

## LIST OF LICENSEES & APPROVED INSTITUTIONS – JANUARY 6, 2021

APPROVED INSTITUTIONS		
<i>Name of the Company</i>	<i>Address</i>	<i>Nature of Operation</i>
1. The Nairobi Securities Exchange	P.O. Box 43633- 00100, Nairobi	Securities Exchange
2. Central Depositories and Settlement Corporation Limited	P.O. Box 3464 - 00100, Nairobi	Central Depository
3. Augusto & Company Limited	P.O. Box 56136, Ikoyi Lagos, Nigeria	Credit Rating Agency
4. Metropol Corporation Limited	P.O. Box 35331 – 00200, Nairobi	Credit Rating Agency
5. Global Credit Rating Company	1 <sup>st</sup> Floor, GFin Tower, 42 Hotel Street, Cyber City, Ebene, 72201, Mauritius	Credit Rating Agency
6. Care Ratings (Africa) Private Limited	1 <sup>st</sup> Floor, MTML Square 63 Cybercity, Ebene	Credit Rating Agency
7. A.M Best Europe – Rating Services Limited (AMBERS)	6 <sup>th</sup> Floor, 12 Arthur Street, London EC 4R 9AB, UK	Credit Rating Agency

INVESTMENT BANKS			
	<b>NAME</b>	<b>ADDRESS</b>	<b>LICENSE NUMBER</b>
1	African Alliance Kenya Investment Bank Limited	P.O. Box 27639, Nairobi	001
2	ABSA Securities Limited	P.O. Box 30120-00100, Nairobi	002
3	CBA Capital Limited	P.O. Box 30437-00100, Nairobi	003
4	Dyer and Blair Investment Bank Limited	P.O. Box 45396-00100, Nairobi	004
5	Equity Investment Bank Limited	P.O. Box 74454-00200, Nairobi	005
6	Faida Investment Bank Limited	P.O. Box 45236-00100, Nairobi	006
7	Genghis Capital Limited	P.O. Box 9959-00100, Nairobi	007

8	KCB Capital Limited	P.O. Box 48400-00101, Nairobi	008
9	NCBA Investment Bank Limited	P.O. Box 44599-00100, Nairobi	009
10	Renaissance Capital (Kenya) Limited	P.O. Box 40560-00100, Nairobi	010
11	SBG Securities Limited	P.O. Box 47198-00100, Nairobi	011
12	Standard Investment Bank Limited	P.O. Box 13714-00800, Nairobi	012
14	Sterling Capital Limited	P.O. Box 45080-00100, Nairobi	021
15	Dry Associates Investment Group	P.O. Box 684-00606, Nairobi	114
16	Salaam Investment Bank Kenya Limited	P.O. Box 14939-00100, Nairobi	115

#### STOCKBROKERS

1	ABC Capital Limited	P.O. Box 34137-00100, Nairobi	013
2	AIB-AXYS Africa Limited	P.O. Box 43676-00100, Nairobi	015
3	Francis Drummond & Company Limited	P.O. Box 45465-00100, Nairobi	016
4	Kingdom Securities Limited	P.O. Box 48231-00100, Nairobi	018
5	NIC Securities Limited	P.O. Box 63046-00200, Nairobi	019
6	Old Mutual Securities Limited	P.O. Box 50338-00200, Nairobi	020
7	Suntra Investments Limited	P.O. Box 74016-00200, Nairobi	022
8	Securities Africa Kenya Limited	P.O. Box 43633 – 00100, Nairobi	100
9	EFG Hermes Kenya Limited	P.O. Box 349 – 00623, Nairobi	105
10	Kestrel Capital (East Africa) Limited	P.O. Box 40005-00100, Nairobi	136

### NON-DEALING ONLINE FOREIGN EXCHANGE BROKER

1	EGM Securities Limited ( <i>trading as "FXPesa"</i> )	P.O. Box 57876-00200, Nairobi	107
2	SCFM Limited ( <i>trading as "Scope Markets"</i> )	P.O. Box 40719-00200, Nairobi	123
3.	Pepperstone Markets Kenya Limited	P.O Box 3085 - 00100	128
4.	Exinity East Africa Limited	P.O. Box 50719-00200	135

### ONLINE FOREIGN EXCHANGE MONEY MANAGER

1	Standard Investment Bank Limited ( <i>trading as "MANSA X"</i> )	P.O. Box 13714-00800, Nairobi	116
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### AUTHORISED SECURITIES DEALER

2	Standard Chartered (Kenya) Plc	P.O. Box 30003 – 00100, Nairobi	109
3	SBM Bank (Kenya) Limited	P.O. Box 34886-00100, Nairobi	122

### FUND MANAGERS

1	Alpha Africa Asset Managers	P.O. Box 34530-00100, Nairobi	023
2	Amana Capital Limited	P.O. Box 9480-00100, Nairobi	024
3	Apollo Asset Management Company Limited	P.O. Box 30389, Nairobi	025
4	Britam Asset Managers (Kenya) Limited	P.O. Box 30375-00100, Nairobi	027
5	Metropolitan Cannon Asset Managers Limited	P.O. Box 30216-00100, Nairobi	028
6	Nabo Capital Limited	P.O. Box 10518-00100, Nairobi	029
7	CIC Asset Management Limited	P.O. Box 59485-00200, Nairobi	030
8	Co-op Trust Investment Services Limited	P.O. Box 48231-00100, Nairobi	031
9	FCB Capital Limited	P.O. Box 26219-00100, Nairobi	033
10	Fusion Investment Management Limited	P.O. Box 47538-00100, Nairobi	034

