

Date:
I&M CAPITAL FUNDS CORPORATE APPLICATION FORM

(Form should be filled in CAPS. All fields are mandatory)

 Member Number:
1. COMPANY DETAILS

Type of Business (Tick as Applicable <input checked="" type="checkbox"/>)			
<input type="checkbox"/> Sole Proprietorship	<input type="checkbox"/> Partnership	<input type="checkbox"/> Society/Association/Club/Trust/SACCO	<input type="checkbox"/> Limited Company
<input type="checkbox"/> Others (Specify) <input type="text"/>			
Nature of Business (Provide details on your industry and key activities) <input type="text"/>			
<input type="text"/>			

Business/Entity Name		<input type="text"/>								
Trading Name		<input type="text"/>								
Date of Incorporation/Registration	D	D	M	M	Y	Y	Y	Y	KRA PIN	<input type="text"/>
Registration Certificate Number		<input type="text"/>								
Mailing Postal Address				Postal Code		Town		<input type="text"/>		
Primary Contact (Required)	Email Address		<input type="text"/>							
	Mobile Number			Other Number		<input type="text"/>				
Alternative contact	Email Address		<input type="text"/>							
	Mobile Number			Other Number		<input type="text"/>				
Physical Address (Required)				Street		House No.		<input type="text"/>		

2. SIGNATORY/ DIRECTOR DETAILS

Signatory/ Director			
Mr/Mrs/Ms/Minor	First Name	Middle Name	Last Name
	<input type="text"/>	<input type="text"/>	<input type="text"/>
Gender	<input type="checkbox"/> Male	<input type="checkbox"/> Female	Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married
Nationality	Identification Document Type		Identification Document Number
	<input type="checkbox"/> National ID		<input type="text"/>
KRA PIN No.	<input type="text"/>	<input type="checkbox"/> Passport	
Country of Residence	<input type="checkbox"/> Kenya	<input type="checkbox"/> Other (Specify) <input type="text"/>	
Postal Address (Optional)	Postal Code		Town
	<input type="text"/>		<input type="text"/>
Physical/Residential Address (Required)			Town
	<input type="text"/>		<input type="text"/>
Primary Contact (Required)	Email Address		<input type="text"/>
	Mobile Number		Other Number <input type="text"/>
Profession / Designation			
<input type="text"/>			
PEP DECLARATION (Individuals with prominent public functions)			
Are you entrusted with prominent public office locally or in foreign country, including any of your immediate family or close associate(s)?			
<input type="checkbox"/> Yes <input type="checkbox"/> No			

Signatory/ Director			
Mr/Mrs/Ms/Minor	First Name	Middle Name	Last Name
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	Marital Status	<input type="checkbox"/> Single <input type="checkbox"/> Married
Nationality	Identification Document Type	Identification Document Number	
	<input type="checkbox"/> National ID		
KRA PIN No.	<input type="text"/>	<input type="checkbox"/> Passport	
Country of Residence	<input type="checkbox"/> Kenya <input type="checkbox"/> Other (Specify) <input type="text"/>		
Postal Address (Optional)		Postal Code	Town
Physical/Residential Address (Required)			Town
Primary Contact (Required)	Email Address		
	Mobile Number	Other Number	
Profession / Designation			
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<input type="checkbox"/> Yes <input type="checkbox"/> No			

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	<input type="checkbox"/> National ID		
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Country of Residence	<input type="checkbox"/> Kenya <input type="checkbox"/> Other (Specify) <input type="text"/>		
Postal Address (Optional)		Postal Code	Town
Physical/Residential Address (Required)			Town
Primary Contact (Required)	Email Address		
	Mobile Number	Other Number	
Profession / Designation			
PEP DECLARATION (Individuals with prominent public functions)			
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<input type="checkbox"/> Yes <input type="checkbox"/> No			

