



## KUZA UNIT TRUST SCHEME

### APPLICATION FORM - INDIVIDUAL & JOINT

### ACCOUNT NUMBER

1. Principal Investor Details			
Title:	Full Names:		
Date of Birth:			
Country of Residence:			
ID/Passport Number:			
Postal Address and Code:			
Email Address:			
Marital Status:			
Nature of Occupation / Business:			
Mobile No:			
Physical Address:			
Nationality:			
Town:			
Tax PIN Number:			
Gender:	Male	Female	
2. Joint Holder Investor Details			
	Signatory 1	Signatory 2	Signatory 3
Full Names:			
Marital Status:			
Date of Birth:			
ID/Passport:			
Tax PIN Number:			
Nationality:			
Mobile No:			
Email address:			
Physical Address:			
Postal Address:			
3. Next of Kin Names:			
Please provide the details of your next of kin. This should be a close relative or trusted contact who can be reached in case of an emergency or for important communications related to your account.			
	Next of Kin details 1	Next of Kin details 2	Next of Kin details 3
Names:			
Tel Number:			
Email Address:			
Relationship:			
Gender:	Male	Female	Male
	Female	Male	Female
4. Source of Funds			
<input type="checkbox"/> Sale of Investments <input type="checkbox"/> Salary/Bonus <input type="checkbox"/> Loan <input type="checkbox"/> Property Sale <input type="checkbox"/> Savings <input type="checkbox"/> Pension/Gratuity			
<input type="checkbox"/> Inheritance/Gift <input type="checkbox"/> Winnings/Lottery <input type="checkbox"/> Others (specify):			
Kuza Asset Management Limited reserves the right to seek further information or documentation on the source of funds to be invested.			



## 5. Physical Address

I/We write to confirm that the below is a description of my/our residential/business address. A description has been provided as I/we do not have any utility bill that may be used to verify the address.

	Signatory 1	Signatory 2	Signatory 3
Client Address			
Land Reg No			
House Number			
Building/Estate			
Road/Area/Town			

## 6. FATCA/CRS Declaration

Are you a US Resident, Citizen or do hold a Green Card?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
Are you registered for tax in any other country?		Yes <input type="checkbox"/>	No <input type="checkbox"/>
Country (ies) of Tax Residency	Tax Identification Number	Not Applicable (Tick where applicable)	
1.		<input type="checkbox"/> Yes	<input type="checkbox"/> No
2.		<input type="checkbox"/> Yes	<input type="checkbox"/> No
3.		<input type="checkbox"/> Yes	<input type="checkbox"/> No
4.		<input type="checkbox"/> Yes	<input type="checkbox"/> No

## 7. Investor Bank Details

Account Name:	
Account Number:	Currency:
Bank:	Branch:
Any Instructions of change of Investor bank Details MUST be provided in writing with certified proof.	

## 8. Custody for Minors

Minors Name:	Date of Birth:
Identification No:	Gender:
Relationship to Minor:	Residential Address:
Copy of birth certificate for minor to be provided for custody accounts.	

## 9. Fund Selection

Fund Name - Select a Product(s)	Investment Amount	Minimum Investment
<input type="checkbox"/> <b>Kuza Money Market Fund KES</b>	<b>KES.....</b>	<b>KES 1,000</b>
<input type="checkbox"/> <b>Kuza Money Market Fund USD</b>	<b>USD.....</b>	<b>USD 100</b>
<input type="checkbox"/> <b>Kuza Fixed Income Fund*</b>	<b>KES.....</b>	<b>KES 1,000</b>
<input type="checkbox"/> <b>Kuza Momentum Special Fund**</b>	<b>KES.....</b>	<b>KES 100,000</b>

\*The Kuza Fixed Income Fund is subject to a three (3) month lock-in period.

\*\*The Kuza Momentum Special Fund is subject to a six (6) month lock-in period.

The lock-in period applies from the date of investment.

