

ICEA LION UNIT TRUST FUNDS

Application Form

Individual



ICEA LION
ASSET MANAGEMENT

FOR OFFICIAL USE ONLY

FAILURE TO DISCLOSE RELEVANT INFORMATION MAY DELAY THE PROCESSING OF YOUR CLIENT'S APPLICATION.

If you make any mistakes while completing this form, please cross out the error and write the new information CLEARLY. Each correction must be countersigned by the person(s) completing the form. DO NOT use correction fluid or other ways of deleting incorrect information.

TO BE COMPLETED BY INDIVIDUAL/JOINT APPLICANT(S)

Introducing Agent

Agent's Name & Branch

RETIREMENT SOLUTIONS INSURANCE AGENCY

Agent's Code No.

Agent's Signature

Unit Leader's Name

Additional information/Special instructions

Please complete all sections

Failure to provide all relevant information and documentation will result in a delay in processing the application form. Further information may be required during the validation process (i.e. questions arising from the information provided). Please note that even if the investment has been received and banked, the purchase note will not be issued until all documentation has been received and validated.

Tick Box

Section 1: Details of applicant

Section 2: Risk assessment questionnaire

Section 3: Investment details

Section 4: Declarations

Copy of client ID/Passport

Copy of bank statement (or suitable alternative) to verify bank details

Method of payment

PIN Certificate

Utility Bill/ Tenancy Agreement/Physical Address Form

1. SECTION 1: DETAILS OF THE APPLICANT(S)

If you make any mistakes while completing this form, please cross out the error and write the new information CLEARLY. Each correction must be countersigned by the person(s) completing the form. DO NOT use correctional fluid or other ways of deleting the incorrect information.

PLEASE USE CAPITAL LETTERS

	<i>First (or only) Applicant</i>			<i>Second Applicant</i>		
Title	Mr.	<input type="text"/>	Mrs.	<input type="text"/>	Ms.	<input type="text"/>
	Other please specify <input type="text"/>			Other please specify <input type="text"/>		
Surname	<input type="text"/>			<input type="text"/>		
Other Name(s)	<input type="text"/>			<input type="text"/>		
Marital Status	<input type="text"/>			<input type="text"/>		
Date of Birth	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
ID/Passport No.	<input type="text"/>			<input type="text"/>		
Country of Residence	<input type="text"/>			<input type="text"/>		
Residential Address	<input type="text"/>			<input type="text"/>		
Postal Address	<input type="text"/>			<input type="text"/>		
Postal Code	<input type="text"/>			<input type="text"/>		
Email Address	<input type="text"/>			<input type="text"/>		
Telephone No. (Work)	<input type="text"/>			<input type="text"/>		
Telephone No. (Home)	<input type="text"/>			<input type="text"/>		
Cell Phone No.	<input type="text"/>			<input type="text"/>		
Fax No.	<input type="text"/>			<input type="text"/>		
Beneficiaries (Name)	<input type="text"/>			<input type="text"/>		
Relationship	<input type="text"/>			<input type="text"/>		
Address	<input type="text"/>			<input type="text"/>		
Telephone	<input type="text"/>			<input type="text"/>		
Beneficiaries (Name)	<input type="text"/>			<input type="text"/>		
Relationship	<input type="text"/>			<input type="text"/>		
Address	<input type="text"/>			<input type="text"/>		
Telephone	<input type="text"/>			<input type="text"/>		

In case of more beneficiaries please put in writing on a separate page.

2. SECTION 2: RISK ASSESSMENT QUESTIONNAIRE

1. When you think of the word 'risk' what comes to mind first?

- Loss (0)
- Uncertainty (1)
- Opportunity (2)
- Thrill (3)

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

- No (0)
- Yes (1)

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

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

4. When making an investment, how long do you plan to hold it for?

- 0-1 years (1)
- 1-2 years (2)
- 3-5 years (3)
- 5+ years (4)