Signatory/ Director					
Mr/Mrs/Ms/Minor	First Name	Middle Name	Last Name		
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Nationality	Identification Document Type		Identification Document Number		
	<input type="checkbox"/> National ID				
KRA PIN No.	<input type="text"/>	<input type="checkbox"/> Passport			
Country of Residence	<input type="checkbox"/> Kenya	<input type="checkbox"/> Other (Specify) <input type="text"/>			
Postal Address (Optional)	<input type="text"/>	Postal Code	<input type="text"/>	Town	<input type="text"/>
Physical/Residential Address (Required)	<input type="text"/>				Town
Primary Contact (Required)	Email Address	<input type="text"/>			
	Mobile Number	<input type="text"/>	Other Number	<input type="text"/>	
Profession / Designation	<input type="text"/>				
PEP DECLARATION (Individuals with prominent public functions)					
Are you entrusted with prominent public office locally or in foreign country, including any of your immediate family or close associate(s)?					
<input type="checkbox"/> Yes <input type="checkbox"/> No					

3. FATCA DECLARATION (FOREIGN ACCOUNT TAX COMPLIANCE ACT)

On an annual basis, I&M Capital will report information on financial accounts held directly or indirectly by US Persons. In certain circumstances and where customers fail to provide the appropriate documentation, I&M Capital may be required to apply 30% US withholding tax on Certain types of US Income paid to such customers.

Do you receive any income from the US? Yes No Does any entity have US Partner/Signatories/Directors? Yes No

4. FOREIGN TAX RESIDENCY STATUS

Is the Entity registered for tax in any other country? Yes No
If 'Yes', please provide your Tax Identification Number for each country.

Registration Certificate Number	Country	Tax Identification Number (TIN)
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>

5. PARTICULARS OF SIGNIFICANT SHAREHOLDERS

Please indicate below the name of significant shareholder(s) (10% and above) and individuals who are the ultimate beneficial owners in cases where a shareholder is a corporate body.

Stakeholder(s) Name (Individual(s) or Registered Entity)	Stakeholder Type (Director, Shareholder, Sole Proprietor, etc.)	Ultimate Beneficial Owner's Name (This information is required if shareholder is a corporate body)	ID/PP No. for Individuals or Registration No. for Entities	Shareholding (%)	Nationality
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

6. RISK PROFILE QUESTIONNAIRE

1. How long has the entity been in operation?

0 - 5 Years 6 - 10 Years Over 10 Years

2. How long do you intend to hold the investment?

Upto 1 year Between 1 and 3 Years Above 3 Years

3. What percentage of your total portfolio does this investment represent?

Less than 10% 10% to 25% 26% to 50% 51% and above

4. How would you say your knowledge is in Investments and Financial Markets?

No Knowledge Very Little Knowledge Good Knowledge Excellent Knowledge

5. When do you expect to need most of your money from this investment?

In 2 years or less Within 3-5 Years Within 6-10 Years Above 10 Years

6. Do you have other source of savings for your liquidity needs?

No Yes, but less than 6 months' worth Yes, more than 6 months' worth

7. Would you consider borrowing money to make a future investment?

No Yes

8. What type of investment / saving do you currently hold?

Unit Trust Shares Treasury Bonds Property

Treasury Bills Fixed Deposits Offshore Investment Corporate Bonds

7. RISK ASSESSMENT

Which one of the following best describes your investment risk appetite? (Select one option as appropriate)

<input type="checkbox"/>	Conservative	Low Risk - Generally seek to preserve capital and aims for stable and predictable investment returns. Prefer investments that offer lower volatility and a higher degree of certainty.
<input type="checkbox"/>	Moderate	Medium Risk - Seek a balance between growth, risk and diversification but also prioritize capital preservation. Comfortable with some market volatility in exchange for potentially higher returns.
<input type="checkbox"/>	Aggressive	High Risk – Long term investor seeking high returns on investments and willing to accept a higher degree of risk and volatility to achieve those returns. Prioritize capital appreciation over income.

Disclaimer:

This risk assessment should not be regarded as investment advice or an offer to sell, or solicitation for an offer to purchase any investment products or services. I&M Capital limited accepts no responsibility or liability as to the accuracy of completeness of the information provided in the risk assessment. The assessment is not a substitute for professional advice.

