

**SELECT FUND:**

Sanlam Money Market Fund

Sanlam Fixed Income Fund

Sanlam Balanced Fund

Sanlam USD Fixed Income Fund

Date:

**SELECT ONE:**

Individual

Joint

Corporate

**Investor Details**

	Signatory 1	Signatory 2	Signatory 3
Surname			
Other Name(s)			
Date of Birth			
ID / Passport No.			
Nationality			
Country of Residence			
KRA PIN No.			
Mobile No.			
Email Address			
Postal Address & Code			
Employment Status	<input type="checkbox"/> Employed <input type="checkbox"/> Self Employed <input type="checkbox"/> Unemployed <input type="checkbox"/> Retired	<input type="checkbox"/> Employed <input type="checkbox"/> Self Employed <input type="checkbox"/> Unemployed <input type="checkbox"/> Retired	<input type="checkbox"/> Employed <input type="checkbox"/> Self Employed <input type="checkbox"/> Unemployed <input type="checkbox"/> Retired
Employer's Name			
Occupation			
Industry			
Position <i>(For Corporate)</i>			

For **INDIVIDUALS**, only fill under **SIGNATORY 1**

**Authorised Signatories to sign mandate** All to sign  Either to sign  Any two to sign

**Company Details (FOR CORPORATE ONLY)**

Company/Organization Name:

Reg. No.:  KRA PIN No.:  Date of Inc.:

Country of Registration:  Nature of Business:

Industry:  Postal & Code:

Email Address:  Building and Flr:

City / Town:  Road:

Contact Person:  Mobile No.:

We write to confirm that the above is a description of our current business address.



### Deposit Account Details (KES)

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.

<b>A/C Name</b>	SANLAM UNIT TRUST	<b>Branch</b>	Kenyatta Avenue
<b>A/C Number</b>	0100003738118	<b>Swift Address</b>	SBICKENX
<b>Bank</b>	Stanbic Bank	<b>Bank Code</b>	31002
<b>M-Pesa Pay Bill Number</b>	888111	<b>M-pesa Pay Bill A/C No</b>	Input your ID No

### Deposit Account Details (USD)

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

<b>A/C Name</b>	SANLAM USD FIXED INCOME FD – COLLECTION		
<b>A/C Number</b>	0100012177555	<b>Currency</b>	USD
<b>Bank and Branch</b>	STANBIC BANK KENYA LTD – CHIROMO BRANCH		
<b>Bank Swift Address</b>	SBICKENX		

Please indicate the unique member number for all subsequent top-ups and share the details to [clientservice@sanlameastafrica.com](mailto:clientservice@sanlameastafrica.com)

### Self Certification (Tax Status)

Are you or the company / organization registered for tax in Kenya? Yes  No

Are you or the company / organization 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 Residence	Tax Identification No.	Or Reason	Tax No. Not Applicable

### Beneficiaries (FOR INDIVIDUAL / JOINT ONLY)

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

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

<b>Full Name</b>	<b>ID Number/Passport Number</b>	
<b>Date of Birth</b>	<b>Mobile Number</b>	<b>Relationship to Minor</b>

## Risk Assessment

**1. What is your age bracket?** *[For Individual and Joint Applicants]*

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

**How long have you been operational?** *[For Corporate Applicants]*

- a. 0 - 5 years       b. 6 - 10 years       c. Over 10 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 that 3 investment 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 that 3 investment 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. 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

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

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

FUND	RISK LEVEL	FUND OBJECTIVES
Sanlam Money Market Fund	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>
Sanlam Fixed Income Fund	Low - Medium	<ul style="list-style-type: none"> <li>Stable income stream</li> <li>Low to medium risk</li> <li>Ideal for growing assets while earning a periodic and stable income</li> </ul>
Sanlam Balanced Fund	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>
Sanlam USD Fixed Income Fund	Low - Medium	<ul style="list-style-type: none"> <li>Aims to preserve the value of the investment while providing an attractive level of regular income in US Dollars.</li> </ul>

## Declarations and Signatures

I/we apply for investments into Sanlam Unit Trust Funds on the terms, conditions and regulatory information set out in the information memorandum. I/we understand that Sanlam Unit Trust reserves the right to accept or decline this application. The information is available at the Sanlam Investments East Africa website.

