

▶ CBA Unit Trust Investor Application Form





UNIT TRUSTS

Investor Application Form

INDIVIDUAL APPLICANT

Title: _____ Surname _____

Other Name(s) _____

Date of Birth

DDMMYYYY

Gender

M

F

Identification medium

I.D. Card

Passport

ID/Passport Number
(Please attach photocopy)

XXXXXXXXXXXX

Nature of Occupation/Business

Marital Status

Signature _____

Postal Address

Code:

E-mail Address (For official correspondence)

Telephone Number (Work)

()

Telephone Number (Home)

()

Mobile No.

()

Facsimile No.

()

JOINT APPLICANT(S) *(To be filled out by applicants who would like to be joint holders to the above account. A maximum of three people may be joined to the applicant.)*

Mandate _____

N.B To change any information provided in this form, ALL joint holders must sign.

FIRST APPLICANT

Title: _____ Surname _____

Other Name(s) _____

Date of Birth

DDMMYYYY

Gender

M

F

Identification medium

I.D. Card

Passport

Postal Address

Code:

E-mail Address (For official correspondence)

Telephone Number (Work)

()

ID/Passport Number
(Please attach photocopy)

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Telephone Number (Home)

()

Mobile No.

()

Facsimile No.

()

Nature of Occupation/Business

Marital Status

Signature

SECOND APPLICANT

Title:

Surname

Postal Address

Other Name(s)

Date of Birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Gender

M

F

Code:

Country of Residence

E-mail Address

Identification medium

I.D. Card

Passport

Telephone Number (Work)

()

ID/Passport Number
(Please attach photocopy)

--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--	--

Telephone Number (Home)

()

Mobile No.

()

Nature of Occupation/Business

Marital Status

Signature

THIRD APPLICANT

Title:

Surname

Postal Address

Other Name(s)

Date of Birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Gender

M

F

Code:

Country of Residence

E-mail Address

Identification medium

I.D. Card

Passport

Telephone Number (Work)

()

ID/Passport Number
(Please attach photocopy)

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Telephone Number (Home)

()

Mobile No.

()

Nature of Occupation/Business

Marital Status

Facsimile No.

()

Signature

CORPORATE APPLICANT (To be filled out by Companies, NGOs, Associations, Societies, Partnerships and Trust Funds. In case of more than three directors/authorized signatories, please attach details on a separate sheet.)

Company/Organisation Name:

Postal Address

Registration Number

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(Please attach certified copy of incorporation/registration certificate)

Code:

Telephone Number

()

Mobile No.

()

Facsimile No.

()

Contact Person:

Position in Organisation

Signing Mandate:

AUTHORISED SIGNATORIES

Title:

Surname

Date of Birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Other Name(s)

Country of Residence

Position in Company/ Organization

ID/Passport Number

(Please attach photocopy)

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Signature

Title:

Surname

Date of Birth

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Other Name(s)

Country of Residence

Position in Company/ Organization

ID/Passport Number

(Please attach photocopy)

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Signature

Title:

Surname

Date of Birth

--	--	--	--	--	--	--	--

Other Name(s)

Country of Residence

Position in Company/ Organization

ID/Passport Number

(Please attach photocopy)

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Signature

INVESTMENT DETAILS (Minimum investment amount is Kshs. 100,000/= for each of the CBA Unit Trust Funds.)

CBA Money Market Fund

The objective of the CBA Money Market Fund is to generate total return through investing in a range of securities, fixed deposit instruments and near cash instruments in the Kenyan market, while providing the most conservative risk exposure to investors. This Fund is suitable for the low risk investor who prefers stability and security. It is a medium to long term investment fund.

CBA Equity Fund

The objective of the CBA Equity Fund is to generate long-term capital growth by investing principally in a well diversified portfolio of equities i.e. stocks and shares across several sectors of the Kenyan economy, in earnings of corporations and assets with medium to high risk profile. This Fund is suitable for the investor who is seeking long-term growth through dividends and capital gains from an actively managed stock portfolio. Recommended investment period is at least 4 years.

FUND CHARGES

A service fee of 2% p.a is applicable to the CBA Money Market Fund and the CBA Equity Fund. Amounts of kshs. 10,000,000 and above invested in the CBA Money Market fund will have a discounted service fee of 1.75% p.a.

An initial fee is chargeable on the CBA Equity Fund only, on a weighted average basis, as per the table below:

Investment Amount	Initial Fee Applied
Kshs. 100,000 - Kshs. 999,999	5%
Kshs. 1,000,000 - Kshs. 2,999,999	4.75%
Kshs. 3,000,000 - Kshs. 4,999,999	4.5%
Over Kshs. 5,000,000	4%

Note: Please note that fund charges may change from time to time depending on market fundamentals

PLEASE NOTE THE FOLLOWING:

- Yields are quoted NET of all taxes and fees.
- The prices of the CBA Equity Fund and yields on the CBA Money Market Fund may change on a daily basis. Price of units may go up as well as down as a result of changes in the value of the underlying investments.
- There are no guarantees on the client's capital invested. The performance of the underlying investment vehicles determines the value of your Unit Trust investments.
- Past performance is not necessarily a guide to future investment performance.

TICK BOX	NAME OF FUND	SIGN	AMOUNT	DATE
	CBA Money Market Fund			
	CBA Equity Fund			
	Total Amount invested			
	Total Amount invested in words:			

Payment method: (Please tick)

Cheque

Cash

Local Transfer

International Transfer

CBA accepts personal/corporate and banker's cheques payable to the ACCOUNT NAME of the fund in which you intend to invest in. NO THIRD PARTY CHEQUES will be accepted. The Bank Account details are as listed below. 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 CBA.

