



GENGHIS CAPITAL UNIT TRUSTS INDIVIDUAL APPLICATION FORM

Photo

Member No.

1. Principal Investor Details

Title: Mr. Mrs. Miss. Ms. Dr.
 Other (specify)

Surname: Middle Name(s)

First Name:

Gender: Male Female Date of Birth:

ID / Passport No: PIN No:

Tax Exempt:

Country of Residence:

Marital Status:

Single	<input type="checkbox"/>	Married	<input type="checkbox"/>
Widowed	<input type="checkbox"/>	Other	<input type="checkbox"/>

2. Employment Details

State your employment Status:

Employed Self-employed Retired

Others (Specify)

If self employed, state the business sector in which you operate:

If employed, state current Occupation:

Employer's Name :

3. Contact Details

Residential Address :

Postal :

Postal Code : Town :

Office No : Mobile No :

E-Mail :

Preferred method of contact (Statements, etc.)

E-Mail (Free) Post (at a fee)

4. Politically Exposed person (P.E.P) Narrative

Could you or any other person connected with the application be classified as a Politically Exposed Person (P.E.P) or connected to a P.E.P ?

Yes No If Yes, Specify

5. Source of Funds

Salary Rental/Property Retired Pension Sale of Shares

Inheritance Savings Gift Maturing Investments







Others (Specify)

6. Bank Details

Account name:
Account number: Account type:
Bank name:
Branch: Bank code:

Note: Any change of Bank details must be provided in writing with signature and adequate proof. No payments will be made to a third party's bank account.

7. Initial Investment Instruction

Fund	Fund Type	Fund Account Details	Investment Amount
	Market	Gencap Hela Imara Fund(Money Market Investments) Collection Account: 0100004723524 M-pesa Paybill: 819392	
Swift code:SBICKENX Bank: STANBIC BANK (K) LIMITED Bank CODE: 31002 Branch: CHIROMO BRANCH			
	Money Market	Gencap Hela Fund(Money Market Investments) Collection Account: 0052070154001 M-pesa inflow via KCB: 522525	
	Diversified	Gencap Hela Fund(Money Market Investments) Collection Account: 0052070156001 M-pesa inflow via KCB: 522526	
	Equities	Gencap Hisa Fund(Equity Investments) Collection Account: 0052070159001 M-pesa inflow via KCB: 522529	
	Bond	Gencap Hazina Fund(Bond Investments) Collection Account: 0052070158001 M-pesa inflow via KCB: 522528	
	Shariah Compliant	Gencap Iman Fund(Shariah Compliant Investments) Collection Account: 0052070157001 M-pesa inflow via KCB: 522527	

Swift code:CKENKENAXX Bank: CHASE BANK (K) LIMITED Bank CODE: 30 Branch: HULINGHAM BRANCH

Payment method: Cheque Cash deposit Direct bank transfer(EFT/ RTGS)
M-pesa

Note: No Cash to any Genghis Capital employee or agent. Note on non-acceptance of Third Party Cheques.

8. If investment is for a minor

Minor's Name :

Date of Birth:

9. Next of Kin

Name :

Relationship to applicant:

Date of birth:

ID/Passport number:

Telephone number:

Postal address:

Residential address:

10. Risk Profile Analysis (To be filled by Investment Advisor)

1. Have you ever invested in a unit trust before?
 No (0) Yes (1) Score:.....
2. How would you describe your knowledge of investments?
 None(0) Limited(1) Good(2) Extensive(3) Score:.....
3. Approximately what portion of your total savings will this investment present?
 Over 80% (0) 51-80%(1) 21-50%(2) 0-20% (3) Score:.....
4. When you make an investment, you plan to hold the investment for?
 One Month (0.5) Three Months (1) Six Months (1.5)
 One Year (2) Three years (2.5) Five years (3) Score:.....
5. What risk tolerance do you have?
 Funds should never lose money (1)
 Funds can dip under initial sometimes (2)
 For attractive long-term performance i am prepared to take some risk (3) Score:.....
6. Generally, I prefer investments with little or no fluctuations in value, and I'm willing to accept a lower return associated with these investments.
 Strongly disagree (3) Somewhat agree (1) Strongly agree (0) Score:.....
7. Which of the following best and worst case scenarios suits you:
- | | Average | Best | Worst | |
|----------|---------|------|-------|------------------------------|
| Option A | 18% | 12% | 4% | (1) <input type="checkbox"/> |
| Option B | 14% | 30% | -10% | (2) <input type="checkbox"/> |
| Option C | 19% | 55% | -35% | (3) <input type="checkbox"/> |
- Score:.....
8. Imagine that in the past 6 months the market has lost 30% of its value. As a result, your portfolio has lost 30% of its value. What would you do?
 A. Sell all your remaining investments (1)
 B. Sell some of your investments (2)
 C. Hold on to the investment and sell nothing (3)
 D. Buy more of the investment (4) Score:.....
9. When do you plan to begin withdrawing money from your investment?
 Less than a year(1) 2 years (2) 2-4 years (3) Over 4 years (4) Score:.....
10. My current and future income sources (e.g: own business, salary, social security, pension etc.) are:
 Very unstable (0) somewhat stable (1) Very stable (3) Score:.....
11. What is your monthly range of income?
 0-5,000 (0) 5,001 - 10,000 (1) 10,001 - 30,000 (3) Score:.....
 30,001 -100,000 (3.5) over 100,000 (4) **Total Score:**