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

I/we confirm that I/we received clear explanations and understanding on the investment product before signing. I/we confirm that the product was fully explained to me/us with particular attention having been paid to its charge structure and any possible cancellation penalties that may incur. Investable funds should be sighted in the Sanlam Unit Trust collection account before cut off for purchasing any units.

I/we 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 a person.

I/we hereby agree that all proceeds for redemption and income distribution will be paid in accordance to the applicable payment instructions and not third party accounts.

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

I/we acknowledge that Sanlam Unit Trust shall not be held liable for any losses or liabilities arising from transactions conducted by unitholders who provide a member number different from the one assigned to them during the account opening process, except in cases of negligence or intentional default on Sanlam Unit Trust's part.

I/we agree that Sanlam Unit Trust is not responsible for any liability, losses or damages resulting from e-mail instructions, except when such a liability or loss results from negligence, or willful default on Sanlam Unit Trust's part.

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

Sanlam Unit Trust is dedicated to protecting the confidentiality and privacy of information entrusted to us.

Personal information is processed to comply with legal and regulatory obligations, such as keeping records for tax purposes or providing information to a public body or law enforcement agency, and may include filing reports with various Regulators such as Financial Reporting Centre (FRC), Capital Markets Authority (CMA), Internal Revenue Service ("US Tax Authority"), etc.

Sanlam Unit Trust is legally bound by the Foreign Account Tax Compliance Act (FATCA) and is, or may be required for US citizens or residents, to disclose and report certain information concerning their account to the relevant authorities including but not limited to the US Internal Revenue Service ("US Authorities"). Additionally, FATCA may require the Sanlam Unit Trust to deduct, withhold and remit such taxes or monies to the US Authorities as may be directed by them from time to time.

We shall notify you of any material changes regarding the protection of your personal data via email or our website. If you have any queries at all in relation to your personal data and how we can protect your data rights, please contact our Data Protection Officer through [privacyofficer@sanlameastafrica.com](mailto:privacyofficer@sanlameastafrica.com)

### Sanlam Investments East Africa Limited:

Africa Re Centre, 5<sup>th</sup> Floor, Hospital Rd,  
P.O Box 67262, 00200 Nairobi, Kenya  
Website: [www.sanlameastafrica.com](http://www.sanlameastafrica.com)

### Contact Information:

Email: [clientservice@sanlameastafrica.com](mailto:clientservice@sanlameastafrica.com)  
Mobile/WhatsApp: +254793377373  
Social Media: Facebook, Instagram, LinkedIn, Twitter: @SanlamInvestmentsEA

## Declarations and Signatures Continued

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

	Signatory 1	Signatory 2	Signatory 3
Name:			
Signature:			
Date:			

*For INDIVIDUALS, only fill under SIGNATORY 1*

## For Official Use Only

### 1. KYC Documents

#### [For Individual and Joint Applicants]

- I.) Copy of National ID or Passport
- II.) Passport size photo
- III.) Copy of PIN certificate
- IV.) Copy of tax exemption certificate [If applicable]

#### [For Corporate Applicants]

- I.) Copy of National ID or Passport for all signatories
  - II.) Passport size photo for all signatories
  - III.) PIN Certificate for all signatories
  - IV.) List of full names, ID and KRA pin numbers for all directors and owners listed in the CR 12.
  - V.) PIN Certificate for the firm / organization
  - VI.) Copy of Tax Exemption Certificate [If applicable]
  - VII.) Copy of Certificate of Incorporation
  - VIII.) Proof of resolution (Minutes) to act on behalf of the company signing mandate and authorized signatories
  - IX.) Copy of the updated CR12
- NB: If any legal entity (Company) owns more than 20% of the company's shares, please also provide the CR12 document for that entity.*

### 2. Proof of Banking details

- I.) Copy of ATM card with the account number *[only applies to Individual and Joint applicants]*, or Copy of Bank Statement or Original Cancelled Cheque *[applies to all applicants]*

### 3. Proof of investment i.e M-Pesa confirmation message, Deposit Slip, Cheques, or RTGS. Cheques should be written in the name of Sanlam Unit Trust for KES and Sanlam USD Fixed Income for USD.

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

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

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

Date:

## For Internal Use

Staff Name: \_\_\_\_\_ Signature: \_\_\_\_\_ Date:

Reviewed by: \_\_\_\_\_ Signature: \_\_\_\_\_ Date: