



COLLECTIVE INVESTMENT SCHEMES KEY INVESTOR INFORMATION CHECKLISTⁱ

(Regulation 22 and the Fourth Schedule of the Capital Markets (Collective Investment Schemes) Regulations 2023 for filing at the Authority)

No.	Requirement	Met Y/N	Comment
1.	Key Investor information shall provide information on the following essential elements in respect of the scheme concerned		
	a) Identification of the scheme		
	b) Investment Objective and Investment Policy		
	c) Past- performance presentation or where relevant performance scenarios		
	d) Costs and associated charges		
	e) Risks/reward profile of the investment including appropriate guidance and warnings in relation to the risks associated with investments in the relevant scheme		
	f) Are these key elements comprehensible to the investor without any reference to other documents		
	g) Where and how additional information relating to the proposed investment including where and how the prospectus and the annual and half-year report can be obtained		
2.	Pre-contractual information-		
	a) Key investor information shall constitute pre-contractual information, consistent with the relevant parts of the information memorandum		
	b) Key Investor information shall contain a clear warning that a person shall not incur civil liability solely on the		

	basis of the key investor information unless it is misleading, inaccurate or inconsistent with the relevant parts of the Information Memorandum		
3.	Medium provision of key investor information;		
	a) Investment companies and, for each scheme that they manage, fund managers, may provide key investor information in a durable medium		
	b) In addition, an up-to-date version of the key investor information shall be made available on the website of the investment company or fund manager		
4.	Key investor information to the Authority		
	a) Investment companies and, for each scheme that they manage, fund managers shall send key investor information and any amendments thereto to the Authority.		
	b) The essential elements of key investor information shall be kept up to date.		

ⁱ The checklists issued by the Capital Markets Authority Kenya(CMA) are intended to provide clarity and assistance in navigating regulatory requirements. However, it is important to note that these checklists are not intended to serve as a substitute for reading and comprehending the regulations themselves. Individuals and entities subject to regulatory oversight should familiarize themselves with the applicable laws, rules, and regulations, and seek appropriate legal or professional advice as needed. The checklists provided by the Capital Markets Authority are meant to supplement, not replace, a thorough understanding of regulatory obligations