8. FUND INFORMATION

Fund Name	Risk Rating	Fund Details
I&M Capital Wealth Fund (KES)	Low Risk	<ul style="list-style-type: none"> • Open-ended money market fund that invests in short term fixed income securities • Aims to maximize income for investors while minimizing risk • Interest is earned daily and compounded monthly • Provides quick access to moneys invested • Minimum Initial Investment Amount KES 5,000 • Minimum top-up Amount KES 2,000 • Minimum withdrawal Amount KES 2,000 • Annual Management Fees 2%

I&M Capital Bond Plus Fund (KES)	Medium Risk	<ul style="list-style-type: none"> • Suitable for investors seeking competitive income • Aims to maximize the level of total return generating a reasonable level of income and maximum stability for the capital invested • Fund invests in long term Government and other interest bearing securities • Minimum Initial Investment Amount KES 100,000 • Minimum top-up Amount KES 50,000 • Minimum withdrawal Amount KES 50,000 • Annual Management Fees 2% • Lock in period of 6 months from date of initial investment • Only one withdrawal allowed per month
I&M Capital USD Fixed Income Fund (USD)	Medium Risk	<ul style="list-style-type: none"> • Open-ended fixed income fund that provides attractive returns in USD • Invests in US Dollar denominated fixed income securities • Interest is earned daily and compounded monthly • Provides quick access to moneys invested • Minimum Initial Investment Amount USD 1,000 • Minimum top-up Amount USD 100 • Minimum withdrawal Amount USD 100 • Annual Management Fees 1.5%
I&M Capital Special GBP Fixed Income Fund (GBP)	High Risk	<ul style="list-style-type: none"> • The Special GBP Fixed Income Fund aims to generate a regular income stream over the medium term • Designed for investors with a moderate to high risk tolerance and understanding of derivatives • Interest is earned daily and compounded monthly • Provides quick access to moneys invested • Minimum initial investment of GBP 10,000 • Minimum top-up of GBP 1,000 • Minimum withdrawal of GBP 1,000 • Annual Management Fees 1.5%

9. FUND SELECTION

(Please select one or more funds that you may wish to invest)

Select preferred Funds	Fund Name	Fund Currency	Bank Account Details	Indicate Initial Investment Amount
<input type="checkbox"/>	I&M Capital Wealth Fund (KES) Minimum Initial Investment Amount: KES: 5,000	Low Risk	Account Name: IM Capital Limited Clients Account Wealth Fund Collections Account Bank: I&M Bank Limited, Kenya Branch: 1 Park Avenue Currency: Kenya Shillings (KES) Account Number: 01003476581352 SWIFT Code: IMBLKENAXXX	KES: _____
<input type="checkbox"/>	I&M Capital Bond Plus Fund (KES) Minimum Initial Investment Amount KES: 100,000	Medium Risk	Account Name: IM Capital Limited Clients Account Bond Plus Fund Collections Account Bank: I&M Bank Limited, Kenya Branch: 1 Park Avenue Currency: Kenya Shillings (KES) Account Number: 01003476581358 SWIFT Code: IMBLKENAXXX	KES: _____
<input type="checkbox"/>	I&M Capital US Dollar Fixed Income Fund Minimum Initial Investment Amount USD: 1,000	Medium Risk	Account Name: IM Capital Limited Clients Account USD Fixed Income Fund Collections Account Bank: I&M Bank Limited, Kenya Branch: 1 Park Avenue Currency: United States Dollar (USD) Account Number: 01003476581355 SWIFT Code: IMBLKENAXXX	USD: _____
<input type="checkbox"/>	I&M Capital Special GBP Fixed Income Fund Minimum Initial Investment Amount GBP: 10,000	High Risk	Account Name: IM Capital Limited Clients Account GBP Fixed Income Fund Collections Account Bank: I&M Bank Limited, Kenya Branch: 1 Park Avenue Currency: Great Britain Pound (GBP) Account Number: 01003476581361 SWIFT Code: IMBLKENAXXX	GBP: _____

Note: Funds received before 12 noon, value date will be the following working day. Any funds received after 12 noon will be value dated the day after the next working day (2 working days upon receipt). Value date will not be applied on weekends and public holidays

10. SOURCE OF FUNDS

<input type="checkbox"/> Business Income	<input type="checkbox"/> Interest/Dividends	<input type="checkbox"/> Property Sale	<input type="checkbox"/> Investments Proceeds
<input type="checkbox"/> Loan Proceeds	<input type="checkbox"/> Rental Income	<input type="checkbox"/> Gifts / Inheritance	<input type="checkbox"/> Fixed Deposits
<input type="checkbox"/> Donations	<input type="checkbox"/> Members Contributions	<input type="checkbox"/> Others (please specify)	<input type="text"/>

11. CUSTOMER BANK DETAILS

Please note that the account details below will be used for your withdrawal payments in line with the fund(s) selected (must be an I&M Bank account).

