



TO BE FILLED OUT BY COMPANIES · NGO'S · ASSOCIATIONS · SOCIETIES · PARTNERSHIPS AND TRUST FUNDS

## 1 CORPORATE DETAILS

Company Name.		Principal Activity.	
Incorporation No. / Registration No.			
PIN No.			
Contact Person.		Position in Organisation.	
Office Tel No.			
Email.		Fax.	
Postal Address.		Postal Code.	City/Town.
Physical Address.			
Website.			

Fill in general partner information as contact person below

## 2 DIRECTORS / AUTHORISED SIGNATORIES\*

	Director 1	Director 2	Director 3
Title.			
First Name(s).			
Surname.			
ID/Passport.			
Date of Issue.			
Date of Expiry.			
DOB (dd/mm/yy).			
KRA PIN No.			
Tel No. (Office)			
Mobile No.			
Email Address.			
Postal Address.			
Post Code.			
City/Town.			
Physical Address/Road/Hse No.			
<b>SIGNATURE.</b>			

\* In case of more than three directors / authorised signatories, please attach details on a separate sheet.

## 3 ADDITIONAL INFORMATION\*

For unlimited partnerships:- Details of Partners. (In case of more than three partners, please attach details on a separate sheet.)

For body corporates:- Details of Individuals who have a direct or indirect interest amounting to 30% or more equity, please attach details on a separate sheet.

## 4 INVESTMENT ON BEHALF OF A THIRD PARTY (NOMINEE/TRUSTEE ACCOUNT)

TYPE OF ENTITY.	Trust. <input type="checkbox"/> Other Legal Entity. <input type="checkbox"/>		
	Signatory 1	Signatory 2	Signatory 3
Title.			
First Name(s).			
Surname.			
ID/Passport.			
DOB (dd/mm/yy).			
Tel No. (Office)			
Mobile No.			
Email Address.			
Postal Address.			
Post Code.			
City/Town.			
Physical Address/Road/Hse No.			
<b>SIGNATURE.</b>			



## 5 BANK DETAILS

Any change of bank details must be provided in writing, duly executed by authorised signatories. No payments will be made to third party bank accounts. Orient Asset Managers Ltd will not accept money outside the bank accounts listed in the application form.

Company Account Name.

Company Account Number.

Bank Name.

Branch.

## 6 SIGNING MANDATE - Tick where applicable

- a** Either one can sign.  **b** Any two jointly.  **c** According to the mandate provided.

## INVESTOR RISK PROFILE QUESTIONNAIRE - To Score 0-120

The purpose of this Questionnaire is to help you consider the various investment risks and to understand how they impact on your personal circumstances. The following questions define your attitude to security and the level of risk you are prepared to accept for your investments. Tick the box next to the statement which reflects your attitude best.

Certificate of Incorporation No.

### 1 Which of the following best describe your current needs?

- a** You are looking to accumulate wealth over the long-term. Income is not important, growth is.
- b** You prefer stable capital appreciation to grow capital over a considerable period of time.
- c** You would like to balance regular income and stable capital growth over time.
- d** You are close to retirement and you want to ensure you are on track for your retirement needs.
- e** You want to preserve capital even if the returns are low.

### 2 When do you expect to need to access all or part of your investment?

- a** Over 10 years (long term)
- b** 6-10 years (mid to long term)
- c** 2-5 years (short to mid-term)
- d** Less than 2 years (short term)
- e** Less than 1 year (immediate access)

### 3 What is your knowledge of financial markets and investments?

- a** **Advanced.** Familiar with most products including alternative asset classes (private equity, futures, options) including the performance and return aspects.
- b** **High.** I understand research information and factors affecting security price movements.
- c** **Medium.** I understand diversification and practice it.
- d** **Low.** I have only some basic knowledge. I understand the difference between stock and bonds
- e** None. I have no knowledge of financial markets or investments.

### 4 How risky would you like your investments to be?

- a** You would be willing to take substantial risks for substantial rewards.
- b** Short-term losses up to 30% are acceptable as long as the probability of a gain over the long-term is reasonable.
- c** A medium loss of up to 15% is acceptable.
- d** A small loss of up to 5% is acceptable.
- e** You do not want to risk losing any of your capital, even if it means a low return.

### 5 How would you feel if a short time after placing your investment it decreases by 20%? How risky would you like your investments to be?

- a** You would consider investing more to take advantage of the drop in price.
- b** This was a calculated risk so you would wait, expecting the value to go up.
- c** You would be concerned and keep an eye on the investment.
- d** You would think about getting out of the investment and approach adviser for advice.
- e** You would get out before it kept falling.

### 6 How many years have you been investing in investment products?

- a** Over 10 years.
- b** 6-10 years.
- c** 3-6 years.
- d** Less than 3 years.
- e** No experience at all.

