Subscriptions | | | Data Volumes Consumed during the quarter (Gigabytes) |
|-----------------------------------|--------------------------------|----------------------|----------------------|--|
| | 1st month in quarter | 2nd month in quarter | 3rd month in quarter | |
| GSM ⁴ (3G) | | | | |
| GSM ⁵ (4G) | | | | |
| CDMA 2000 | | | | |
| Fiber To The Home | | | | |
| Fiber To The Office | | | | |
| Fixed Wireless (WiMax/WiFi) | | | | |
| Satellite | | | | |
| Copper Line (Dial-up & DSL, xDSL) | | | | |
| Cable Modem | | | | |
| Other Fixed Please Specify | | | | |

3.4 Fixed Data Subscriptions by Speed

| Speeds | Number of Active Data/Internet Subscriptions |
|-----------------------|--|
| < 256 Kbps | |
| => 256 Kbps < 2 Mbps | |
| => 2 Mbps < 10 Mbps | |
| => 10 Mbps < 30 Mbps | |
| => 30 Mbps < 100 Mbps | |
| => 100 Mbps | |

3.5 Data Subscriptions by Speed by Technology

| Technology | < 256 Kbps | => 256 Kbps < 2 Mbps, | => 2 Mbps < 10 Mbps | => 10 Mbps < 30 Mbps | => 30 Mbps < 100 Mbps | => 100 Mbps |
|-----------------------------------|------------|-----------------------|---------------------|----------------------|-----------------------|-------------|
| Cable Modem | | | | | | |
| Copper Line (Dial-up & DSL, xDSL) | | | | | | |
| FTTH/O | | | | | | |
| Fixed wireless | | | | | | |
| Satellite | | | | | | |
| Other fixed ⁵ | | | | | | |

³ Broadband-Internet/Data Speeds above 256Kbps

⁴ Any SIM card that accessed data/internet services through 3G and other more advanced mobile networks. Customer to be categorized based on highest mobile technology accessed during the quarter. Refer to the manual

⁵ Active 3G/4G mobile-broadband subscriptions refer to the sum of active handset- based and computer-based (USB/dongles) SIM Cards that have generated the highest broadband traffic through 3G/4G technology

⁶ Refers to Internet subscriptions using other fixed broadband technologies to access the Internet (other than DSL, cable modem, and fibre), at downstream speeds equal to, or greater than, 256 Kbit/s. This includes technologies such as ethernet LAN, and broadband-over-powerline (BPL)

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| | | | | | | |
|-------|--|--|--|--|--|--|
| Total | | | | | | |
|-------|--|--|--|--|--|--|

4 MOBILE PORTABILITY (For MNOs)

| No. | Name of the Operator | Authorization Requests Received | Authorization Requests accepted | Authorization Requests Refused |
|-----|----------------------|---------------------------------|---------------------------------|--------------------------------|
| | | | | |
| | | | | |
| | | | | |

5 MOBILE FINANCIAL SERVICES

5.1 Mobile Money Transfer Service

| Indicator | 1 st month in the quarter | 2 nd month in the quarter | 3 rd month in the quarter |
|--|--------------------------------------|--------------------------------------|--------------------------------------|
| Number of Active Agents | | | |
| Number of Registered Active Subscriptions | | | |
| Value of Customer to Business-C2B Transfers (Kshs.) | | | |
| Value of Business to Customer - B2C Transfers (Kshs.) | | | |
| Value of Business to Business - B2B Transfers (Kshs.) | | | |
| Value of Government to Citizen– G2C Transfers (Kshs.) | | | |
| Value of Citizen to Government – G2C Transfers (Kshs.) | | | |
| Volumes sent to other networks | | | |
| Volumes received from other networks | | | |
| Value sent to other networks (Ksh.) | | | |
| Value received from other networks (Ksh.) | | | |
| Volumes of P2P Transactions | | | |
| Value of Domestic Person-Person -P2P Transfers (Kshs) | | | |
| Value of Person-Person -P2P Transfers within EAC Region (Kshs) | | | |
| Total Deposits value in KShs | | | |

6 TRAFFIC FOR MOBILE SERVICES (VOICE & SMS)

6.1 Local Voice Traffic

List all service providers for internetwork traffic exchange. Number of Minutes and number of calls should be indicated as provided in the table.

| Name of operator/Indicator | | Voice minutes | Number of voice calls | VOIP Minutes |
|----------------------------|--------|---------------|-----------------------|--------------|
| Intra-Network | Mobile | | | |
| | Fixed | | | |

communications. Ethernet LAN subscriptions refer to subscriptions using IEEE 802.3 technology. BPL subscriptions refer to subscriptions using broadband-over-powerline services. Users of temporary broadband access (e.g. roaming between PWLAN hotspots), users of WiMAX and those with Internet access via mobile-cellular networks are excluded.