KES Bank Details	
Account Name	<input type="text"/>
Account Number	<input type="text"/>
Currency	<input type="text"/>
I&M Bank Branch	<input type="text"/>

USD Bank Details	
Account Name	<input type="text"/>
Account Number	<input type="text"/>
Currency	<input type="text"/>
I&M Bank Branch	<input type="text"/>

GBP Bank Details	
Account Name	<input type="text"/>
Account Number	<input type="text"/>
Currency	<input type="text"/>
I&M Bank Branch	<input type="text"/>

Note: Withdrawals are processed within 3 working days of receipt of request from an investor.

12. SIGNING MANDATE (Please ensure that signing mandates selected align to your I&M Bank account mandates.)

<input type="checkbox"/> Sole	<input type="checkbox"/> Either	<input type="checkbox"/> Any two	<input type="checkbox"/> All to sign	<input type="checkbox"/> Other (Please specify)	<input type="text"/>
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Payment Method	<input type="checkbox"/> Internal Bank Transfer	<input type="checkbox"/> OTG Transfer	<input type="checkbox"/> RTGS
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13. INCOME DISTRIBUTION

Do you want to reinvest monthly interest?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	(If no, payment of monthly interest will be made by the 5 th of the following month).
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14. DECLARATION

<ol style="list-style-type: none">1. We the undersigned persons: declare that the information in this application is true, correct and accurate and that we will supply I&M Capital with any further information if necessary due to changes of the above.2. We apply for investments with I&M Capital on the terms, conditions and regulatory information set out in the information memorandum and the other incorporation documents.3. We hereby confirm that the money used for these investments does not arise from any proceeds of crime, money laundering, terrorism, and other illegal activities.4. We agree that all proceeds from redemptions and income distribution will be paid in accordance with the applicable payment instructions or law of the land. We hereby confirm to have received information on the agreed investment objectives as per the Client risk profile, involved risks, handling of income accruals, charges and pricing.5. By investing with I&M Capital Limited ("IMCL"), you acknowledge that your investment is exposed to various risk factors, including but not limited to market risks, default by issuer or third party associated risks and therefore your principal and/or return(s) are not guaranteed nor assured by either of IMCL, I&M Bank Limited, I&M Group Plc or the issuer/3rd party. Furthermore, you acknowledge that any past performance does not predict future results.6. Any investment advice provided by IMCL is based on current market conditions and information believed to be reliable, but no guarantee is made regarding its accuracy or completeness. The advisor shall not be held liable for any losses or damages arising from investment decisions made based on this advice.7. Some IMCL products or services may involve third parties, for which, any and all third-party liability is expressly disclaimed. IMCL's liability is strictly limited to losses directly caused by its gross negligence or wilful misconduct, with all other losses excluded to the fullest extent permitted by law. By investing in IMCL, you confirm that you have read and understood IMCL's full risk disclaimer and the applicable terms and conditions all of which are available at www.imbankgroup.com/ke/personal/investment/international-wealth-management/

8. We understand that the above-referenced Risk Profile Questionnaire acts as a guide only to building an overall financial solution. We recognise that there are other factors to consider besides my score on this questionnaire when making portfolio decisions.
 9. We confirm that We are comfortable with the risk score achieved from the above questionnaire.
 10. We confirm that We have read and understood these declarations and their implications.
 11. By signing this Declaration We hereby confirm that We have read, understood and accepted THE TERMS AND CONDITIONS FOR WEALTH MANAGEMENT INVESTMENTS OR SERVICES WITH I&M CAPITAL LIMITED.
- We hereby confirm that I have read, understood and accepted THE TERMS AND CONDITIONS FOR WEALTH MANAGEMENT INVESTMENTS OR SERVICES WITH I&M CAPITAL LIMITED.

