



If employed, please state the information below:

If self employed, state nature of business: \_\_\_\_\_

If unemployed state source of funds: \_\_\_\_\_

Present occupation	
Employer's Name	
Employer's Address	

### Contact Information

Nationality  Country of Residence

Email  Mobile

Postal Address  Code  Town

Residential Address \_\_\_\_\_

Preferred mode of contact: Email (free)  SMS

### C. Corporate Applicants

Nature of Corporate Subscriber: Company

Trust  Fund  Others(Specify) \_\_\_\_\_

Registered Name  Trade Name

Telephone  Email

Registered address  Office Building/ Floor

Registration No  Company Pin

Preferred mode of contact: Email (Free)  Post (At a Cost)

### SECTION 2: SOURCE OF FUNDS

Employment Income  Business  Investments/ Savings  Loan

Pension  Inheritance  Gift  Others(Specify) \_\_\_\_\_

### SECTION 3: POLITICALLY EXPOSED PERSONS

Could you or any other person connected with the application be classified as a Politically Exposed Person (P.E.P) or connected to a P.E.P?

Yes  NO  If Yes, (Specify) \_\_\_\_\_

### SECTION 4: CLIENTS BANK DETAILS

Please provide your Bank Account Details Below

Account Name	
Account Number	
Account Type	
Bank Name	
Branch	
Bank Code	

**NOTE:** Any change in Bank Details must be provided in writing with signature and adequate proof. No payments will be made to a third party's bank account.

## SECTION 5: BANK ACCOUNT DETAILS

Account Name	Account Number	Bank, Branch and Code	Swift Code	Investment Amount
GenCap Hela Imara Fund	0100004723524	Stanbic Bank (K) Limited Chiromo Branch Bank Code: 31002	SBICKENX	
<b>MPESA Deposit:</b> Paybill - 819392 Account Name: Client Code				

Payment Method: Cheque  Cash Deposit  Direct Bank Transfer (EFT/RTGS)  MPESA

Please attach a copy of a certified recent bank statement or a recent copy of a certified, cheque or a certified copy of an ATM card as proof of the bank account details entered in the section below

## SECTION 6: SIGNING INSTRUCTIONS

Authorised signatory 1 \_\_\_\_\_

Authorised signatory 2 \_\_\_\_\_

Transaction can be signed by: One holder  All holders/ Directors

**NOTE:** To change information provided on this form, all joint account holders must sign

## SECTION 7: RISK PROFILE

1. Have you ever invested in a unit trust before?

No (0)  Yes (1)

Score: \_\_\_\_\_

2. How would you describe your knowledge of investments?

None (0)  Limited (1)  Limited (2)  Extensive(3)

Score: \_\_\_\_\_

3. Approximately what portion of your total savings will this investment present?

Over 80% (0)  51%-80% (1)  21%-50% (2)  0%-20% (3)

Score: \_\_\_\_\_

4. When you make an investment, you plan to hold the investment for?

One Month (0.5)  Three Months (1)  Six Months (1.5)

One Year (2)  Three Years (2.5)  Five Years (3)

Score: \_\_\_\_\_

5. What risk tolerance do you have?

Funds should never lose money (1)  Funds can dip under initial sometimes (2)

For attractive long-term performance, I am prepared to take some risks (3)

Score: \_\_\_\_\_

6. Generally I prefer investments with little or no fluctuations in value and I'm willing to accept a lower return associated with these investments

Strongly agree (0)  Somewhat agree (1)  Strongly disagree (2)

Score: \_\_\_\_\_

7. Which of the following best and worst case scenarios suit you:

	Average	Best	Worst	
Option A	18%	12%	4%	(1) <input type="checkbox"/>
Option B	14%	30%	-10%	(2) <input type="checkbox"/>
Option C	19%	55%	-35%	(3) <input type="checkbox"/>

Score: \_\_\_\_\_

8. Imagine that in the past 6 months the market has lost 30% of its value. As a result, your portfolio has lost 30% of its value. What would you do?