## 10. Bank Account Details

Account Name	Bank	Branch	Swift code	Currency	Account Number
<b>Kuza Money Market Fund Collection</b>	<b>KCB Bank Kenya Ltd</b>	<b>Head Office</b>	<b>KCBLKENXXXX</b>	<b>KES</b>	<b>1305717937</b>
<b>Kuza Money Market Fund Collection</b>				<b>USD</b>	<b>1305718356</b>
<b>Kuza Fixed Income Fun Collection</b>				<b>KES</b>	<b>1305718151</b>
<b>Kuza Momentum Fund Collection</b>				<b>KES</b>	<b>1305718240</b>

Kuza Asset Management Limited accepts Personal/ Corporate and Bankers Cheques payable to the account name of the fund in which you intend to invest. No third-party cheques will be accepted. Payments should be made directly into the collection account and payment 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 Kuza Asset Management Limited until funds are sighted in the account.

## 11. General Risk Assessment

Please answer the following questions to assess your risk profile:

1. What is your investment horizon?			
Short-Term (0-2 years)	Medium-Term (3-5 years)	Long-Term (5+ years)	
2. What is your primary investment goal?			
Capital Preservation	Growth	Income Generation	
3. How familiar are you with the these investment options?			
Money Market Fund	Fixed Income Fund	Momentum Special Fund	
Not Familiar	Not Familiar	Not Familiar	
Somewhat Familiar	Somewhat Familiar	Somewhat Familiar	
Very Familiar	Very Familiar	Very Familiar	
4. Have you invested in Unit Trust Funds before?			
Yes	No		
5. Would you prefer stable returns with lower risk or higher returns with higher risk?			
Stable Returns	Higher Returns		

## 12. Kuza Investment Products Risk Matrix

Product	Risk Level	Recommendation
Kuza Money Market Fund (KES & USD)	Low	Suitable for low-risk investors looking for stable returns. The fund is ideal for preserving capital, building an emergency fund and earning higher returns than traditional savings accounts.
Kuza Fixed Income Fund (3-Month Lock-in Period)	Low	Best for investors seeking moderate returns while taking below average risk. The Fund is ideal for those looking for capital preservation and goal based investments.
Kuza Momentum Special Fund (6-Month Lock-in Period)	Above Average	Recommended for aggressive investor with an above average risk appetite. The fund is designed for long-term capital growth through taking advantage of the market cycles.

## 13. Signing Mandate

### Client Acknowledgement:

By checking this box, I/we confirm that I/we have read and understood, and hereby consent to Kuza Asset Management Limited's (Kuza) Privacy Policy. I/We hereby authorize Kuza to collect, use, disclose, and/or process our personal data or information without further notification to me/us, confidentially with its affiliated companies, third-party service providers, business partners and/or other parties which may be sited outside of Kenya, for setting up and administering our investment account with Kuza, customer services and to allow Kuza and/or its business partners to perform marketing and related activities, until Kuza receives your written instructions to the contrary.

I/We confirm that I/we have read and understood, and hereby consent to the general terms and conditions, and hereby make the above declaration.

Signing Mandate	All to sign	Either to sign	Any two to sign
	Name	Signature	Date
<b>Authorized Signatory</b>			
<b>Authorized Signatory</b>			
<b>Authorized Signatory</b>			
<b>Authorized Signatory</b>			

For official use only	
KYC Documents for all Signatories	Tick
1. Copy of Official Identification Document or Current Passport.	
2. Copy of PIN or Tax Exemption Certificate (where applicable).	
3. Proof of Banking details: Original canceled cheque; Copy of ATM Card; Bank Statement or Certified letter from the bank (not more than three months old).	
4. Copy of Birth Certificate for minor (section 7).	
5. Proof of Investment: M-Pesa Transaction Number, Cheque, RTGS or Deposit Slip in the correct fund.	

<b>I confirm that I have verified all the above documents</b>	Financial Advisor Name: _____ Code: _____
	Email: _____ Telephone: _____
	Signature: _____ Date: _____
Administrator	Name: _____
	Signature: _____ Date: _____
Compliance Officer	Name: _____
	Signature: _____ Date: _____

