

「 APPLICATION FORM  
UNIT TRUST FUNDS 」





## A. IMPORTANT INFORMATION

Nabo Capital is the authorized fund manager of the NABO Africa Unit Trust Funds and is referred to in this document as the Fund Manager.

If you require assistance in completing this form, please contact **Client Services** on 0709 902 700

- Completed application form should be scanned and emailed to [clientservice@nabocapital.com](mailto:clientservice@nabocapital.com) or physically dropped at Nabo Capital offices.
- Please read the terms and conditions on section L of this application form and use in conjunction with the information Memorandum for Nabo Capital Unit Trust funds.

**NB: The field with \* is required**

## B. DOCUMENT CHECKLIST

### INDIVIDUALS

- Copy of ID Card/ Valid Passport
- Copy of Birth Certificate (If Minor)
- Copy of Income Tax certificate (PIN)

### INSTITUTIONS/CORPORATES

- Copy of ID / Valid passport for directors & / signatories
- Founding Documents :Certificate of Incorporation or partnerships (Partnership Agreement), Other legal entities:
- Copy of Income Tax certificate (PIN)
- Copy of ID / Valid passport for authorized representatives / signatories

## \* C. INVESTOR DETAILS

**INDIVIDUAL**

**JOINT**

**COMPANY**

### 1. Fill this section for Individual and Joint Investments

Full names			
ID/Passport Number			
Email Address			
Postal address		Postal Code	
City		Physical Address	
Cellphone		Nationality	
Income Tax Number (PIN)			

### 2. Fill this section for additional participants for Joint Investments

Full names			
ID/Passport Number			
Email Address			
Postal address		Postal Code	
City		Physical Address	
Cellphone		Nationality	
Income Tax Number (PIN)			



3. Fill this section for Institutional Investors

Name			
Nature of the Business			
Contact Person & Designation			
Certificate of Incorporation No.			
Income Tax Number			
Postal address			
City		Postal Code	
Telephone/Office		Physical Address	
Business Email Address			

\* D. HOW DID YOU HEAR ABOUT NABO CAPITAL?

- Online -Google     
  Twitter     
  YouTube     
  Facebook     
  Linked In  
 Referral

Any other (Please Specify)

\* E. SOURCE OF FUNDS

E.g. Savings, Inheritance, Investment Maturity, Property Sale, etc.

- Savings     
  Salary     
  Property sale     
  Loan  
 Investment Maturity     
 Lottery / Betting     
 Gift / Inheritance

\* F. NEXT OF KIN CONTACT DETAILS

Full name	Email Address	Telephone	Relationship

\* G. BENEFICIARIES

Name:	ID No.	D.O.B	Tel	R/Ship	% Share

\* H. INVESTMENT DETAILS

FUND ACCOUNT NAME(Tick where Appropriate)	MINIMUM INVESTMENT AMOUNT	INVESTMENT AMOUNT
Nabo Money Market Fund (KES) <input type="checkbox"/>	KES 1,000,000	
Nabo Fixed Income Fund (KES) <input type="checkbox"/>	KES 1,000,000	
Nabo Money Market Fund (USD) <input type="checkbox"/>	USD 10,000	
Nabo Fixed Income Fund (USD) <input type="checkbox"/>	USD 10,000	
Nabo Balanced Fund (USD) <input type="checkbox"/>	USD 10,000	
Nabo Equity Fund (USD) <input type="checkbox"/>	USD 10,000	



## I NABO CAPITAL ACCOUNT DETAILS

<b>BANK:</b> CFC STANBIC BANK	<b>SWIFT CODE:</b> SBICKENX
<b>BRANCH:</b> Kenyatta Avenue	<b>BRANCH CODE:</b> 31002

FUND ACCOUNT NAME (KES)	ACCOUNT NUMBER (KES)
Nabo KES Money Market Fund Collection Account	0100005089861
SNL KES Fixed Income Fund Collection Account	0100005414557

FUND ACCOUNT NAME (USD)	ACCOUNT NUMBER (USD)	ACCOUNT NUMBER (KES)
Nabo Africa Money Market Fund Collection Account	0100003439563	0100003439555
Nabo Africa Fixed Income Fund Collection Account	0100003439668	0100003439628
Nabo Africa Balanced Fund Collection Account	0100003439717	0100003439679
Nabo Africa Equity Fund Collection Account	0100003439757	0100003439709

## \* J. INVESTOR BANK ACCOUNT DETAILS

Please indicate the bank account into which you would like redemptions to be paid.

Name of bank	
Branch	
Branch code	
Account number	
Name of account holder	

### Note:

1. All payments will be electronically transferred into the bank account of the investor only. Payments will only be made to the account for which we have been provided details and proof.
2. Nabo Capital does not make any 3rd party payments.

## \* K. SIGNING MANDATE

Authorized Signatory 1: Name:..... Signature:.....

Authorized Signatory 2: Name:..... Signature:.....

SIGNING MANDATE: SELF (Individual Account):  ALL:  EITHER / OR:



## L. TERMS AND CONDITIONS

- (1.1) Nabo Capital is engaged in the business of providing investment advisory and fund management services, and is licensed as a Fund Manager by the Capital Markets Authority of the Republic of Kenya ("CMA") pursuant to the provisions of the Capital Markets Authority Act.
- (1.2) The unit holder has agreed to retain Nabo Capital to provide him/her with investment advisory services in respect of such investments, that he/she may hereafter require to be managed. The management of the account shall be subject to the Terms and Conditions set forth below.

### (2) Authorizations and Appointment

- (2.1) The unit holder authorizes and appoints the Fund Manager to exercise the investment discretion described above with respect to the account.

### (3) Duration and Termination

- (3.1) This Agreement shall remain in full force, until the end of the investment period.

### (4) Fees and Minimums

#### (4.1) Share Class Summary

Minimum initial investment amounts, minimum subsequent investment amounts and minimum holding amounts per Units Class are listed below and are in USD or equivalent amounts in alternative currencies:

Units Class	Minimum Initial Subscription Amount	Minimum Subsequent Subscription Amount	Minimum Holding Amount
A	>USD 1,000,000	USD 10,000	USD 1,000,000
B	USD 500,001 - 1,000,000	USD 10,000	USD 500,000
C	USD 250,001 - 500,000	USD 5,000	USD 250,000
D	USD 10,001 - 250,000	USD 1,000	USD 10,000

#### (4.2) Fees Schedule

FUND (ACCOUNT NAME)	Initial Charge	Annual Management Fees	Redemption Charge
Nabo Capital KES Money Market Fund D	Nil	2.25%	Nil
Nabo Kenya Shilling Fixed Income Fund D	Nil	2.25%	0.25%
Nabo Capital Africa Bond Fund D	2.00%	2.75%	0.25%
Nabo Capital Africa Balanced Fund D	2.00%	2.75%	0.25%
Nabo Capital Africa Equity Fund D	2.00%	2.75%	0.25%

#### (4.3) Performance Fees

APPLICABLE PERFORMANCE FEES	Performance Fees
KES Money Market Fund	N/A
KES Fixed Income Fund	N/A
USD Money Market Fund	N/A
Nabo Africa Fixed Income	N/A
Equity Fund – All Classes	15%
Balanced Fund – All Classes	15%

#### (4.4) Equity Fund Fees Schedule

FUND (Account Name)	Initial Charge	Annual Management Fees	Redemption Charge
Nabo Africa Equity Fund A	1.00%	2.00%	Nil
Nabo Africa Equity Fund B	1.25%	2.25%	0.25%
Nabo Africa Equity Fund C	1.50%	2.50%	0.25%
Nabo Africa Equity Fund D	2.00%	2.75%	0.25%

#### Performance Fees

Applicable Unit Classes	Performance Fees	Performance Fee Hurdle Rate
All	15%	15%

#### 4.5) Instructions and Communications

(5.1) The Fund Manager shall use brokers to perform administrative, dealing and ancillary services enabling the Fund Manager to perform fund management services.

#### 4.6) Use of Agents

(6.1) Any instructions or communications to be given to Nabo Capital shall be in writing.