Sell all your remaining investments (1)

Sell some of your investments (2)

Hold on to the investment and sell nothing (3)

Buy more of the investment (4)

Score: \_\_\_\_\_

9. When do you plan to begin withdrawing money from your investment?

Less than 1 year (1)  2 years (2)  2-4 years (3)  Over 4 years (4)  Score: \_\_\_\_\_

10. My current and future income sources (e.g. own business, salary, social security, pension, etc) are;

Very unstable (0)  Somewhat stable (1)  Very Stable (2)  Score: \_\_\_\_\_

11. What is your monthly range of income

0-5,000 (0)  5,001-10,000 (1)  10,001-30,000 (2)   
 30,001-100,000 (3)  Over 100,000 (4)  Score: \_\_\_\_\_

**TOTAL SCORE:**

POINTS	5 - 15	16 - 25	26 - 35
PROFILE	<b>Conservative</b>	<b>Moderate</b>	<b>Aggressive</b>
RISK CATEGORY DETAILS	<p>Conservative investors are investors who want stability and are more concerned with their current investment than increasing the real value of their investments. A conservative investor is generally seeking to preserve capital and as a trade-off is usually prepared to accept lower investment returns</p>	<p>Moderate investors are usually medium term investors who want to protect their capital and achieve some real increase in the value of their investment. This investor is usually seeking a diversified portfolio with exposure to a broad range of investment sectors</p>	<p>Aggressive investors are long term investors who want high capital growth. Substantial year to year fluctuations in value are acceptable in exchange for a potentially high long term return. An aggressive investor is comfortable accepting high volatility in their capital value with the risk of short to medium term periods of negative returns. They are willing to trade higher risk for greater long term returns and typically will have a long investment objective</p>
FUND	<p><b>Genghis Money Market Fund</b> <input type="checkbox"/></p>		

Re-invest: Yes  No

Client's Signature: \_\_\_\_\_

### SECTION 8: IF INVESTMENT IS FOR A MINOR

Minor's Name: \_\_\_\_\_ Date of Birth: \_\_\_\_\_

Relationship: \_\_\_\_\_

### SECTION 9: NEXT OF KIN/ CONTACT PERSON

	Contact 1	Contact 2
Name		
Relationship		
ID/ Passport		
Date of Birth		
Telephone Number		
Postal Address		
Residential Address		

## SECTION 10: EMAIL INDEMNITY

- A.) In consideration of your acting on my instructions issued by the way of facsimile and/or email, I indemnify you against all claims, loses, costs that you may sustain, incur or be put by reason of the said facsimile and/or email instructions.
- B.) I irrevocably authorize you to make payments and comply with any demands that may be claimed from or made upon under the said facsimile and/or email instructions without any reference to or further authority from me.
- C.) I agree that any payment which you shall make in accordance or purporting to be in accordance with the facsimile and/or email instructions shall be binding upon me and shall be accepted by me as conclusive evidence that you were liable to make such payment or comply with such demand.
- D.) I agree that my liability under this indemnity shall be a continuing liability notwithstanding any settlement of account or other matter whatsoever.

Email

Customer Name  Customer Name

Date

dd/mm/yyyy

Date

dd/mm/yyyy

Signature \_\_\_\_\_ Signature \_\_\_\_\_

Company Seal \_\_\_\_\_

## SECTION 11: FINANCIAL ADVISOR DETAILS

*To be filled by the financial advisor*

Financial Advisors (FA)Name: \_\_\_\_\_ FA Code: \_\_\_\_\_

Telephone Number: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: \_\_\_\_\_

## SECTION 12: PERSONAL DATA AND INFORMATION.

Genghis Capital (GCL) collects and processes personal information that's treated with strict confidentiality. This is in line with the privacy policy statement in our website and our Data Privacy policy. Within GCL, your personal data can be accessed only by individuals who need to have access owing to their role and for official business purposes. All these people are bound by a duty of confidentiality.