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| Name of operator/Indicator | | Voice minutes | | Number of voice calls | | VOIP Minutes | | | |
|----------------------------|----------------|---------------|-------|-----------------------|-------|--------------|-------|----------|-------|
| | Wireless | | | | | | | | |
| | Fixed line | | | | | | | | |
| Other Networks | | Incoming | | Outgoing | | Incoming | | Outgoing | |
| | | Minutes | Calls | Minutes | Calls | Minutes | Calls | Minutes | Calls |
| 1. | Mobile | | | | | | | | |
| | Fixed Line | | | | | | | | |
| | Fixed Wireless | | | | | | | | |
| 2. | Mobile | | | | | | | | |
| | Fixed Line | | | | | | | | |
| | Fixed Wireless | | | | | | | | |
| 3. | Mobile | | | | | | | | |
| | Fixed Line | | | | | | | | |
| | Fixed Wireless | | | | | | | | |
| 4 | Mobile | | | | | | | | |
| | Fixed Line | | | | | | | | |
| | Fixed Wireless | | | | | | | | |

6.2 Local SMS Traffic

| Name of operator/Indicator | | No. of SMS (Excluding money transfer and Premium Rate) | | No. of Premium Rate SMS | |
|----------------------------|----------------|--|-----------------|-------------------------|-----------------|
| Intra-Network | Mobile | | | | |
| | Fixed Wireless | | | | |
| | Fixed line | | | | |
| Other Networks | | Incoming | Outgoing | Incoming | Outgoing |
| 1. | Mobile | | | | |
| | Fixed Wireless | | | | |
| | Fixed Line | | | | |
| 2. | Mobile | | | | |
| | Fixed Wireless | | | | |
| | Fixed Line | | | | |
| 3. | Mobile | | | | |
| | Fixed Wireless | | | | |
| | Fixed Line | | | | |
| 4. | Mobile | | | | |
| | Fixed Wireless | | | | |
| | Fixed Line | | | | |

6.3 International Traffic

| Name Country/Carrier of Origin/Termination/ of | Voice minutes | | | | VoIP Minutes | | | | SMS | |
|--|---------------|-------|----------|-------|--------------|-------|----------|-------|----------|----------|
| | Incoming | | Outgoing | | Incoming | | Outgoing | | Incoming | Outgoing |
| | Mobile | Fixed | Mobile | Fixed | Mobile | Fixed | Mobile | Fixed | | |
| | | | | | | | | | | |

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| Name Country/Carrier of Origin/Termination/ of | Voice minutes | | VoIP Minutes | | SMS | |
|---|---------------|----------|--------------|----------|----------|----------|
| | Incoming | Outgoing | Incoming | Outgoing | Incoming | Outgoing |
| | | | | | | |
| 1.Uganda | | | | | | |
| 2.Tanzania | | | | | | |
| 3.Rwanda | | | | | | |
| 4.Burundi | | | | | | |
| 5.South Sudan | | | | | | |
| 6.Others | | | | | | |
| Total | | | | | | |

6.4 International Mobile Roaming Traffic

6.4.1 Out-Bound Mobile Roaming Traffic (Own Customers Roaming Abroad)

| Name of country with roaming agreement | Voice (Minutes) | | SMS | | Data |
|--|-----------------|----------|----------|----------|------|
| | Incoming | Outgoing | Incoming | Outgoing | |
| | | | | | |
| 1.Uganda | | | | | |
| 2.Tanzania | | | | | |
| 3.Rwanda | | | | | |
| 4.Burundi | | | | | |
| 5.South Sudan | | | | | |
| 6.Others | | | | | |
| Total | | | | | |

6.4.2 In-Bound Mobile Roaming Traffic (Foreign Customers Roaming on Local Networks)

| Name of country with roaming agreement | Voice (Minutes) | | SMS | | Data |
|---|-----------------|----------|----------|----------|------|
| | Incoming | Outgoing | Incoming | Outgoing | |
| | | | | | |
| 1.Uganda | | | | | |
| 2.Tanzania | | | | | |
| 3.Rwanda | | | | | |
| 4.Burundi | | | | | |
| 5.South Sudan | | | | | |
| 6.Others | | | | | |
| Total | | | | | |

