

## Britam Unit Trusts Individual Application Form

### 1 Principal Investor Details

Title:  Mr.  Mrs.  Ms.  
 Other (specify)

Surname:

Middle Name(s):

First Name:

Nationality:

Gender:  Male  Female

Date of Birth:

ID/Passport No.

PIN Number:

Country of Residence:

Marital Status: 

|         |  |         |  |
|---------|--|---------|--|
| Single  |  | Married |  |
| Widowed |  | Other   |  |

Are you a Politically Exposed Person (PEP)?

### 1 Joint Holder Investor Details

Title:  Mr.  Mrs.  Ms.  
 Other (specify)

Surname:

Middle Name(s):

First Name:

Nationality:

Gender:  Male  Female

Date of Birth:

ID/Passport No.

PIN Number:

Country of Residence:

Marital Status: 

|         |  |         |  |
|---------|--|---------|--|
| Single  |  | Married |  |
| Widowed |  | Other   |  |

Are you a Politically Exposed Person (PEP)?

### 2 Occupation Details

State your employment status:

Employed  Self-Employed   
 Un-Employed  Retired

Other (Specify)

If self employed, state the business sector in which you operate:

If employed, state:

Present Occupation

Employer's Name

Employer's Address

**Industry**

Financial Services  Hospitality  Legal/Accounting   
 Government / Public Service  Arts  Health   
 Professionals  Student  Entrepreneur   
 Other

### 2 Joint Holder Occupation Details

State your employment status:

Employed  Self-Employed   
 Un-Employed  Retired

Other (Specify)

If self employed, state the business sector in which you operate:

If employed, state:

Present Occupation

Employer's Name

Employer's Address

**Industry**

Financial Services  Hospitality  Legal/Accounting   
 Government / Public Service  Arts  Health   
 Professionals  Student  Entrepreneur   
 Other

### 3 Contact Details

Address Residential:

Postal:

Postal Code:       Town:

Mobile:

Office:  Home:

E-Mail:

Preferred method of contact (Statements, etc.):

E-Mail (Free)  Post (at a fee)

### 3 Joint Holder Contact Details

Address Residential:

Postal:

Postal Code:       Town:

Mobile:

Office:  Home:

E-Mail:

Preferred method of contact (Statements, etc.):

E-Mail (Free)  Post (at a fee)

### 4 Contact Person Details

Contact Person (1)

Mobile:

Postal Address:

Postal Code:       Town:

Contact Person (2)

Mobile:

Postal Address:

Postal Code:       Town:

### 4 Joint Holder Contact Person Details

Contact Person (1)

Mobile:

Postal Address:

Postal Code:       Town:

Contact Person (2)

Mobile:

Postal Address:

Postal Code:       Town:

### 5 Source of Funds

Salary  Rental/Property Sale  Loan

Lottery/Betting  Pension  Sale of Shares

Inheritance  Savings  Gift

Maturing Investments  Dividends/Interest

Other (specify)

### 5 Joint Holder Source of Funds

Salary  Rental/Property Sale  Loan

Lottery/Betting  Pension  Sale of Shares

Inheritance  Savings  Gift

Maturing Investments  Dividends/Interest

Other (specify)

| FATCA/CRS DECLARATION (Principal Investor)   |                           | Yes                                    | No |
|--|---------------------------|--|----|
| Are you a US Resident?   |                           |  |    |
| Are you a US Citizen?  |                           |  |    |
| Are you holding a US Permanent Resident Card (Green Card)                                |                           |  |    |
| Do you have a US Telephone Number?   |                           |  |    |
| Were you born in the US?   |                           |  |    |
| Have you granted Power of Attorney or Signatory authority to a person with a US address? |                           |  |    |
| Do you have a US Residential Address?  |                           |  |    |
| Do you have a correspondence, C/O or Hold Mail address in the US?                        |                           |  |    |
| Do you have a standing order to a US Bank Account?                                       |                           |  |    |
| Are you FATCA compliant?   |                           |  |    |
| Country(ies) of Tax Residency  | Tax Identification Number | Not Applicable (Tick where applicable) |    |
| 1.   |                           |  |    |
| 2.   |                           |  |    |
| 3.   |                           |  |    |
| 4.   |                           |  |    |
| 5.   |                           |  |    |

| FATCA/CRS DECLARATION (Joint Holder Investor)  |                           | Yes                                    | No |
|--|---------------------------|--|----|
| Are you a US Resident?   |                           |  |    |
| Are you a US Citizen?  |                           |  |    |
| Are you holding a US Permanent Resident Card (Green Card)                                |                           |  |    |
| Do you have a US Telephone Number?   |                           |  |    |
| Were you born in the US?   |                           |  |    |
| Have you granted Power of Attorney or Signatory authority to a person with a US address? |                           |  |    |
| Do you have a US Residential Address?  |                           |  |    |
| Do you have a correspondence, C/O or Hold Mail address in the US?                        |                           |  |    |
| Do you have a standing order to a US Bank Account?                                       |                           |  |    |
| Are you FATCA compliant?   |                           |  |    |
| Country(ies) of Tax Residency  | Tax Identification Number | Not Applicable (Tick where applicable) |    |
| 1.   |                           |  |    |
| 2.   |                           |  |    |
| 3.   |                           |  |    |
| 4.   |                           |  |    |
| 5.   |                           |  |    |