GCL will only collect and process your personal information for the reason you provided it to us, or to enable us to comply with the requirements of specific laws and/or regulations that we are governed by.

GCL will not collect and process personal information about you that we do not need. The general purposes for which GCL collects and processes your personal information is but not limited to:

1. Creating a record of you on our system to verify your identity, communicate with and keep you informed about the product(s) applied for;
2. Identifying you and verifying your physical address,
3. Identifying your source of income and similar information;
4. Assessing your personal financial circumstances and needs before providing advice to you;
5. Any purpose related to the prevention of financial crime, including sanctions screening, monitoring of anti-money laundering and any financing of terrorist activities;

There are some personal information fields that are mandatory to be on boarded as a client. This information can be provided in writing or electronically, but it must be accurate and complete. Furthermore, if GCL does not receive the necessary personal information, we will not be able to continue with your application. If you are already a customer and GCL asks you for this information and you do not provide it, GCL will have to suspend the provision of the product and/or services for a period of time, or as the case may be, even terminate our relationship with you.

GCL may use and keep your information for as long as necessary or allowed per the relevant statutory legislations, including when you are no longer a client for purposes of but not limited to; it's a legal and regulatory requirement, crime prevention, internal processes, research.

GCL must comply with national and international laws, regulations, policies, rules and requirements to prevent criminal activities, money laundering and terrorist financing, sanctions and prohibited business activity laws and rules violations. GCL must therefore check all information from and about you and monitor and screen your information, instructions and transactions on an ongoing basis. This may cause some delays in transactions that you make or accounts you apply for. Genghis Capital Limited may also have to end its relationship with you. GCL is not responsible for any losses or damages that you suffer due to any of the mandatory and required checks or by GCL ending the relationship. This includes any loss of profits or savings that you could have expected to make.

We will not process your personal information unless you have consented to GCL processing it.

You hereby voluntarily provide informed consent for the processing of your personal information as per this Application, for the purposes of the investment, services and/or products .

## SECTION 13: DECLARATION

1. I declare that the information in this application is true, correct and accurate and that I will supply Genghis Capital with an further information if necessary due to changes of the above
2. I apply for investments into the Genghis Capital Unit Trust Fund on the terms, conditions and regulatory information set out in the information memorandum and the other incorporation documents
3. I have read and understood the information memorandum and the charges connected with Genghis Capital Unit Trust Fund.
4. I hereby confirm that the money used for these investments does not arise from any money laundering and other illicit activities
5. I consent to the disclosure of this information for compliance purposes other services providers handling the Genghis Capital Unit Trust Fund
6. I agree that all proceeds from redemptions and income distribution will be paid in accordance to the applicable payment instructions or law of the land
7. I hereby confirm to have received information on the fund's investment objective, involved risks, handling of income accruals, charges and pricing
8. I agree that Genghis Capital Ltd. Is not responsible for any liability, losses, or damages resulting from email fax or online instructions, except when such liability or loss results from negligence or willful default on Genghis Capital's part
9. I confirm that I have read and understood these declarations and their implications