5. Which of the following most accurately describes your general attitude towards investing?

- In order to minimize fluctuations in my investments, I am willing to accept lower returns in the long run (1)
- I am willing to accept possible fluctuations in my investments in order to earn moderate returns over the long run (2)
- I am willing to accept fluctuations in my investments in order to earn above average potential returns over the long run (3)
- I am willing to accept large and occasionally drastic fluctuations in my investments in order to earn higher potential returns over the long run (4)

6. If the value of your investment went down by about 20%, what would you do?

- I would buy more of the investment (1)
- I would sell all of the investments (3)
- I would sell some of the investments (2)
- I would hold on to the investment (4)

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

- 0-1 years (1)
- 1-2 years (2)
- 3-5 years (3)
- 5+ years (4)

8. How would you describe your investment style?

- Conservative (0)
- Moderate (1)
- Aggressive (2)

9. How do you feel about the following statement? Maintaining the principal of my investment account is more important than achieving significant growth

- Strongly agree (1)
- Agree (2)
- Somewhat agree (3)
- Disagree (4)

10. As an investor, during an economic downturn how would you react?

- I would wait for things to start looking up, and then invest (1)
- I would quickly sell off my existing investment (2)
- I would immediately invest or add more money to my investment (3)
- I would hold all of my investment (4)

POINTS	5-15	16-25	26-35
PROFILE	Conservative	Moderate	Aggressive
Risk category details	Conservative investors are investors who want stability and are more concerned with protecting their current investments. A conservative investor is generally seeking to preserve capital and as a trade-off is usually prepared to accept lower investment returns.	Moderate investors are usually medium term investors who want to protect their capital and achieve some real increase in the value of their investments. This investor is seeking a diversified portfolio with exposure to a broad range of investment sectors.	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.

Client's signature:.....

PAYMENT INSTRUCTIONS

1. Direct Debits

I/we hereby authorize ICEA LION Asset Management to debit Kshs. from the bank account provided below on the 1st 5th 10th 15th 20th 25th of every month beginning from.....

Please note that the cost of the direct debit will be borne by ICEA LION Asset Management.

2. Electronic Transfer/ Telegraphic Transfer

Payments can be made directly into the inflow accounts in which case the transfer confirmation details must be attached to the application form. Please note that the bank deposit slip will be deemed as a receipt but not as value by ICEA LION Asset Management Limited.

3. Cheque

ICEA LION Asset Management accepts personal, corporate and banker's cheques payable to the relevant unit trusts.

4. M-PESA

Payments can be made via M-PESA paybill no 974200. For new accounts, enter the account no as 109000. All M-PESA payments have to be made from investor's phone number.

NOTE: All cash payments must be made at the bank by the applicants. Account details are indicated on the application form. ICEA LION Agents and intermediaries are not authorized to handle cash.

REGULAR INVESTMENT TOP UP

TOP UP THROUGH	FUND NAME	AMOUNT (KSH)
Direct debit <input type="checkbox"/>		
Check off <input type="checkbox"/>		
M-PESA <input type="checkbox"/>		

*For regular top up via direct debits or check off, please fill in the respective form.

BANK ACCOUNT DETAILS OF TRUST

International Payments:

(Swift Code- SCBLKENXSSU)

Fund	Account number	Bank	Branch	Branch Number	Clearing Code
ICEA LION Equity Fund	0105016761100	Standard Chartered Bank	CSC Head Office	078	02
ICEA LION Growth Fund	0105016761000	Standard Chartered Bank	CSC Head Office	078	02
ICEA LION Bond Fund	0105016761300	Standard Chartered Bank	CSC Head Office	078	02
ICEA LION Money Market Fund	0105016760900	Standard Chartered Bank	CSC Head Office	078	02
ICEA LION Unit Trusts	0105016761200	Standard Chartered Bank	CSC Head Office	078	02

BANK ACCOUNT DETAILS OF APPLICANT(S)

Bank Name	
Account Holder's Name	
Branch Name	
Bank Code	
Account Number	
Account Type	
Bank Address	
Swift Code	