Any instructions from a unit holder to Nabo Capital shall be conclusively deemed to be valid instructions for the purposes of this agreement. The unit holder shall be bound by such Instructions, if acted upon by Nabo in good faith, notwithstanding any error in the transmission thereof or that such Instructions may not be genuine.

#### 4.7) Assignments and Power to Delegate

(7.1) The Fund Manager may on written notice assign all its rights, responsibilities and obligations under this agreement to an affiliate as it deems necessary from time to time.

#### 4.8) Warranties

(8.1) This agreement has been duly authorized, executed and delivered by the Fund Manager and constitutes its valid and binding obligation, enforceable against the Fund Manager in accordance with its terms.

(8.2) No governmental authorization, approval, consents or filings are required about execution, delivery or performance of this agreement by the Fund Manager, other than those already obtained; and the Fund Manager is licensed by the Capital Markets Authority.

#### 4.9) Confidentiality

(9.1) The unit holder acknowledges and agrees that all information and advice furnished by either party to this agreement to the other shall be treated as confidential and shall not be disclosed to third parties except with the prior written consent of the other party or as otherwise required by the applicable law. This requirement for confidentiality shall survive the termination of this agreement.

### 5) Liability

(5.1) The Fund Manager shall act in good faith and with due diligence except for liability arising due to gross negligence. The Fund Manager shall not be liable to the unit holder or be deemed to be in breach of its warranties or obligations under any provision in this agreement:

(a) For any delay in performing or failure to perform any part of its services under this agreement to the extent that such delay or failure was due to a failure by the unit holder to perform his/her obligations under this agreement or if the delay results from a failure by the unit holder to comply with requests by the Fund Manager for instructions, information or action required by him/her to perform its obligations under this agreement;

(b) If the event is one of force majeure preventing the Fund Manager from performing any of its functions under this agreement;

(c) The Fund Manager, its partners, employees and agents will not be liable to the unit holder or to any third party for any consequential or punitive loss or damages; The unit holder indemnifies the Fund Manager from and against any loss, damages, costs, expenses and liabilities which the Fund Manager may suffer or incur, in respect of any taxes or duties, because of or about any claim or action arising out of the actions or omissions of the unit holder providing the fund management services herein.

### 6) No Waiver of Rights

(11.1) The failure to exercise or delay in exercising a right or remedy provided by this agreement or by law does not constitute a waiver of the right or remedy or a waiver of other rights or remedies. No single or partial exercise of a right or remedy provided by this agreement or by law prevents the further exercise of the right or remedy or the exercise of another right or remedy. The rights and remedies provided by this agreement are cumulative and not exclusive of any rights or remedies provided by law.



**7) Notices**

(12.1) Any notice or communication under or about this agreement shall be in writing and shall be communicated via email or sent by post.

**8) Governing Law**

(13.1) The construction, validity and performance of this agreement shall be governed in all respects by Kenyan law.

**\* M. EMAIL INDEMNITY**

Would you like to provide us with an email indemnity, to enable us receive your instructions via email?

YES  NO

If yes, please indicate your preferred email address : .....

Signature: .....

**\* N. DECLARATION**

I/We hereby declare and warrant that any AML documentation and information provided is correct, that the source of funds which the Fund Manager is dealing does not arise from any money laundering or illicit activities and that I/we are the beneficiary of the account to which payments are to be made.

Are you, your spouse, or any other immediate family members, including parents, in-laws, siblings and dependents; A senior military, governmental or political official?

If yes, kindly specify name of country: .....

I / We fully understand the funds' features, have read the Terms and Conditions; and are ready to invest in the above fund(s) and for the respective amount.

Signature: .....

Date: ..... / ..... / .....

**O. FOR OFFICIAL USE ONLY**

I hereby confirm that I have satisfied myself as to the identity of the unit-holder to the best of my ability. I have informed the unit holder about the risks, charges as well as the terms and conditions of this investment.

Name of Financial Advisor ..... Telephone Number:.....

Email Address ..... Signature: ..... Date: ..... / ..... / .....

**Compliance Manager / Operations Manager:**

Name:.....

Signature: ..... Date: ..... / ..... / .....



# INVESTING WITH PURPOSE

[WWW.NABOCAPITAL.COM](http://WWW.NABOCAPITAL.COM)