## 6 Gifts / Transfers to Minors

AS CUSTODY FOR

Minor's Name:

Date of Birth:

Postal Address:

Postal Code:

Residential Address

## 7 Bank Information

| BANK                                    | STANDARD CHARTERED BANK OF KENYA LIMITED |                            |               |
|---|--|----------------------------|---------------|
| Fund (Account Name)                     | Account Number                           | Branch                     | Clearing Code |
| Britam Money Market Fund Inflow Account | 0105016761600                            | CSC Head Office (Code 078) | 02            |
| Britam Bond Plus Fund Inflow Account    | 0105016761700                            | CSC Head Office (Code 078) | 02            |
| Britam Balanced Fund Inflow Account     | 0105016761800                            | CSC Head Office (Code 078) | 02            |
| Britam Equity Fund Inflow Account       | 0105016761900                            | CSC Head Office (Code 078) | 02            |
| Britam Unit Trust Inflow Account        | 0105016762100                            | CSC Head Office (Code 078) | 02            |

Swift Code (For international fund movements)

**Client Bank Information. (Please provide your bank information below)**

| Bank | Branch | Account Name | Account Number | Bank Code |
|------|--------|--------------|----------------|-----------|
|      |        |              |                |           |

**Britam Money Market Fund**

- Suitable for investors who seek low risk, high interest portfolios, especially during times of high stock market volatility. Offers capital stability and immediate liquidity.
- The fund invests in interest-bearing securities and other short term money market instruments.

**Investment risk level** — Low-risk investment offering high yield, income stability and immediate liquidity.

**Recommended investment horizon** — Short term.

**Fee structure**

Initial Fee — 0%  
Annual Management Fee — 2.5% pa

I/We fully understand the fund’s features and we are ready to invest in the **Britam Money Market Fund**

Amount .....

Sign ..... Date .....

**Britam Bond Plus Fund**

- Suitable for investors who seek regular income from their investment and those who intend to secure a safe haven for their investments in times of stock market volatility.
- The fund invests primarily in interest-bearing securities. Investments include non-equity securities, financially sound preference shares, treasury bills, treasury bonds, corporate bonds and any other securities that are consistent with the portfolio’s investment policy.

**Investment risk level** - Low-risk investment offering high yield and income stability.

**Recommended investment horizon** - Short to medium term.

**Fee structure**

Initial Fee — 2%  
Annual Management Fee — 2.5% pa

I/We fully understand the fund’s features and we are ready to invest in the **Britam Bond Plus Fund**

Amount .....

Sign ..... Date .....

**Britam Balanced Fund**

- Suitable for investors who seek to invest in a balanced portfolio offering exposure to all sectors of the market.
- The fund invests in listed equities and fixed income securities. The fund will have a bias towards equities offering long term value.
- May have a maximum of 10% direct and/or indirect exposure to offshore investments as a hedge against inflation.

**Investment risk level** - Medium risk investment.

**Recommended investment horizon** - Medium to long term.

**Fee structure**

- Initial Fee — 2%
- Annual Management Fee — 2.5% pa

I/We fully understand the fund’s features and we are ready to invest in the **Britam Balanced Fund**

Amount .....

Sign ..... Date .....

**Britam Equity Fund**

- Suitable for investors seeking long term capital growth in their portfolios. The fund aims to offer superior returns over the long term by maximizing long term capital growth.
- The fund invests primarily in companies listed in the regional Stock Exchanges, which show above average prospects for future growth.
- The fund may have a maximum of 10% exposure to offshore investments.

**Investment risk level** - Medium to higher risk.

**Recommended investment horizon** - Long term.

**Fee structure**

- Initial Fee — 2%
- Annual Management Fee — 2.5% pa

I/We fully understand the fund’s features and we are ready to invest in the **Britam Equity Fund**

Amount .....

Sign ..... Date .....