### 7 Which investments do you own or have owned in the past?

- a** Private equity, futures, options (including securities below).
- b** Offshore investments. (including securities below).
- c** Stocks and or stock funds, real estate and real estate funds. (including securities below).
- d** Bonds and bond funds (including securities below).
- e** Money market funds or cash only.

### 8 If you held an investment portfolio for the next ten years how would you expect the average yearly return would compare to money invested in Fixed Deposit in a bank?

- a** More than three times the fixed deposit rate.
- b** About three times the fixed deposit rate.
- c** About twice the fixed deposit rate.
- d** A little more than the fixed deposit rate.
- e** About the same as the fixed deposit rate.

### 9 If you had to choose between a secure job with a reasonable salary and a highly paid job with less security, which would you pick?

- a** Definitely the highly paid job.
- b** Probably the highly paid job and less security.
- c** Would have to consider other aspects.
- d** Probably the secure job with reasonable salary.
- e** Definitely the secure job.

### 10 If you receive a financial windfall, e.g. an inheritance, what would you do with the money?

- a** If given the right opportunity, quit your job and start your own business.
- b** Invest in a diversified share portfolio.
- c** Put some in the bank and then get advice on where to invest the rest.
- d** Initially put it on deposit and think about it.
- e** Set up an adequate emergency fund.

### 11 Apart from your home, have you ever borrowed money to make an investment?

Yes  No

#### PLEASE NOTE:

Place completed total in the investor risk profile section on the next page to show the Client Profile.

#### INVESTOR RISK PROFILE ANALYSIS

SCORING - The scoring for Risk Profile Questions is as follows:

**A=10 B=8 C=6 D=4 E=1**

From Investor Risk Profile Questionnaire, Client score was:

# CORPORATE INVESTOR APPLICATION FORM



**ORIENT ASSET MANAGERS LIMITED**  
INVESTING IN DREAMS

LOW VOLATILITY			HIGH VOLATILITY		
0	30	55	90	105	120
CONSERVATIVE		CAUTIOUS	PRUDENT	ASSERTIVE	AGGRESSIVE

**CONSERVATIVE** • You are a Conservative investor. Risk must be very Low and you are prepared to accept lower returns to protect capital. Your primary investment goal is capital protection. You require stable growth and/or a high level of income, and access to your investment within 3 years.

**CAUTIOUS** • You are a cautious investor seeking better than basic returns, but risk must be low. Typically you are seeking to protect wealth which you have accumulated; you may be prepared to consider less aggressive growth investments. Your investment term is 3 years or more.

**PRUDENT** • You are a prudent investor who wants a balanced Portfolio to work towards medium to long-term financial goals. Your primary investment goal is capital growth. You can tolerate some fluctuations in the value of your investment in the anticipation of a higher return. You don't require an income and you are prepared to invest for 5 years or more. Calculated risks will be acceptable to you to achieve good returns.

**ASSERTIVE** • You are an assertive investor, probably earning sufficient income to invest funds for capital growth. Prepared to accept higher volatility, your primary concern is to accumulate assets over the medium to long-term (5-10 years). You require a balanced portfolio, but more aggressive investments may be considered.

**AGGRESSIVE** • You are an aggressive investor prepared to compromise Portfolio balance and can tolerate substantial fluctuations in the value of your investment in the short term to pursue potentially higher long-term returns. Your investment choices are diverse but carry with them a higher level of risk. Security of capital is secondary to the potential for wealth accumulation. You are prepared to invest for 10 years or more.

Does the Client/Partner accept the investor profile shown above?  
Yes  No

If NO is the answer to above question, How does the Client want to be rated?

## SIGNATURES ALL CLIENTS MUST COMPLETE

The answers on this questionnaire accurately reflect my investment objectives, time horizon and risk tolerance.

Corporate Client.	SIGNATURE 1	Date.
	SIGNATURE 2	Date.
	SIGNATURE 3	Date.

## FUND SELECTION

### KASHA MONEY MARKET FUND

#### 1 INVESTMENT DETAILS

- a Low - Medium Risk
- b Liquidity
- c Investment Horizon: **Short to Long Term**
- d Minimum Investment : **KES. 5,000/-**
- e Minimum Top-Up amount: **KES. 1,000/-**
- f Minimum Withdrawal amount: **KES. 1,000/-**
- g Initial Fee : **Nil**
- h Investment Portfolio: **The fund invests in interest bearing securities and other short term money market investments.**

#### 2 ORIENT ASSET MANAGERS KASHA ACCOUNT DETAILS

Bank:	Stanbic Bank Kenya
Branch:	Chiromo
Currency:	KES
A/C Name:	Orient Asset Managers Ltd Kasha Money Market Fund
A/C No:	0100009049187
Swift Code:	SBICKENX
MPESA:	PAYBILL No. 214257 A/C No. Client Name

I/we confirm that I/we have read and understood the above features and declarations are ready to invest in the Orient Asset Managers Ltd. Kasha Money Market Fund.