Investment in CBA Money Market Fund
 Account Name: CBA Money Market Fund
 Bank: Commercial Bank of Africa
 Account No. KES155300001

Investment in CBA Equity Fund
 Account Name: CBA Equity Fund
 Bank: Commercial Bank of Africa
 Account No. KES159030001

SOURCES OF FUNDS:

CBA reserves the right to seek further information/documentation on the source of funds to be invested

The funds for this investment are from: (Please tick)

Sale of an investment portfolio Gift or Inheritance Disposal of Property Savings

Other (Please state) _____

Nature of Business: _____

CASH FLOW PLANS (This is a regular withdrawal where a specific amount as required is paid out to your bank account or switched out to an alternative fund regularly)

FUNDS	AMOUNT	Transaction type: (Please tick)		If Switch, designation Fund	Frequency: (Monthly/quarterly)
		Switch	Redemption		
	Kshs.	Switch	Redemption		
	Kshs.	Switch	Redemption		
	Kshs.	Switch	Redemption		

INCOME DISTRIBUTION

Interest/Dividends will be reinvested monthly for the CBA Money Market Fund, semi-annually for the CBA Equity Fund, unless you tick the box below, in which case the amount distributed will be sent to your bank account on the file. Please note that automatic re-investment will provide you with maximum compound growth.

Please send income distribution amounts to my bank account on file: (Please tick where applicable)

CBA Money Market (Monthly)

CBA Equity Fund (Semi-Annually)

BANK DETAILS

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

Account Holder: _____

Account No: _____

Bank Name: _____ Bank Branch: _____

Account Type: Current Savings
 (please tick)

Signature(s) of applicant / authorized signatories according to mandate provided.

(Any change of Bank details above must be provided in writing with adequate proof)

STATEMENT AND OTHER CORRESPONDENCE: (All statements, reports and notices will be sent through e-mail. please ensure your address is correctly entered. If no e-mail address is provided or the post check box is ticked, you will incur postal charges for all correspondence.)

Preferred mode of receiving monthly correspondence. E-mail Post

BENEFICIARY DETAILS (Please enter beneficiary details if applicable. In case of more beneficiaries, provide details on a separate sheet)

Name _____	Date of Birth _____		
Address _____	ID/Passport No _____	% split	<input type="text"/>
Name _____	Date of Birth _____		
Address _____	ID/Passport No _____	% split	<input type="text"/>
Name _____	Date of Birth _____		
Address _____	ID/Passport No _____	% split	<input type="text"/>
Name _____	Date of Birth _____		
Address _____	ID/Passport No _____	% split	<input type="text"/>

GENERAL DETAILS (Please tick where applicable)

Have you previously invested in the CBA Trust Funds? YES NO

Are you a CBA employee? YES NO

How did you hear about CBA Unit Trusts?

Press
 Radio
 TV
 Word of mouth
 Internet

DECLARATIONS

Kindly go through the declaration given below and sign your acceptance.

- I/we confirm that I/We received clear explanations and understanding on the investment products before signing.
- I/We confirm that the products were fully explained to Me/Us with particular attention having been paid to its charge structure and any possible cancellation penalties that I/We may incur.
- I/We confirm that it was explained to Me/Us that unit/fund values may go down as well and past performances are not necessarily a guide to future performance.
- Whilst projections of future performances may have been shown to me illustrating annual/monthly growth rate, no guarantees as to the actual performance of my investment were made.
- I/We understand that CBA does not act as a stockbroker and cannot at any one time buy or sell shares, but has sub-contracted a Fund Manager to manage and administer its Unit Trust Funds.
- I/We apply for investments into CBA Unit Trust Funds on the terms, conditions and regulatory information set out in the brochure.
- I/We have read and understood the brochure, the charges made by CBA and the terms and conditions of this application
- I/We confirm that the units are not being acquired directly or indirectly by or on behalf of any person restricted by 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/We hereby agree that all proceeds for redemptions and income distribution will be paid in accordance to the applicable payment instructions.
- I/We confirm that the money used for investments in the CBA Unit Trust are not arising out of proceeds of any money laundering or other illicit activities.
- I/We agree that CBA 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 CBA's part.
- I/We warrant that all the information given in this proposal and in all documents which have been or will be signed by me/us in connection with proposed application whether in my handwriting or not, is true and complete.

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

(Signature of applicant / authorized signatories)

Name _____ Signature _____ Date _____

Name _____ Signature _____ Date _____

Name _____ Signature _____ Date _____

Checklist

All Applicants	Check Box
Photocopy of Kenyan National ID/valid passport are attached for all the signatories	<input type="checkbox"/>
Cheque, Bank transfer confirmation, direct deposit slip or any other applicable proof of investment is attached	<input type="checkbox"/>
A certified photocopy of a recent bank statement or certified copy of a void/cancelled cheque or a certified photocopy of an ATM card as proof of the given bank details.	<input type="checkbox"/>
Corporate	Check Box
Board resolution mandating investment of funds and authorized signatories	<input type="checkbox"/>
Certified photocopy of registration/ incorporation certificate	<input type="checkbox"/>
Association/Societies	Check Box
Resolution by board of trustees/letters from chairperson (where applicable) authorizing investment and giving mandate signatories.	<input type="checkbox"/>
Certified photocopy of registration certificate	<input type="checkbox"/>

NGOs

Check
Box

If registration under the NGO Act, a letter from authorized officer confirming the investment and the authorized signatories

If registration under the companies Act the requirements as under the corporate section will apply

FOR INTERNAL USE

Staff Name _____

Branch _____

Signature _____

Reviewed by _____

Signature _____

Date _____

