

# Britam Unit Trusts Company Application Form

## 1 Investor Details

Type of Investor:

Company  Trust  Fund  Other (specify) \_\_\_\_\_

Nature / description of business	
Business Segment	Annual turnovers in Kshs
Micro Enterprises <input type="checkbox"/>	Kes. 500,000
Small Enterprises <input type="checkbox"/>	Kes. 500,000 and Kes. 5,000,000
Medium Enterprises <input type="checkbox"/>	Kes. 5,000,001 and Kes. 100,000,000
Large Enterprises <input type="checkbox"/>	Kes. 100,000,000
Non Profit Organizations <input type="checkbox"/>	NGOs/Churches/Charity/Welfare organizations
Sectors	
Agriculture, forestry and fishing <input type="checkbox"/>	
Mining and quarrying <input type="checkbox"/>	
Manufacturing <input type="checkbox"/>	
Electricity, gas, steam and air conditioning supply <input type="checkbox"/>	
Water supply; sewerage, waste management and remediation activities <input type="checkbox"/>	
Construction <input type="checkbox"/>	
Wholesale and retail trade; repair of motor vehicles and motorcycles <input type="checkbox"/>	
Transportation and storage <input type="checkbox"/>	
Accommodation and food service activities <input type="checkbox"/>	
Information and communication <input type="checkbox"/>	
Financial and insurance activities <input type="checkbox"/>	
Real estate activities <input type="checkbox"/>	
Professional, scientific and technical activities <input type="checkbox"/>	
Administrative and support service activities <input type="checkbox"/>	
Public administration and defense; compulsory social security <input type="checkbox"/>	
Education <input type="checkbox"/>	
Human health and social work activities <input type="checkbox"/>	
Arts, entertainment and recreation <input type="checkbox"/>	
Other service activities e.g. Activities of households as employers; undifferentiated goods- and services-producing activities of households for own use or activities of extraterritorial organizations and bodies <input type="checkbox"/>	

Country of registration \_\_\_\_\_ Annual turnover \_\_\_\_\_

## 2 Details to be Provided

Registered Name: \_\_\_\_\_

Trade Name: \_\_\_\_\_

Telephone: \_\_\_\_\_ Fax: \_\_\_\_\_

E-mail: \_\_\_\_\_

Registered \_\_\_\_\_ Physical \_\_\_\_\_

Address: \_\_\_\_\_ Address: \_\_\_\_\_

\_\_\_\_\_  
\_\_\_\_\_

Postal Code:

Registration No:

Company PIN No:

Preferred method of contact (Statements, newsletters, etc.)  Post (At a fee)  E-mail (Free)

## 3 Source of Funds

State the source from which the applicant's wealth is mainly derived:

- Profits  Rental/Property Sale  Sale of Shares  
 Dividends/Interest  Maturing Investments  Loan  
 Other (Specify) \_\_\_\_\_

## 4 Fund Selection

### 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

We fully understand the fund's features and we are ready to invest in the **Britam Money Market Fund**.

Amount \_\_\_\_\_

Sign \_\_\_\_\_ Date \_\_\_\_\_

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

Annual Management Fee — 2.5% pa

We fully understand the fund's features and we are ready to invest in the **Britam Bond Plus Fund**.

Amount \_\_\_\_\_

Sign \_\_\_\_\_ Date \_\_\_\_\_

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

We fully understand the fund's features and we are ready to invest in the **Britam Balanced Fund.**

Amount \_\_\_\_\_

Sign \_\_\_\_\_ Date \_\_\_\_\_

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

We fully understand the fund's features and we are ready to invest in the **Britam Equity Fund.**

Amount \_\_\_\_\_

Sign \_\_\_\_\_ Date \_\_\_\_\_

Sign \_\_\_\_\_ Date \_\_\_\_\_

**5 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 <i>Plus</i> Fund Inflow Account	0105016761700	CSC Head Office (Code 078)	02
Britam 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)	SCBLKENXSSU
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**Client Bank Information. (Please provide your bank information below)**

Bank	Branch	Account Name	Account Number	Bank Code

**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.

## 7 General Terms and Conditions

1. Units are traded at the daily ruling prices and will be repurchased by Britam Asset Managers (Kenya) Limited in 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.

## 8 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. We confirm that, where this information is signed in a representative capacity, we have the necessary authority to do so.
3. 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 9 and agree to the terms of each.
5. We confirm that our application to subscribe for 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. We agree to accept the number of units bought by virtue of this application and warrant that we have full power and authority to enter into and conclude this transaction.
7. 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. 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 us.
9. Upon receipt, we shall review all statements and will notify you immediately if there is a discrepancy.
10. 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. 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.

## 9 Details of Authorized Representative(s)

FATCA/CRS Declaration		
	Yes	No
Are any of the directors/shareholders a United States of America (USA) Citizen?		
Do you/they receive any income from the United States of America (USA)? (Income could include interest, dividends, rents, salaries, wages, premiums, annuities, compensations, remunerations and emoluments)		
Country(ies) of Tax Residency	Tax Identification Number	Not Applicable (Tick where applicable)
1.		
2.		
3.		
4.		
5.		

(i) Indicate the Applicable Category

Principal Officer  Shareholder  Trustee   
Authorized Person  Director  Partner

Full Name: \_\_\_\_\_

ID/Passport No:

Date of Birth:

Telephone

Home: \_\_\_\_\_ Office: \_\_\_\_\_ Cell: \_\_\_\_\_

Fax: \_\_\_\_\_ E-mail: \_\_\_\_\_

Residential \_\_\_\_\_

Postal \_\_\_\_\_

Address: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Postal code:

Nationality \_\_\_\_\_

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

(ii) Indicate the Applicable Category

Principal Officer  Shareholder  Trustee   
Authorized Person  Director  Partner

Full Name: \_\_\_\_\_

ID/Passport No:

Date of Birth:

Telephone

Home: \_\_\_\_\_ Office: \_\_\_\_\_ Cell: \_\_\_\_\_

Fax: \_\_\_\_\_ E-mail: \_\_\_\_\_

Residential \_\_\_\_\_

Postal \_\_\_\_\_

Address: \_\_\_\_\_

Address: \_\_\_\_\_

\_\_\_\_\_

Postal code:

Nationality: \_\_\_\_\_

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

**10 Signing Mandate**

All must sign  Minimum no. of Signatories

**11 Documents Required****For Official Use Only**

1. Founding Documents
  - Companies - Certificate of Incorporation
  - Partnership - Partnership Agreement
  - Other Legal Entities - Constitution or other founding documents in terms of which legal person is created
  
2. Other Documents
  - i. Resolution/mandate authorizing the investment
  - ii. Copy of PIN Certificate of the Organisation
  - iii. Income Tax Exemption Certificate (if applicable)
  - iv Proof of Banking Details 
    - Original cancelled cheque; or
    - Bank statement (not more than three months); or
    - Certified letter from the bank confirming account details
    - Copy of ATM Card
  - v. Investment Fund's cheque or Deposit slip attached and in the correct fund
  - vi. Recent CR12 / Annual returns
  - vii. List of present Directors/Shareholders duly certified by company secretary
  
3. Documents from Authorized Representatives
  - i. Official Kenyan identification document or, if not available current passport
  - ii. Utility Bill (not more than three months old); or 
    - Lease/rental agreement; or
    - Electricity account; or
    - Water Bill

**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

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

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

**Branch Administrator**

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

**Compliance Officer**

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



**Contact Details**

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