



## Mayfair Unit Trust Fund

### Individual Application Form

Investment No:

Invest, beyond time.

**SECTION 1: INVESTOR TYPE DETAILS**

A. Please select from the list below the investor type for whom services are to be provided:

- Individual/ Joint Investor
  Sole Trader
  Partnership  
 Government/State Corporations incl. County government, Parastatal, & Regulatory bodies
  Company
  Trusts/ Pension schemes  
 Unregistered/ Social Entities Services entities (e.g., Clubs, Charities, Churches, Associations, or Chamas)
  Non-Governmental Organizations (NGO)  
 Other \_\_\_\_\_

B. Please select from the list below your residence:

- Kenya
  East Africa
  Foreign

C. Please select from the list below your industry/sector of operation:

- Financial Services
  Legal/Accounting
  Medical
  Agriculture/Manufacturing  
 Student
  Arts & Entertainment
  Hospitality
  Government/Public Service  
 Other \_\_\_\_\_

D. Foreign Account Tax Compliance Act (FATCA)

**Are you a US citizen or Resident?**

US citizens and residents include persons born in the US, or holders of a US Green Card, US residential address, US telephone number, standing order to a US Bank account, granted power of attorney, or have signatory authority to a person with a US address. If yes, complete the US Indicia Forms.

- Yes
  No

**SECTION 2:**

**A. (i) PRINCIPAL INVESTOR DETAILS**

Title:  Mr.
  Mrs.
  Ms.
  Other (specify) \_\_\_\_\_  
 First Name: \_\_\_\_\_ Middle Name: \_\_\_\_\_ Surname: \_\_\_\_\_  
 Gender:  F  M Date of Birth: 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

  
 Mobile phone No.: \_\_\_\_\_ Email: \_\_\_\_\_  
 ID/ Passport No.: \_\_\_\_\_ PIN No.: \_\_\_\_\_ Nationality: \_\_\_\_\_  
 Country of Residence: \_\_\_\_\_ County/ State: \_\_\_\_\_  
 Residence Status:  Resident  Non-Resident  
 Marital Status: \_\_\_\_\_

**(ii) Residential Address Confirmation**

Estate/Building Name				
Street/Road Name				
House/ Building Number				
Postal Address	P.O. Box		Code	
	County		Country	

I write to confirm that the above is a description of my residential address. The description has been provided as I do not have any utility bill that may be used to verify my current residential address.

**B. (i) JOINT INVESTOR DETAILS (if more than 2, attach details for the others on a separate sheet of paper)**

Title:  Mr.  Mrs.  Ms.  Other (specify) \_\_\_\_\_

First Name: \_\_\_\_\_ Middle Name: \_\_\_\_\_ Surname: \_\_\_\_\_

Gender:  F  M Date of Birth: 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Mobile phone No.: \_\_\_\_\_ Email: \_\_\_\_\_

ID/ Passport No.: \_\_\_\_\_ PIN No.: \_\_\_\_\_ Nationality: \_\_\_\_\_

Country of Residence: \_\_\_\_\_ Permanent Address: \_\_\_\_\_

**(ii) Residential Address Confirmation**

Estate Name/ Building Name			
Street/Road Name			
House/ Building Number			
P.O. Box	Code		
County	Country		

I write to confirm that the above is a description of my residential address. The description has been provided as I do not have any utility bill that may be used to verify my current residential address.

**A. Please select from the list below your industry/sector of operation:**

Financial Services  Legal/Accounting  Medical  Agriculture/Manufacturing

Student  Arts & Entertainment  Hospitality  Government/Public Service

Other \_\_\_\_\_

**B. Please select from the list below your residence:**

Kenya  East Africa  Foreign

**C. Foreign Account Tax Compliance Act (FATCA)**

**Are you a US citizen or Resident?**

US citizens and residents include persons born in the US, or holders of a US Green Card, US residential address, US telephone number, standing order to a US Bank account, granted power of attorney, or have signatory authority to a person with a US address. If yes, complete the US Indicia Forms.

Yes  No

**SECTION 3: GIFTS/ TRANSFERS TO MINOR**

**(i) As custody for:**

First Name: \_\_\_\_\_ Middle Name: \_\_\_\_\_ Surname: \_\_\_\_\_

Gender:  F  M Date of Birth 

D	D	M	M	Y	Y	Y	Y
---	---	---	---	---	---	---	---

Birth Certificate No.: \_\_\_\_\_ Nationality: \_\_\_\_\_

Country of Residence: \_\_\_\_\_ County/ State: \_\_\_\_\_

Residence Status:  Resident  Non-Resident

**NOTE: PROVIDE A COPY OF THE MINOR BIRTH CERTIFICATE**

**(ii) Residential Address Confirmation**

Estate Name/ Building Name			
Street/Road Name			
House/ Building Number			
P.O. Box	Code		
County	Country		

## SECTION 4: MODE OF COMMUNICATION

### A. Method of Contact

(Statements, contract notes, newsletters, etc.)  Post (at a fee)  E-mail  SMS

### B. Authorized Contact Person in Case of Emergency

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

First Name: \_\_\_\_\_ Middle Name: \_\_\_\_\_ Surname: \_\_\_\_\_

Gender:  F  M ID/ Passport No.: \_\_\_\_\_ Nationality: \_\_\_\_\_

Mobile phone No.: \_\_\_\_\_ Email: \_\_\_\_\_

Relationship:  Spouse  Son/ Daughter  Friend  Relative  Others \_\_\_\_\_

## SECTION 5: SOURCE OF FUNDS

Tick source from which investment amount is mainly derived: -

- |   |   |                                      |
|---|---|--------------------------------------|
| <input type="checkbox"/> Salary               | <input type="checkbox"/> Lottery/ Betting     | <input type="checkbox"/> Savings     |
| <input type="checkbox"/> Business cashflow    | <input type="checkbox"/> Inheritance          | <input type="checkbox"/> Gift        |
| <input type="checkbox"/> Insurance Payout     | <input type="checkbox"/> Rental/Property Sale | <input type="checkbox"/> Pension     |
| <input type="checkbox"/> Maturing Investments | <input type="checkbox"/> Loan                 | <input type="checkbox"/> Other _____ |

## SECTION 6: BANK ACCOUNT DETAILS

### A. Product bank information

STANBIC BANK of KENYA LIMITED

Account Name	Account Number	Branch Code	Swift code
Mayfair Money Market Fund Inflow KES A/C	0100012271411	1007	SBICKENX
Mayfair Fixed Income Fund Inflow KES A/C	0100012271438	1007	SBICKENX

*Cash payment to an intermediary, agent, or employee is not allowed and is against Mayfair Asset Managers Limited policy.*

### B. Investor bank information

Please attach a copy of a certified recent bank statement /a recent copy of a certified cheque or ATM card as proof of bank account details provided herein.

#### I Bank Transfer

Bank Name: \_\_\_\_\_ Branch: \_\_\_\_\_

Account Name: \_\_\_\_\_ Account No.: \_\_\_\_\_

Type of account:  Current  Savings

#### II Mpesa Transfer

I acknowledge that I choose to add the option of receiving and depositing payments through the following M-Pesa registered mobile phone number, and hereby confirm that I have read and understood section 10 concerning my payment instructions:

Mobile Phone Number: \_\_\_\_\_

*Any changes to the bank/mobile number information provided above must be provided in writing with supporting evidence/documentation.*

## SECTION 7: UNIT TRUST FUNDS INVESTMENT DETAILS

### A. MAYFAIR MONEY MARKET FUND

- Suitable for investors who seek low-risk, medium-interest investments. Offers capital stability and immediate liquidity.
- The fund invests in interest-bearing securities and other short-term money market instruments not exceeding 13 months.

<b>Investment risk level</b>	Low-risk investment offering medium yield, capital stability, and immediate liquidity	
<b>Recommended investment horizon</b>	Short term	
<b>Fee structure</b>	Initial Fee	Annual Management Fee
	0%	2.5% pa

I/We fully understand the features and are ready to invest.

Amount to Invest: \_\_\_\_\_ Currency: \_\_\_\_\_

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

Payment method:  Cheque  Direct transfer  Direct cash/cheque deposit  Mpesa

#### B. MAYFAIR FIXED INCOME FUND

- Suitable for investors who seek regular income and those who intend to secure safety for their investments.
- The fund invests in fixed-income securities, including but not limited to treasury bills, treasury bonds, corporate bonds, and bank deposits.

<b>Investment risk level</b>	Low-risk investment offering high yield and income stability	
<b>Recommended investment horizon</b>	Short to medium-term	
<b>Fee structure</b>	Initial Fee	Annual Management Fee
	0%	2.5% pa

I/We fully understand the fund's features and are ready to invest in the Mayfair Fixed Income Fund.

Amount to Invest: \_\_\_\_\_ Currency: \_\_\_\_\_

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

Payment method:  Cheque  Direct transfer  Direct cash/cheque deposit  Mpesa

#### C. MAYFAIR BALANCED FUND

- Suitable for investors seeking to invest in a balanced portfolio offering exposure to all market sectors.
- The fund invests in interest-bearing securities as well as high-yielding equities.
- The fund may have exposure to offshore investments.

<b>Investment risk level</b>	Medium risk investment	
<b>Recommended investment horizon</b>	Medium to long-term	
<b>Fee structure</b>	Initial Fee	Annual Management Fee
	2%	3% pa

I/We fully understand the fund's features and are ready to invest in the Mayfair Balanced Fund.

Amount to Invest: \_\_\_\_\_ Currency: \_\_\_\_\_

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

Payment method:  Cheque  Direct transfer  Direct cash/cheque deposit  Mpesa

#### D. MAYFAIR EQUITY FUND

- Suitable for investors seeking long-term capital growth in their portfolios by offering superior returns over the long-term and maximizing long-term capital growth.
- The fund invests primarily in companies in the regional Security Exchanges, which show above-average prospects for future growth.
- The fund may have exposure to offshore investments.

<b>Investment risk level</b>	High risk	
<b>Recommended investment horizon</b>	Long term	
<b>Fee structure</b>	Initial Fee	Annual Management Fee
	2%	3% pa

I/We fully understand the fund's features and we are ready to invest in the Dividend Maximizer Fund.

Amount to Invest: \_\_\_\_\_ Currency: \_\_\_\_\_

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

Payment method:  Cheque  Direct transfer  Direct cash/cheque deposit  Mpesa

**SECTION 8: EMAIL/MOBILE INDEMNITY**

Dear Investor(s),

I/we, \_\_\_\_\_ (full name), hereby request Mayfair Asset Managers Limited, (“the Fund Manager”) to act upon my e-mail instructions (“Instructions”), as advised to the Fund Manager in writing from time to time, in regard to my/our investment account(s) with the Fund Manager, matters related to funds transfers to, from and within the Fund Manager, breaking of investments, rollovers and settlements of securities, believed by the Fund Manager to be issued by me if such instructions are sent from my/our email address as per records held with yourselves, irrespective of whether such instructions are genuine.

The Fund Manager may, however, at its sole discretion, decline to act upon the instructions unless and until confirmation has been obtained from me. I/we agree to indemnify the Fund Manager, its directors, officers, and employees against any loss, cost, damage, expenses, liability, or proceedings, which it/they may incur or suffer because of the Fund Manager or any such, director, officer, or employee acting upon or refraining from acting upon instructions.

I/we acknowledge that neither the Fund Manager nor its representatives shall be liable for any loss or damage caused as a result (including by reason of delay), of acting upon or refraining from acting upon instructions or in construing or processing such instructions in error, and the Fund Manager may debit any of my account(s) with any amount paid out pursuant to the receipt of instructions.

