

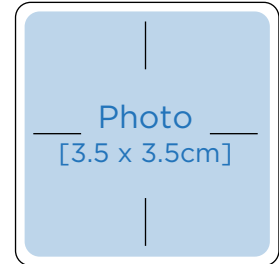


### Select a Product

Pesa+  Pata+  Chama+

New Client  Account Number   
(For Existing Investors)

Date:



### > Investor Details

Title:  Surname:  Other Name(s):

Date of Birth:  Gender: Male  Female  ID/Passport No.

Nationality:  Country Of Residence:  Pin No.

Mobile No.  Email Address:

Marital Status: Single  Married  Divorced  Others(Specify)

Postal Address:  Code:  Town:

Employment status: Employed  Self Employed  Unemployed  Retired

Employer's Name:  Occupation:

Employer's Postal Address:  Tel No.

Employer's Physical Address:

Type of Business:  Industry:

### > Source of Funds

**The funds for these investments are from** (please tick)\*

Salary  Rental/Property Sale  Sale of Shares  Dividends  Loan

Maturing Investments  Retirement Benefits  Gifts/Bonuses  Inheritance

Others (Please Specify)

*\*Please note that Sanlam Investments East Africa reserves the right to seek further information or documentation on the source of funds to be invested.*

### > Customer's Bank Details

Account Name:

Account Number:

Bank Name:

Bank Branch:

Signature of Applicant/authorised signatories

in accordance to mandate provided \_\_\_\_\_

*Any instructions of change of bank details MUST be provided in writing with certified proof*

## > Investment Details

Minimum investment amount is Kshs. 2,500 for each of the Sanlam Unit Trust Funds

NAME OF FUND	AMOUNT	INITIAL FEES	ANNUAL MANAGEMENT FEES
Sanlam Money Market Fund (Pesa+)		NIL	1.2%
Sanlam Dividend Plus Fund (Pata+)		3%	2%
Sanlam Balanced Fund (Chama+)		3%	2%
<b>Total Amount Invested</b>			

Total Amount in Words:

Unit holders shall be granted one free withdrawal a month to the designated bank account. Any additional withdrawal will be subject to a frequency charge of **Kshs 500**.

Payment Method (Please tick)

Cheque Deposit  Direct Cash  Direct Transfer  M- Pesa

Re-invest? Yes  No

## > Bank Account Details

Sanlam Investments East Africa Limited accepts personal/corporate and bankers cheques payable to the Sanlam Unit Trust A/C. The Bank Account details are listed below.

Account Name	SANLAM UNIT TRUST
Account No.	0100003738118
Bank	Stanbic Bank
Branch	Kenyatta Avenue
Swift Address	SBICKENX
Bank Code	31002
M- PESA Pay Bill Number	888111

## > Statement and other Correspondence

All statements, reports and notices will be sent by default through e-mail. Please ensure your current address is correctly entered. If no e-mail is provided, you will incur postal charges for all correspondents.

Preferred mode of receiving monthly correspondence: Email: **free**  Post: **kshs. 50**

## > Beneficiaries

	Beneficiary 1	Beneficiary 2	Beneficiary 3
Name			
Date of Birth			
Postal Address			
Identification No.			
Tel/ Mobile No.			
Percentage Share (%)			
Relationship			
Email Address			

Guardian (For minor beneficiaries i.e below 18 years)

Full Name	ID Number / Passport Number	Date of Birth
Relationship to Minor	Telephone / Mobile Number	Gender

> **General Details**

Have you previously invested in Sanlam Unit Trusts? Yes  No   
Are you an employee of Sanlam Investments East Africa Limited? Yes  No   
How did you hear about Sanlam Unit Trusts? Radio  TV   
Newspaper  Word of mouth  Internet   
Other (Please State)  \_\_\_\_\_

> **Self Certification (Tax Status)**

Are you registered for tax in Kenya? Yes  No   
Are you registered for tax in any other country? Yes  No

If "Yes", please provide your Tax Identification Number for each country (or reason why none has been issued).

Country of tax residence	Tax Identification No.	OR Reason	Tax No. Not Applicable

> **Residential Address Enquiry**

Land Registration (L.R) Number:   
Estate:   
House Number :  Road:   
Town/Area:

I write to confirm that the above is a description of my current residential address. This description is provided as I do not have any utility bill that may be used to verify my current residential address.