4. SECTION 4: DECLARATIONS

- a) I/We warrant that I am/we are duly authorized to apply for ICEA LION Unit Trusts on the terms and conditions set out in the Information Memorandum.
- b) I/We have read and understood the Information Memorandum, the relevant trust deed for the particular ICEA LION Unit Trust Fund, the charges made by ICEA LION Asset Management Limited and the terms and conditions of this application.
- c) I/We confirm that the units are not being acquired directly or indirectly by/or on behalf of any person(s) restricted by law of any jurisdiction from acquiring such units and that I/we will not sell, transfer or otherwise dispose of such units directly or indirectly for the account of such persons.
- d) I/We hereby confirm that the money used for the investments in ICEA LION Unit Trust Fund is not arising out of money laundering or other illicit activities.
- e) I/We hereby confirm that ICEA LION, the manager, Trustee and the Administrator are each hereby authorized and instructed to accept and execute any instructions in respect of the units to which this application relates to, given by me/us in writing, fax or email. I/we hereby indemnify ICEA LION, the Manager the trustee and the Administrator and agree that they are not responsible for any liability, losses or damages resulting from email or fax instructions.
- f) I/We warrant that all information given in this proposal and in all documents which have been or will be signed by me/us in connection with the proposed application is true and complete.
- g) I/We note that past performance is no indication of future performance.
- h) I/We note that the value of units may go down as well as up as a result of change in the value of the underlying investments and there is no guaranteed return.

PREFERRED MODE OF CONTACT

Please tick how would you like to receive communication such as statements, updates etc.

- E-mail
- Text message
- Post (Attracts a postage fee)

SIGNING ARRANGEMENT / ACCOUNT MANDATE

All instructions to ICEA LION Asset Management regarding this account must be given by:

The Applicant only Both Applicants (incase of joint account)

All Applicants (incase of multiple account)

Special Signing arrangement (Please specify)

I/We the undersigned confirm that we have read and understood this declaration and its implications.

Signature of applicant/authorized signatories

Applicant 1 Signature Date

Applicant 2 Signature Date

3. SECTION 3: INVESTMENT DETAILS

Equity Fund

The fund is suitable for investors seeking long term capital growth. The fund aims to offer superior returns over the long term by maximizing the long term capital growth. The fund invests primarily in listed companies on the Nairobi Securities Exchange.

Recommended investment Horizon: Long term (3-5 years)

Risk Level: Medium - High Risk

Fee Structure

- Initial fee - 5%
- Management Fee - up to 2% per annum

I/We confirm that I/we have read and understood the above features and are ready to invest in the ICEA LION Equity Fund

Investment Amount

Signature

Growth Fund

The fund is suitable for investors seeking a balanced portfolio. The Fund invests primarily in listed companies on the Nairobi Securities Exchange as well as interest bearing assets like fixed deposits and bonds.

Recommended investment Horizon: medium-long term (3-5 years)

Risk Level: Medium Risk

Fee Structure

- Initial Fee: 5%
- Management Fee: up to 2% per annum

I/We confirm that I/we have read and understood the above features and are ready to invest in the ICEA LION Growth Fund

Investment Amount

Signature

Money Market Fund

The fund is suitable for investors seeking liquidity, regular interest and capital preservation. The fund invests primarily in interest bearing assets like fixed deposits and short term bonds.

Recommended investment Horizon: Short- Medium term

Risk Level: Low Risk

Fee Structure

- Initial Fee: 0%
- Management Fee: up to 2% per annum

I/We confirm that I/we have read and understood the above features and are ready to invest in the ICEA LION Money Market Fund

Investment Amount

Signature

Bond Fund

The fund is suitable for investors seeking to invest in a diversified portfolio of bonds that offer regular income. It invests primarily in a diversified portfolio of treasury and corporate bonds.

Recommended investment Horizon: Medium-Long term (2-3years)

Risk Level: Medium-High Risk

Fee Structure

- Initial Fee: up to 2%
- Management Fee: up to 2% per annum

I/We confirm that I/we have read and understood the above features and are ready to invest in the ICEA LION Bond Fund

Investment Amount

Signature

Source of funds

- Salary/Savings
- Rental/Disposal of Property
- Sale of an Investment Portfolio
- Gift/Inheritance

- Pension
- Loan
- Betting/Lottery
- Other (Please Specify)
-
-



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ICEALION



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investment security