## SECTION 14: TERMS AND CONDITIONS

1. Units are traded at the daily ruling price and will be repurchased by the fund administrator, Genghis Capital Ltd., in accordance with the Capital Markets (Collective Investments Schemes) Regulations, 2001 and on terms and conditions set out in the relevant Trust Deed
2. Completed application forms and notification of deposits/ cleared funds must be received for the investments to be executed, subscriptions monies in cleared funds received will be dealt with on the next dealing day
3. The investor applies to invest in the one of the sub-funds of the collective investments scheme (the Genghis Capital Unit Trust Fund) in accordance with the provisions of the Umbrella Trust Deed and the respective Supplemental Trust Deed and the net asset value (NAV) at the close of business on the date of receipt of the money by Genghis Capital, or receipt of this application, whichever is later, provided it is received after 9:00 am the following day's net asset value will be used to calculate the purchase value of the respective unit trust product(s).
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 email, and that such instructions are complete and correct in all respects
5. The investor acknowledges the inherent risk associated with the selected unit trusts(s). The investor furthermore agrees that Genghis Capital Ltd. Will not be liable for the consequences of market influences and consequent changes in unit prices. The investor bears the complete risk. Neither Genghis Capital nor the Genghis Capital Unit Trust Fund will be responsible for any loss, consequential or otherwise arising from changes in tax or other legislation that may have an effect on the investment returns of the unit trust(s)
6. The investor is entitled to any information the law requires a collective investments schemes provider to disclose. Genghis Capital Ltd. Is obliged to obtain and transmit such information if the investor requests it.
7. Once an account has been opened, a statement of investments will be sent to the investor on a monthly basis via email. Copies of statements are available to investor on request from Genghis Capital Ltd
8. Genghis Capital reserves the right to withhold processing of any unclear, incomplete or ambiguous instructions forwarded by the investor.
9. Genghis Capital or the Genghis Capital Unit Trust Fund will not be liable for any loss incurred due to incorrect information being supplied by the investor
10. Please note that past performance is no indication of future results and that investing in a unit trust scheme constitutes a risk for your invested capital. This document does not constitute a distribution recommending the purchase or sale of any security or portfolio. Please be advised that the Genghis Capital Unit Trust Fund Information Memorandum contains all information necessary to evaluate our unit trust and should be read before investing. We recommend that you consult your own independent financial advisor to obtain professional advice before exercising any decisions based on the information present in this document.

Name of client: \_\_\_\_\_

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

Date:

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dd/mm/yyyy

## SECTION 15: CHECKLIST: KYC REQUIRED

The following are account opening requirements for individual applicants and corporate applicants (to be ticked by Financial Advisor or Agent):

### Individual Applicants

- Two colour passport- sized photos
- National ID/ Passport Copy
- PIN Certificate Copy
- Birth Certificate of Minor (if applicable)
- Tax Exemption Certificate (if applicable)
- Next of kin details - Name, Mobile number and relationship
- Bank, residential details and source of income
- Proof of bank details either a certified copy of the statement, a cancelled cheque or scanned copy of the ATM card.

### Self Help groups/ Informal Agreements/ Welfare societies

- National ID/Passport copy of each signatory
- Two colour passport sized photo of each signatory
- Committee resolutions on approval of account opening
- List of approved signatories and their specimen signatures
- Constitution of governing the group (if none, should be stated)
- Certificate of registration

### Partnership (for each partner)

- National ID/Passport copy of each signatory
- Two Colour Passport-sized photos of each signatory
- Committee resolution mandating investments of funds
- List of approved signatories and their specimen signatures
- Constitution of group or statement that there is no existence of such a constitution
- Certificate of registration
- Copy of PIN Certificate

### Corporate & Institutional, Trusts (Local and East African)

- National ID/Passport copy of each director and signatory
- Colour Passport-sized photos of each director and signatory
- Copy of Memorandum and Articles of Association
- Board resolution on approval of account opening
- List of approved account signatories and their specimen signatures
- Copy of Certificate of incorporation
- Copy of PIN Certificate

### Foreign Corporate/Institutional

- National ID/Passport copy of each director
- Two Colour Passport-sized photos of each director
- Copy of Memorandum and Articles of Association
- Evidence of residence of director (Utility bill-last three months, no mobile phone bills accepted)
- Evidence of residence of company/ institution
- Evidence of income of the company (Bank statement)
- Board resolution on approval of account opening
- Power of attorney stating mandate given to local representative
- Copy of Certificate of incorporation
- All documents to be certified by a public notary
- Copy of PIN Certificate

All registered clients and corporate clients will be charged search fees payable to the registrar as determined by management.

## SECTION 16: UTF Administration

Checked by UTF Officer

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

Date:

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dd/mm/yyyy

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

Official Stamp: \_\_\_\_\_