I/we undertake to confirm by letter, upon your request, all transactions have taken place from time to time pursuant to the instructions. The Fund Manager shall cease to be under obligation to comply with the instructions if the Fund Manager gives me written notice to such effect. Such notice shall be effective upon the lapse of twenty-four hours from the date of my receipt or seven days from the date of the notice, whichever is earlier.

Yours faithfully,

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

**SECTION 9: GENERAL TERMS and CONDITIONS**

<b>Unit trust:</b>	A collective investment scheme in which investors’ contributions are pooled together to purchase a portfolio of financial securities, such as equities (shares), bonds, cash, bank deposits, etc. The portfolio is managed by professional fund managers.
<b>Unit:</b>	Means an undivided share in the collective investment scheme portfolio of a unit trust scheme. Client-invested amounts in a unit trust are used to purchase units. Each unit represents an equal fraction of the total value of the pool of invested money in the fund. The number of units allocated is calculated by dividing the amount you invest by the offer price at the time.
<b>Offer price:</b>	Price at which units are purchased or switched in by a client.
<b>Bid Price:</b>	Price at which units are redeemed or switched out by a client.
<b>Objectives to consider:</b>	Investor risk profile. <ul style="list-style-type: none"> <li>• Investor time horizon for the investment.</li> <li>• Reason for investing, whether you require regular income from the investment or capital growth.</li> </ul>
<b>expected returns:</b>	Returns depend on <ul style="list-style-type: none"> <li>• Returns from the financial markets; and</li> <li>• The type of assets within the unit trust portfolio.</li> </ul>

**SECTION 10: DECLARATION**

1. The information provided in this application is true, correct, and accurate, and the money used for this investment does not arise out of the proceeds of any money laundering or other illicit activities.
2. I/We confirm that, where this information is signed in a representative capacity, I/we have the necessary authority to do so.
3. I/We hereby consent to Mayfair Asset Managers Limited verifying the information provided with others.
4. I/We confirm that this investment is not being made either directly or indirectly by or on behalf of any person restricted by the law of any relevant jurisdiction from investing.
5. Upon receipt, I/We shall review all statements and will notify Mayfair Asset Managers Limited immediately if there is a discrepancy.

6. I/We consent to the disclosure of this information for compliance purposes to regulators and government agencies.
7. I/We hereby confirm that the money used for these investments does not arise from the proceeds of crime and/or other illicit activities.
8. All transaction charges on purchasing securities/ investing shall be borne by the Client and not the Fund Manager.