## GENERAL TERMS AND CONDITIONS

- A.** Units are traded at the daily yields/prices which may go up as well as down.
- B.** Units in the Fund may normally be purchased on any Business Day by completing this application form and returning it to the Fund Manager together with proof of payment for the relevant subscription amount, and such relevant Know Your Customer documents as requested in the application form. Business Day is a day which is neither (i) a Saturday or Sun-day; nor (ii) a public holiday in Kenya.
- C.** Completed application forms and notification of deposits/cleared funds must be received for the investment to be executed. Subscriptions monies in cleared funds received will be dealt with on the next Dealing Day.
- D.** Units in the Fund may be redeemed during normal business hours on any Business Day by application in writing by the Unit Holder. A withdrawal form is available from the Fund Manager on request and may be submitted in electronic format or through such digital platform designated by the Manager. The proceeds will be sent to Unit Holders by the close of business on the fourth Business Day after the date of receipt of written instructions or document of renunciation. Subject to this, investments in the Kuza Fixed Income Fund and the Kuza Momentum Special Fund are subject to applicable lock-in periods as set out in the Information Memorandum and Trust Deed, which are binding on the investor.
- E.** Past performance is not a guide to future performance and may not be repeated. There is no guarantee that the investment objectives of the Fund will be attained. The price of units and the income from them may fall as well as rise and Clients may not realize their initial investment.
- F.** The Fund Manager may accept Client instructions received through electronic communication from Clients who have consented to the Email Indemnity provided in this Application or executed and delivered and Email Indemnity in the form prescribed by the Fund Manager.
- The Client acknowledges that the Fund Manager reserves the right at its sole discretion to require the Client to provide hard copy written instructions in specific instances.
- G.** The Client 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 Client and/or financial advisor, whether by facsimile or mail and that such instructions are complete and correct in all respects.
- H.** Clients are reminded that in certain specified circumstances their right to redeem their units may be suspended.
- I.** No third-party cheques are allowed. Payments from third parties made on your behalf may be accepted on an exceptional basis and solely at the discretion of Kuza Asset Management Limited.
- J.** Once an account has been opened, a statement of investment will be sent by e-mail to the Client on a monthly basis.
- K.** All transaction charges on purchasing securities shall be borne by the Fund and not the Fund Manager.

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## DECLARATIONS

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- A.** I/We confirm that I/we have read and understood the Information Memorandum for the selected fund, and state that I make this application on the terms and conditions set out in the Fund's Information Memorandum.
- B.** I/We confirm that the information provided in this application, together with all supporting documentation that will be supplied in connection with this application, is true, correct and accurate. I/We hereby consent that Kuza Asset Management Limited may verify the information provided using such reasonable and necessary verification mechanisms.
- C.** I/We confirm that the money used for this investment does not arise out of the proceeds of any money laundering or other illicit activities.
- D.** I/We agree to accept the number of units bought by virtue of this application and Trust Deed and Rules for the selected fund and warrant that I/we have full power and authority to enter into and conclude this transaction.
- E.** I/We confirm that the units are not being acquired either directly or indirectly by or on behalf of any person restricted by law of any relevant jurisdiction from acquiring the units.
- F.** I/We hereby consent to all redemption proceeds and/or income distributions made to me/us being paid in accordance with my/our payment instructions above and as may be varied as per my/our written instructions. I/We hereby accept full responsibility for securing the integrity of my/our selected payment mode, and fully indemnify Kuza Asset Management Limited from any claims, losses or liabilities that it may incur in connection with the processing of payment in accordance with my/our instructions.
- G.** I/We hereby unconditionally and unequivocally agree that Kuza Asset Management Limited shall be entitled to act upon any instructions issued through my/our registered profile(s) on a Kuza Asset Management Client Portal or through electronic mail from my/our indicated email address (including scanned copies of documentation) which instructions shall be binding and enforceable against me/us notwithstanding that any such instruction may later be shown to be in any way false, incomplete, inaccurate, delayed, erroneous, unauthorized or otherwise not authentic.
- H.** I/We agree that Kuza Asset Management Limited shall not be responsible for any liability, losses or damages resulting from such electronic instructions, except where the loss results from gross negligence or fraud on Kuza's part. I/We agree to fully indemnify Kuza Asset Management Limited against any proceedings, claims, expenses, and liabilities which may be taken or made against Kuza by reason of Kuza acting on my/our instructions.
- I.** I/We consent to the disclosure of the information provided in this application for compliance purposes to Kuza Asset Management Limited or its agents and the necessary regulators and government agencies.
- J.** Upon receipt, I/we shall review all statements and will notify the Fund Manager immediately if there is a discrepancy.
- K.** I/We have read and fully understood the funds' objectives, risk levels, income distribution and all charges as set out in the funds' fact sheet and the Information Memorandum.

### Contact Details

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