Investment Amount in figures.	KES
In Words	
SIGNATURE	

### HIFADHI FIXED INCOME FUND

#### 1 INVESTMENT DETAILS

- a Low - Medium Risk
- b Liquidity
- c Minimum Investment Period: **3 Months**
- d Investment Horizon: **Medium to Long Term**
- e Minimum Investment: **KES. 100,000/-**
- f Minimum Top-Up amount: **KES. 10,000/-**
- g Initial Fee : **Nil**
- h Investment Portfolio: **The fund invests in interest bearing securities and other short term money market investments.**

#### 2 ORIENT ASSET MANAGERS HIFADHI ACCOUNT DETAILS

Bank:	Stanbic Bank Kenya
Branch:	Chiromo
Currency:	KES
A/C Name:	Orient Asset Managers Ltd Hifadhi Fixed Income Fund
A/C No:	0100009049228
Swift Code:	SBICKENX
MPESA:	PAYBILL No. 214257 A/C No. Client Name

I/we confirm that I/we have read and understood the above features and declarations are ready to invest in the Orient Asset Managers Ltd. Hifadhi Fixed Income Fund.

Investment Amount in figures.	KES
In Words	
SIGNATURE	



### 3 DECLARATIONS

- |   |   |
|---|---|
| <p><b>a</b> I/We warrant that I am/we are duly authorised to apply for the OAM Umbrella Fund Unit Trust on terms and conditions set on in the Information Memorandum.</p>   | <p><b>e</b> I/We hereby confirm that OAM the Manager, Trustee, and the Administrator are each hereby authorised 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, or email. I/We hereby indemnify OAM, the Manager, the Trustee and the Administrator and agree that they are not responsible for any liability, losses or damages resulting from the email or written instructions so provided.</p> |
| <p><b>b</b> I/We have read and understood the Information Memorandum the relevant Trust Deed for the particular OAM Umbrella Fund, the charges made by OAM and the terms and conditions of this application.</p>  | <p><b>f</b> I/We warrant that all information given in this application and in all documents which have been or will be signed by me/us in connection with this application is true and complete.</p>   |
| <p><b>c</b> 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.</p> | <p><b>g</b> I/We note that past performance is no indication of future performance.</p>   |
| <p><b>d</b> I/We hereby confirm that the money used for the investment into the OAM Umbrella Fund is not arising out of money laundering or other illicit activities.</p>   | <p><b>h</b> 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 assets and there is no guaranteed return.</p>  |

### 4 DISCLAIMER

- a** OAM does not accept cash payments. All payments are to be made to the OAM bank accounts and Mpesa Paybill.
- b** OAM does not make payments to 3rd parties. All payments to clients are to be made to the clients registered bank account used during account opening.

### 5 CORPORATE DOCUMENT CHECKLIST

- |  |   |
|--|---|
| <p><b>a</b> Board resolution mandating investment of funds and authorised signatories. <input type="checkbox"/></p>  | <p><b>h</b> Proof of physical and postal address (certified copy of utility bill, rental lease, title deed or land rates bill) <input type="checkbox"/></p> |
| <p><b>b</b> Certified copy of certificate of registration / incorporation <input type="checkbox"/></p>   | <p><b>i</b> Certified copies of 3 month bank statements. <input type="checkbox"/></p>   |
| <p><b>c</b> Copy of ID for each Director <input type="checkbox"/></p>  | <p><b>j</b> Photocopy of PIN Certificate for company and all directors. <input type="checkbox"/></p>  |
| <p><b>d</b> Memorandum &amp; Articles of Association or other applicable incorporation documents. <input type="checkbox"/></p>   | <p><b>k</b> If government institution, letter from accounting officer. <input type="checkbox"/></p>   |
| <p><b>e</b> Copy of the latest annual return submitted to the applicable register <input type="checkbox"/></p>   | <p><b>l</b> Document to support signing mandate. <input type="checkbox"/></p>   |
| <p><b>f</b> Copy of recent audited financial statements (not more than 2 financial years from date of application). <input type="checkbox"/></p>   | <p><b>m</b> Affix Company Seal Here. <input type="checkbox"/></p>   |
| <p><b>g</b> For funds originating from outside Kenya, certified proof from clients bank confirming necessary due diligence has been conducted regarding nature of business of the remitting entity and source of funds. <input type="checkbox"/></p> |   |

### 6 FOR OFFICIAL USE ONLY

Agent Name.	Agent No.	Date.
Agent Signature.	OAM Approval.	