7 QUALITY OF SERVICE

| TELEPHONY | TARGET | SCORE |
|--|---------|-------|
| Unsuccessful Call Ratio | <5% | |
| dropped Call Ratio | <2% | |
| Call Set Up Time | <8 Sec | |
| Voice Quality (Speech Quality) (POLQA MOS) | >3.4 NB | |
| Handover Success Rate | >96% | |
| SMS | | |

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| TELEPHONY | TARGET | SCORE |
|---|---------------|--------------|
| Successful SMS Ratio | >95% | |
| Completion Rate SMS Ratio | >95% | |
| End to End SMS Delivery Ratio (Less than 30s delay) | >95% | |
| DATA SERVICES | | |
| Latency | 100ms | |
| Jitter | 50ms | |
| Data Transfer Failure Ratio/Throughput (Download/Upload) | <10% | |
| Ratio of Packet Loss | 1/1,000 | |
| Internet Accessibility | >98% | |
| HTTP Set up failure Ratio (95% within 5 seconds) | <2% | |
| HTTP Completion Failure Ratio and Completion Time (95% within 20 seconds) | <90% | |
| HTTP Generic Scenario Availability | >85% | |

8 Complaints Resolution

| Complaint Type | Number of Complaints | | | | | |
|---|-----------------------------|-----------------|-----------------|-----------------|-----------------|-----------------|
| | Month 1 | | Month 2 | | Month 3 | |
| | Received | Resolved | Received | Resolved | Received | Resolved |
| Network Faults/Downtimes | | | | | | |
| Poor Service Reception | | | | | | |
| Disconnections and SLA related complaints | | | | | | |
| Billing (charges) | | | | | | |
| Customer Care and Response Challenges | | | | | | |
| Spam and Malware Control | | | | | | |
| Others (Please Specify) | | | | | | |
| TOTAL | | | | | | |

PART B: ANNUAL REPORTING SECTION

(Information to be submitted at the end of the Quarter ending 30th June)

9 SHAREHOLDING INFORMATION

Please attach a copy of the current certificate of shareholding (Not more than 6 months old).

10 FINANCIAL DATA

Specify the start and end dates of your firm’s financial year below.

Financial Year Start Date: _____ End Date: _____

Please attach the following;

- I. A copy of your Annual Audited Accounts for the preceding year.**
- II. Valid tax compliance certificate.**

11 SUBSCRIPTIONS PER COUNTY

| County | Voice Service Subscriptions | Fiber To The Home | Fiber To The Office | Fixed Wirele | CDMA 2000 | Satellite | Copper Line (Dial-up & |
|---------------|------------------------------------|--------------------------|----------------------------|---------------------|------------------|------------------|-----------------------------------|
| | | | | | | | |

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| | Terrestrial Fixed Wireless | Terrestrial Fixed Line | | | ss eg WiMax , WiFi | | | DSL, xDSL) |
|---------------------|----------------------------------|---------------------------|--|--|--------------------------|--|--|------------|
| Baringo | | | | | | | | |
| Bomet | | | | | | | | |
| Bungoma | | | | | | | | |
| Busia | | | | | | | | |
| Elgeyo- Marakwet | | | | | | | | |
| Embu | | | | | | | | |
| Garissa | | | | | | | | |
| Homa Bay | | | | | | | | |
| Isiolo | | | | | | | | |
| Kajiado | | | | | | | | |
| Kakamega | | | | | | | | |
| Kericho | | | | | | | | |
| Kiambu | | | | | | | | |
| Kilifi | | | | | | | | |
| Kirinyaga | | | | | | | | |
| Kisii | | | | | | | | |
| Kisumu | | | | | | | | |
| Kitui | | | | | | | | |
| Kwale | | | | | | | | |
| Laikipia | | | | | | | | |
| Lamu | | | | | | | | |
| Machakos | | | | | | | | |
| Makueni | | | | | | | | |
| Mandera | | | | | | | | |
| Marsabit | | | | | | | | |
| Meru | | | | | | | | |
| Migori | | | | | | | | |
| Mombasa | | | | | | | | |
| Murang'a | | | | | | | | |
| Nairobi | | | | | | | | |
| Nakuru | | | | | | | | |
| Nandi | | | | | | | | |
| Narok | | | | | | | | |
| Nyamira | | | | | | | | |
| Nyandarua | | | | | | | | |
| Nyeri | | | | | | | | |
| Samburu | | | | | | | | |
| Siaya | | | | | | | | |
| Taita-Taveta | | | | | | | | |
| Tana River | | | | | | | | |
| Tharaka-Nithi | | | | | | | | |
| Trans Nzoia | | | | | | | | |
| Turkana | | | | | | | | |
| Uasin Gishu | | | | | | | | |
| Vihiga | | | | | | | | |
| Wajir | | | | | | | | |
| West Pokot | | | | | | | | |