Signatory/ Director Name		Signature	
Date			
Signatory/ Director Name		Signature	
Date			
Signatory/ Director Name		Signature	
Date			
Signatory/ Director Name		Signature	
Date			

15. PRODUCT AND MARKETING UPDATE

You agree that I&M Capital Limited may collect, use and disclose your personal data, which you have provided in this form, for providing marketing material that you have agreed to receive, in accordance with the Data Protection Act 2019.

Please tick the relevant boxes below if you agree to receive the following:

Our monthly Newsletter (sent by us via email)

Information sent by us about our products and services, including updates on our latest promotions and new products and services, via the following channels:

Email SMS Phone Call

Information sent by us on selected third parties' products and services, such as updates on their latest promotions and new products and services, via the following channels:

Email SMS Phone Call

16. BOARD RESOLUTION

The meeting being quorate it was unanimously agreed to and IT WAS RESOLVED as follows:-

1. That the company opens and operates an account or accounts with the I&M Capital Limited on the terms and conditions of the Mandate endorsed on these Application form.
2. That the Application to Open an I&M Capital Account be and the same is hereby approved and that the directors complete the form, execute the Mandate endorsed thereon and deliver the same forthwith to I&M Capital Limited.
3. That the persons whose names appear below be and are duly authorised to open and operate the account(s) on behalf of the Company and their specimen signatures be appended to the Mandate:

Name of Authorised Signatory	Position	Signature

4. That the terms and conditions of the proposed arrangements stated in I&M Capital Limited's Terms and Conditions and produced in the meeting be and are hereby approved.

Declaration:

We, the undersigned persons, on behalf of (the "Company") hereby declare that the Company has been incorporate in conformity with the provisions of the Companies Act, No. 17 of 2015 and that the Company: (To choose one of the options below):

- has been incorporated with its own Articles of Association; or
- has adopted the model Articles of Association as provided for in the Companies Act 2015; or
- has been incorporated with part of its own Articles of Association and adopted part of the model Articles of Association provided in the Companies Act 2015.

The secretary reported that under the Articles of Association of the company, the Directors present were empowered to pass the necessary approvals to ratify the resolutions above. The Company shall indemnify I&M Capital Limited against any actions, proceedings, claims, demands, losses, costs, damages, liabilities or expenses whatsoever which the I&M Capital may at any time incur, sustain or suffer as a result of its acting upon or refraining from acting upon this declaration.

It is hereby certified that the foregoing is a true extract from the minutes of the meeting of the Board of Directors of the company, that a quorum of the Directors was present throughout the meeting, that the resolutions set forth above were duly passed in accordance and comply with the Memorandum, Articles of Association of the company.

Signatory/ Director Name	Date

Signatory/ Director Name	Date

17. LIST OF KYC REQUIREMENTS

Companies Incorporated in Kenya	<ol style="list-style-type: none"> 1. Duly Completed and signed Account Opening Form Incorporating General Terms and Conditions. 2. Board of Directors Resolution (Signed by at least two Directors). 3. ID / Passport of all signatories to the account (Certified). 4. ID / Passport of the Directors (Certified). 5. Digital passport photos of all signatories to the account and directors. 6. PIN Certificate of all signatories to the account and directors (Certified). 7. Memorandum and Articles of Association (Certified). 8. Certificate of Incorporation (Certified). 9. PIN Certificate of business entity (Certified). 10. Company Search – (CR12). 11. World Check report (Entity and Individual directors).
Public Schools & Institutions	<ol style="list-style-type: none"> 1. A copy of School Certificate of Registration. 2. A letter from the Ministry of Education – by District Education Officer (DEO) authorizing the School to open the Account. 3. School Board of Governors resolution to open an account with the bank clearly designating the signatories and the signing mandate certified by the District Education Officer. 4. Identification documents of the Signatories. 5. Passport size photo for each Signatory. 6. World Check report.
Registered Groups (Chama) Accounts	<ol style="list-style-type: none"> 1. A copy Registration Certificate. 2. PIN Certificates of the group and all signatories. 3. Copy of the Group’s Constitution (Memorandum) certified by DSDO. 4. Extracts of minutes of the meeting where a resolution was passed to open an account with the bank duly certified by the DSDO. 5. A copy of identification document for each of the signatories. 6. A passport size photo for each of the Signatories. 7. World Check report.