## **9 General Terms and Conditions**

1. Units are traded at the daily ruling prices and will be repurchased by Britam Asset Managers (Kenya) Limited accordance with the Capital Markets (Collective Investment Schemes) Regulations, 2001 and on terms and conditions set out in the relevant Trust Deed.
2. Unit prices may go up as well as down.
3. Completed application forms and notification of deposits/cleared funds must be received for the investment to be executed. Subscriptions monies in cleared funds received will be dealt with on the next Dealing Day.
4. The investor and/or his/her financial advisor shall at all times be responsible for ensuring that the unit trust and its representatives receive any instructions from the investor and/or financial advisor, whether by facsimile or mail, and that such instructions are complete and correct in all respects.
5. Investors are reminded that in certain specified circumstances their right to redeem their units may be suspended.
6. No third-party cheques are allowed. Payments made by a third party on behalf of an investor will need to be supported by further documentation.
7. Once an account has been opened, a statement of investment will be sent by post or e-mail to the investor on a monthly basis.
8. All transaction charges on purchasing securities shall be borne by the Fund and not the Fund Manager.

## **10 Declaration**

1. The information provided in this application is true, correct and accurate and that, the money used for this investment does not arise out of the proceeds of any money laundering or other illicit activities.
2. I/We confirm that, where this information is signed in a representative capacity, I/we have the necessary authority to do so.
3. I/We hereby consent to Britam Asset Managers (Kenya) Limited verifying the information provided with others.
4. I/We have read the prospectus for each fund selected in Section 8 and agree to the terms of each.
5. I/We confirm that my/our application to subscribe to units in the particular Britam Unit Trust Fund through this application is made on the basis and terms of the conditions contained in the prospectus.
6. I/We agree to accept the number of units bought by virtue of this application and warrant that I/we have full power and authority to enter into and conclude this transaction.
7. I/we confirm that the units are not being acquired either directly or indirectly by or on behalf of any person restricted by law of any relevant jurisdiction from acquiring the units.
8. I/We authorize Britam Asset Managers (Kenya) Limited to act upon instructions by fax without liability in respect of any transfer, payment or other act done in accordance with such instructions and notwithstanding that it shall be shown the same was not signed or sent by me/us.
9. Upon receipt, I/we shall review all statements and will notify you immediately if there is a discrepancy.
10. I/We consent to the disclosure of this information for compliance purposes to the companies within the Britam Group or its agents and the necessary regulators and government agencies.
11. I/We have read and fully understand the funds' objectives, risk levels, income distribution and all charges as set out in the funds fact sheets and the prospectus.

## 11 Signing Mandate

Specimen Signatures

|                        | Name | Signature | Date |
|------------------------|------|-----------|------|
| Authorized signatory 1 |      |           |      |
| Authorized signatory 2 |      |           |      |
| Authorized signatory 3 |      |           |      |

Signing Mandate  All  Either/or  At least two signatories

## 12 Glossary

**Unit trust:** A collective investment scheme in which investors' contributions are pooled together to purchase a portfolio of financial securities, such as equities (shares), bonds, cash, bank deposits etc. The portfolio is managed by professional fund managers.

**Unit:** Your contributions to a unit trust are used to purchase units. Each unit represents an equal fraction of the total value of the pool of invested money. The number of units you are allocated is calculated by dividing the amount you invest by the offer price at the time.

**Points to consider:**

- Your risk profile;
- Your time horizon for the investment; and
- Whether you require regular income from the investment or purely looking for capital growth.

**Expected Returns:** Returns depend on;

- Returns from the financial markets; and
- The type of assets within the unit trust portfolio.

**Benefits:** Potentially superior returns, easy and affordable investment, diversification of risks, expertise in professional management, value for money, flexible investment options, liquidity, safe and transparent, amongst others.

**13 Documents Required**

**For Official Use Only**

Copies of:

- 1. Official Identification Document or current passport
- 2. Personal Identification Number certificate
- 3. Utility Bill (Electricity, water, proof of address letter not more than 3 months old)
- 4. Proof of banking details (copy of ATM card, original cancelled cheque or certified letter from the bank or bank statement not more than three months old)
- 5. Investment cheque / deposit slip in correct fund
- 6. Copy of birth certificate for minor(section 6)
- 7. Income Tax Exemption Certificate (If applicable)

I confirm that all the above documents have been attached

Name of Financial Advisor

Financial Advisor Code

Branch

Telephone

Email Address

- AMC Risk Category Screening  High  Medium  Low
- UN List  Yes  No
- US OFAC  Yes  No
- List  Yes  No
- IPRS  Yes  No
- PEP Status  Yes  No

Signature \_\_\_\_\_ Date \_\_\_\_\_

FATCA Status Yes  No

If Yes, FATCA documentation to be completed form

- W9 (U.S. Persons only)
- Form W-8BEN (Non U.S. Persons only)
- American ID/Passport

**Branch Administrator**

Name: \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_

**Compliance Officer**

Name: \_\_\_\_\_ Signature \_\_\_\_\_ Date \_\_\_\_\_



**Contact Details**  
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