**SECTION 11: SPECIAL INSTRUCTIONS**

---



---



---



---



---



---

**SECTION 10: SIGNING MANDATE**

**Authorized Signatories Details**

1 <sup>st</sup> Signatory (Indicate the Applicable category)	2 <sup>nd</sup> Signatory (Indicate the Applicable category)																
<input type="checkbox"/> Principal Officer <input type="checkbox"/> Shareholder <input type="checkbox"/> Individual Capacity <input type="checkbox"/> Authorized Person <input type="checkbox"/> Trustee/Director <input type="checkbox"/> Partner	<input type="checkbox"/> Principal Officer <input type="checkbox"/> Shareholder <input type="checkbox"/> Individual Capacity <input type="checkbox"/> Authorized Person <input type="checkbox"/> Trustee/Director <input type="checkbox"/> Partner																
Full Names: _____	Full Names: _____																
ID/Passport No: _____	ID/Passport No: _____																
Date of Birth: <table border="1" style="display: inline-table; border-collapse: collapse; text-align: center; width: 100px;"><tr><td style="width: 20px;">D</td><td style="width: 20px;">D</td><td style="width: 20px;">M</td><td style="width: 20px;">M</td><td style="width: 20px;">Y</td><td style="width: 20px;">Y</td><td style="width: 20px;">Y</td><td style="width: 20px;">Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y	Date of Birth: <table border="1" style="display: inline-table; border-collapse: collapse; text-align: center; width: 100px;"><tr><td style="width: 20px;">D</td><td style="width: 20px;">D</td><td style="width: 20px;">M</td><td style="width: 20px;">M</td><td style="width: 20px;">Y</td><td style="width: 20px;">Y</td><td style="width: 20px;">Y</td><td style="width: 20px;">Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y										
D	D	M	M	Y	Y	Y	Y										
Mobile Telephone No.: _____	Mobile Telephone No.: _____																
Office Telephone No.: _____	Office Telephone No.: _____																
E-mail: _____	E-mail: _____																
Postal Address: _____ Code: _____	Postal Address: _____ Code: _____																
Nationality: _____	Nationality: _____																
Country of Residence: _____	Country of Residence: _____																
Signature: _____	Signature: _____																
Date: <table border="1" style="display: inline-table; border-collapse: collapse; text-align: center; width: 100px;"><tr><td style="width: 20px;">D</td><td style="width: 20px;">D</td><td style="width: 20px;">M</td><td style="width: 20px;">M</td><td style="width: 20px;">Y</td><td style="width: 20px;">Y</td><td style="width: 20px;">Y</td><td style="width: 20px;">Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y	Date: <table border="1" style="display: inline-table; border-collapse: collapse; text-align: center; width: 100px;"><tr><td style="width: 20px;">D</td><td style="width: 20px;">D</td><td style="width: 20px;">M</td><td style="width: 20px;">M</td><td style="width: 20px;">Y</td><td style="width: 20px;">Y</td><td style="width: 20px;">Y</td><td style="width: 20px;">Y</td></tr></table>	D	D	M	M	Y	Y	Y	Y
D	D	M	M	Y	Y	Y	Y										
D	D	M	M	Y	Y	Y	Y										
Signing mandate: <input type="checkbox"/> all <input type="checkbox"/> Either <input type="checkbox"/> At least Two <input type="checkbox"/> One	Signing mandate: <input type="checkbox"/> all <input type="checkbox"/> Either <input type="checkbox"/> At least Two <input type="checkbox"/> One																

**SECTION 11: FOR OFFICIAL PURPOSES**

**KNOW YOUR CUSTOMER (KYC) CHECKLIST**

Based on the investor type identified, obtain evidence of the relevant identification documents below and tick (√) as appropriate.

**INDIVIDUAL/JOINT INVESTORS/ SOLE TRADER/UNREGISTERED ENTITIES**

<b>KYC Requirements</b>		
	<b>Wealth Advisor Copies Obtained</b>	<b>Authorized Staff Document verified</b>
Form of identification (select one) National I.D/Passport/Birth Certificate	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
KRA PIN Certificate	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Canceled Cheque/Bank Statement not more than 3 months old	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Income tax exemption certificate if applicable	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Payment Evidence (cheque/Deposit slip/Transfer form /standing order/MPESA statement)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

**INTERMEDIARY**

I confirm that all the required documents as per KYC checklist have been attached.

Full Names of the Intermediary: \_\_\_\_\_

Intermediary Code: \_\_\_\_\_

Email Address: \_\_\_\_\_ Signature: \_\_\_\_\_

Date:

**AUTHORIZED MAYFAIR ASSET MANAGERS LIMITED STAFF**

I certify that all the required documents as per KYC Checklist have been provided:

Full Names: \_\_\_\_\_ Signature: \_\_\_\_\_

Date:

**Affix Compliance Stamp**

MAYFAIR ASSET MANAGERS LIMITED

A Licensed fund manager by Capital Markets Authority

Mayfair Centre, 7th Floor, Ralph Bunche Road | P O Box 45161 - 00100, Nairobi, Kenya |

Tel +254 20 2916000 |

Email: [invest@mayfairasset.com](mailto:invest@mayfairasset.com)