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| County | Voice Service Subscriptions | | Fiber To The Home | Fiber To The Office | Fixed Wireless eg WiMax, WiFi | CDMA 2000 | Satellite | Copper Line (Dial-up & DSL, xDSL) |
|---------------|-----------------------------|------------------------|-------------------|---------------------|-------------------------------|-----------|-----------|-----------------------------------|
| | Terrestrial Fixed Wireless | Terrestrial Fixed Line | | | | | | |
| Totals | | | | | | | | |

12 TARIFFS (Please attach all the tariffs for services offered under this license in excel format)

13 STAFF (Directly and Indirectly Engaged Personnel)

| Staff category | | Local (Kenyan Citizens) | | Expatriates | |
|----------------|-----------|-------------------------|--------|-------------|--------|
| | | Male | Female | Male | Female |
| Technical | Permanent | | | | |
| | Contract | | | | |
| | Temporary | | | | |
| None Technical | Permanent | | | | |
| | Contract | | | | |
| | Temporary | | | | |
| Total | | | | | |

14 NUMBERING RESOURCES

14.1 Numbers for fixed telephony, Free Phone and other services

| National Destination Code (NDC) (e.g. 020, 041, 0800, 0900, etc.) | Number series e.g. 31xxxxx | Total numbers in the block/series allocated | Numbers in use | Numbers not in use | Reasons for non-usage |
|---|----------------------------|---|----------------|--------------------|-----------------------|
| | | | | | |
| | | | | | |

14.2 Other Numbering Resources

| Other numbering resources | Purpose for the numbers | Total numbers assigned | Numbers in use | Numbers not in use | Reasons for non-Usage |
|---------------------------|-------------------------|------------------------|----------------|--------------------|-----------------------|
| | | | | | |

15 ENVIRONMENTAL SUSTAINABILITY COMPLIANCE

Reporting on Environmental Sustainability Initiatives

14.1. Provide information on initiatives you are undertaking to establish channels of collecting both consumer and your own electronic waste (e-waste) at the end of life-cycle (please detail your take back mechanisms);

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6.2. Provide information on initiatives that you are undertaking in the operations to reduce the carbon footprint/negative environmental impact;

6.3. Provide information on the current status of adherence to the Environmental Management and Coordination Act, EMCA on Waste Management.

16 COMMENTS/ SUGGESTIONS

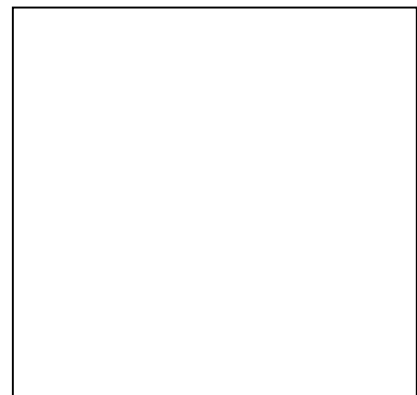
Please share any challenges faced and/or make suggestions to improve the regulatory environment.

Signed.....

Name.....

Title.....

Date



Company Stamp above

(NB: Where Nil returns are submitted, an explanation MUST be provided under the Comments/Suggestions section of this form)

THANK YOU FOR COMPLETING THE FORM

FOR OFFICIAL USE ONLY – DO NOT FILL BELOW THIS LINE

These returns have been :)

| | Checked By: | Verified by: | Approved <input type="checkbox"/> Rejected <input type="checkbox"/> (Tick as appropriate) |
|-----------|-------------|--------------|--|
| Name | | | |
| Title | | | |
| Signature | | | |
| Date | | | |

N/B A COMPLIANCE CERTIFICATE WILL NOT BE ISSUED IF THE COMPLIANCE RETURNS ARE SUBMITTED LATE OR REJECTED BY THE AUTHORITY