**1. What is your age bracket?**

- a. 18 – 30 years
- b. 31 - 45 years
- c. Over 45 years

**2. How long do you want to invest?**

- a. Above 3 years
- b. 1-3 years
- c. 0 – 1 years

**3. Have you ever invested in any of the investments below?** (Please tick where applicable)

Fixed Deposit  Land/House  Shares  T/Bills or T/Bonds  Unit Trusts

- a. More than 3 investments categories
- b. More than 1 - 3 of the above
- c. None of the above
- d. Others (please state)  \_\_\_\_\_

**4. What type of savings or investments do you currently hold?** (Please tick where applicable)

Fixed Deposit  Land/House  Shares  T/Bills or T/Bonds  Unit Trusts

- a. More than 3 investments categories
- b. More than 1 - 3 of the above
- c. None of the above
- d. Others (please state)  \_\_\_\_\_

**5. What do you expect of your income in the next one to three years?**

- a. Increase
- b. Stay about the same
- c. Decline / stop

**6. Approximately what percentage of your total assets (excluding your house) will this investment represent?**

- a. Less than 10%
- b. 10% to 25%
- c. 26% to 50%
- d. 51% and above

**7. Would you say you have?**

- a. A sound and good understanding of investments and financial markets
- b. A basic understanding of investments and financial markets
- c. Very little knowledge of investments but have an interest
- d. No interest or knowledge of any investments

**8. If your investment fell by 20% over the course of three months, how would you react?**

- a. Buy more of the same as it must be a cheap time to buy
- b. Concerned, but remain invested to see it improve in the near future before taking any action
- c. Disappointed and cut my losses and transfer immediately to a more stable investment

**9. What attracts you to an investment?**

- a. Its good return, regardless of the risk
- b. A combination of security and income
- c. Purely security

**10. Do you have other source savings you can access immediately?**

- a. Yes I have an adequate fund to last me more than 1 year
- b. Yes, but less than 6 months worth
- c. No

**11. When do you expect to need most of your money from this investment?**

- a. Above 3 years
- b. 1 to 2 years
- c. Less than one year

> Key

**a = 3 b = 2 C = 1 D = 0**

**Kindly ADD all your scores and divide the total by 11**

(Note your score should fall within the risk rating column)

Risk Rating	Fund	Description	Fund Objectives
0-1.6	Sanlam Money Market Fund (Pesa+)	Low	<ul style="list-style-type: none"><li>• Above inflation level of current income</li><li>• Low risk</li><li>• Ideal for preserving capital and liquidity while earning a competitive return relative to comparative products</li></ul>
1.68 - 2.35	Sanlam Dividend Plus Fund (Pata+)	Low-medium	<ul style="list-style-type: none"><li>• Stable income stream</li><li>• Low to medium risks</li><li>• Ideal for growing assets while earning a periodic and stable income</li></ul>
2.36 - 3	Sanlam Balanced Fund (Chama+)	Medium	<ul style="list-style-type: none"><li>• Moderate to high level of current income</li><li>• Moderate risk</li><li>• Ideal for medium to long-term investors seeking a competitive income return and capital appreciation</li></ul>

**I understand my risk level and I have chosen to invest the following funds.**

Pesa+: Kshs

Pata+: Kshs

Chama+: Kshs

I apply for investments into Sanlam Unit Trust Funds on the terms, conditions and regulatory information set out in the information memorandum. The information is available at Sanlam Investments offices.

I have read and understood the information memorandum, the charges made by Sanlam Investments East Africa Limited and the terms and conditions of this application.

I confirm that the units are not being acquired directly or indirectly by or on behalf of any person restricted by the law of any jurisdiction from acquiring such units and that I/we will not sell, transfer or otherwise dispose of any such units directly or indirectly to or for the account of such person.

I hereby agree that all proceeds for redemption and income distribution will be paid in accordance to the applicable payment instructions.

Your tax residence is generally the country in which you live for more than half of any year and in which you pay tax. Special circumstances (such as studying or working outside of your country or extended travel) may cause you to be resident elsewhere or resident in more than one country at the same time (dual residency).

I confirm that the money used for the investment in the Sanlam Unit Trust Funds are not arising out of the proceeds of any money laundering or other illicit activities.

I agree that Sanlam Investments East Africa is not responsible for any liability, losses or damages resulting from e-mail or fax instructions, except when such liability or loss results from negligence, or willful default on Sanlam Investments East Africa Limited part.

I warrant that all the information given on this proposal and in all documents which have been or will be signed by me in the connection with the proposed application whether in my hand or not, is true and complete.

**I THE UNDERSIGNED CONFIRM THAT I HAVE READ AND UNDERSTOOD THIS DECLARATION AND ITS IMPLICATIONS.**

Signature of Applicant: \_\_\_\_\_

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

Date:

**> For Official Use Only**

**1. KYC Documents**

- I.) Certified Copy of National ID or Passport
- II.) Certified Passport size photo
- III.) Copy of PIN Certificate
- IV.) Copy of Tax Exemption Certificate [If applicable]

**2. Proof of banking details**

- I.) Certified Copy of ATM Card or Certified Copy of Bank Statement or original Cancelled Cheque.

**3. Proof of investment** i.e. M- pesa transaction number. Cheque or RTGS. Cheques should be written in the name of Sanlam Unit Trust.

**I hereby confirm that all the above documents (where applicable) have been attached.**

Financial Advisor Name: \_\_\_\_\_

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

Date:

**> Signed By**

Administrator (Name): \_\_\_\_\_

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