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 than increasing the real value of their 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 usually 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.
FUND	Gencap Hela Imara Fund <input type="checkbox"/> or Gencap Hela Fund <input type="checkbox"/>	Gencap Eneza Fund <input type="checkbox"/> or Gencap Iman Fund <input type="checkbox"/>	Gencap Hisa Fund <input type="checkbox"/> or Gencap Hazina Fund <input type="checkbox"/>

Chosen Fund:

Investment Advisor's signature:.....

Client's signature:.....

11. Declaration

1. I declare that the information in this application is true, correct and accurate and that I will supply Genghis Capital with any further information if necessary due to changes of the above.
2. I apply for investments into the Genghis Capital Unit Trust Fund on the terms, conditions and regulatory information set out in the information memorandum and the other incorporation documents.
3. I have read and understood the information memorandum and the charges connected with the Genghis Capital Unit Trust Fund.
4. I hereby confirm that the money used for these investments does not arise from any money laundering and other illicit activities.
5. I consent to the disclosure of this information for compliance purposes other services provider handling the Genghis Capital Unit Trust Fund.
6. I agree that all proceeds from redemptions and income distribution will be paid in accordance to the applicable payment instructions or law of the land.
7. I hereby confirm to have received information on the fund's investment objective, involved risks, handling of income accruals, charges and pricing.
8. I agree that Genghis Capital Ltd. is not responsible for any liability, losses, or damages resulting from email, fax or online instructions, except when such liability or loss results from negligence or willful default on Genghis Capital's part.
9. I confirm that I have read and understood these declarations and their implications.

12. Terms and Conditions

1. Units are traded at the daily ruling price and will be repurchased by the fund administrator, Genghis Capital Ltd., in accordance with the Capital Markets (Collective Investment Schemes) Regulations, 2001 and on terms and conditions set out in the relevant Trust Deed.
2. 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.
3. The investor applies to invest in the one of the sub-funds of the collective investment scheme (the Genghis Capital Unit Trust Fund) in accordance with the provisions of the Umbrella Trust Deed and the respective supplemental Trust Deed at the net asset value (NAV) at the close of business on the date of receipt of the money by Genghis Capital, or receipt of this application, whichever is later, provided it is received by the daily cut-off time of 9.00am. If received after 9.00am, the following day's net asset value will be used to calculate the purchase value of the respective unit trust product(s).
4. The investor 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 investor and / or financial advisor, whether by facsimile or email, and that such instruction are complete and correct in all respects.
5. The investor acknowledges the inherent risk associated with the selected unit trust(s). The investor furthermore agrees that Genghis Capital Ltd. will not be liable for the consequences of market influences and consequent changes in unit prices. The investor bears the complete investment risk. Neither Genghis Capital nor the Genghis Capital Unit Trust Fund will be responsible for any loss, consequential or otherwise, arising from changes in tax or other legislation that may have an effect on the investment returns of the unit trust(s).
6. The investor is entitled to any information the law requires a collective investment scheme provider to disclose. Genghis Capital Ltd. is obliged to obtain and transmit such information if the investor requests it.
7. Once an account has been opened, a statement of investment will be sent to the investor on a monthly basis via email. Copies of statements are available to investor on request from Genghis Capital Ltd.
8. Genghis Capital reserves the right to withhold processing of any unclear, incomplete or ambiguous instruction forwarded by the investor.
9. Genghis Capital or the Genghis Capital Unit Trust Fund will not be liable for any loss incurred due to incorrect information being supplied by the investor.
10. Please note that past performance is no indication of future results and that investing in a unit trust scheme constitutes a risk for your invested capital. This document does not constitute a distribution recommending the purchase or sale of any security or portfolio. Please be advised that the Genghis Capital Unit Trust Fund Information Memorandum contains all information necessary to evaluate our unit trust and should be read before investing. We recommend that you consult your own independent financial advisor to obtain professional advice before exercising any decisions based on the information present in this document.

Name of applicant

Signature:.....

Date:.....

For official use only

13. Checklist

The following are account opening requirements for individual applicants (to be ticked by Financial Advisor or Agent):

Two colour passport- sized photos

National ID /passport copy

PIN certificate copy

Birth certificate of minor (if applicable)

Tax- exemption certificate (if applicable)

NB: For foreign Individuals all documents to be certified by Public Notary

14. Agents Details

Surname: First Name:

Agent Number:

I hereby confirm that I have satisfied myself as to the identity of the investor to the best of my ability. I have informed the client about the risk, the charges as well as the terms and conditions of this investment.

Signature:.....

Date:.....

15. UTS Administration

Checked by UTS officer:

Name:

Signature:.....

Official Stamp

Date:.....