11	GenAfrica Asset Managers Limited	P.O. Box 79217-00200, Nairobi	035
12	ICEA Lion Asset Management Limited	P.O. Box 46143-00100, Nairobi	036
13	Madison Investment Managers Limited	P.O. Box 20092-00100, Nairobi	037
14	Old Mutual Investment Group Limited	P.O. Box 11589-00400, Nairobi	038
15	Sanlam Investments East Africa Limited	P.O. Box 67262-00100, Nairobi	040
16	Standard Chartered Investment Services Limited	P.O. Box 30003-00100, Nairobi	042
18	Zimele Asset Management Company Limited	P.O. Box 76528-00508, Nairobi	045
19	Natbank Trustee and Investment Services Limited	P.O Box 72866 – 00200 Nairobi	087
20	Allan Gray (Kenya) Limited	P.O BOX 63946 – 00619 Nairobi	101
21	Cytonn Asset Managers Limited	P.O Box 20295-00200, Nairobi	108
22	Altree Capital Kenya Limited	P.O. Box 2607 -00200 Nairobi	110
23	Jubilee Financial Services Limited	P.O. Box 30376 -00100, Nairobi	119
24	ABSA Asset Management Limited	P.O. Box 30120 -00200 Nairobi	129
25	African Diaspora Asset Managers Limited	P.O Box 1838 City Square	131
26	CFS Asset Management Limited	P.O. Box 62268-00200 Nairobi	134

#### INVESTMENT ADVISERS

1	Bora Capital Limited	P.O. Box 26718-00200, Nairobi	046
2	I & M Burbidge Capital Limited	P.O. Box 51525-00100, Nairobi	047
3	Co-op Consultancy & Insurance Agency Limited	P.O. Box 48231-00100, Nairobi	050

4	Deloitte Financial Advisory Limited	P.O. Box 40092-00100, Nairobi	051
5	Lifestyle Management Limited	P.O. Box 1342-00606, Nairobi	054
6	PriceWaterhouseCoopers Associates	P.O. Box 43963-00100, Nairobi	056
7	The Profin Group (K) Limited	P.O. Box 9980-00100, Nairobi	059
8	Liaison Financial Services Limited	P.O Box 58013 – 00200 Nairobi	095
9	Waugh McDonald Wealth Management Limited	P.O Box 1896 – 00606 Nairobi	103
10	Aylesfield (Kenya) Limited	P.O Box 1380 – 00621 Nairobi	104
11	Ace Financial Advisory Limited	P.O. Box 15916-80100 Mombasa	111
12	Synesis Capital Limited	P.O. Box 75282-00200 Nairobi	112
13	AFG Wealth Kenya Limited	P.O. Box 764-00606, Nairobi	124
14	Virtual Capital International Limited	6th Floor, Prosperity House, Westlands Road, Nairobi	125

AUTHORIZED DEPOSITORIES			
1	African Banking Corporation Limited	P.O. Box 46452-00100, Nairobi	062
2	Bank of Africa Kenya Limited	P.O. Box 69562-00400, Nairobi	063
3	Absa Kenya Plc	P.O. Box 30120-00100, Nairobi	064
4	Stanbic Bank Kenya Limited	P.O. Box 30550-00100, Nairobi	065
5	Co-operative Bank of Kenya Limited	P.O. Box 48231 -00100, Nairobi	067
6	Equity Bank Limited	P.O. Box 75104-00200, Nairobi	068
7	I & M Bank Limited	P.O. Box 30238-00100, Nairobi	069
8	Kenya Commercial Bank Limited	P.O. Box 30664-00100, Nairobi	070

9	National Bank of Kenya Limited	P.O. Box 72866-00200, Nairobi	071
11	Prime Bank Limited	P.O. Box 43825-00100, Nairobi	073
12	Standard Chartered Bank (Kenya) Plc	P.O. Box 30003-00100, Nairobi	074
13	Transnational Bank Limited	P.O. Box 34353-00100, Nairobi	075
14	HFC Limited	P.O. Box 30088-00100, Nairobi	113
15	Gulf African Bank Limited	P.O. Box 43683-00100, Nairobi	117
16	Credit Bank Limited	P.O. Box 61064-00200, Nairobi	120
17	SBM Bank (Kenya) Limited	P.O. Box 34886-00100, Nairobi	121
18	NCBA Bank Kenya Plc	P.O. Box 44599-00100, Nairobi	126

#### REIT MANAGERS

1	Nabo Capital Limited	P.O. Box 10518-00100, Nairobi	076
2	CIC Asset Management Limited	P.O. Box 59485 - 00200, Nairobi	080
3	Fusion Investment Management Limited	P.O. Box 47538 - 00100, Nairobi	081
4	Stanlib Kenya Limited	P.O. Box 30550 - 00100, Nairobi	082
5	ICEA Lion Asset Management Limited	P.O. Box 46143 - 00100 Nairobi	092
6	Sterling REIT Asset Management Limited	P.O. Box 45080 - 00100 Nairobi	097
7	H.F. Development and Investment Limited	P.O. Box 30088 - 00100	098
8	Britam Asset Managers Limited	P.O. Box 30375 - 00100, Nairobi	106
9.	Cytonn Asset Managers Limited	P.O. Box 20295-00200, Nairobi	118
10.	Acorn Investment Management Limited	P.O. Box 13759 GPO Nairobi	133



REIT TRUSTEES			
1	Housing Finance Company (K) Limited	P.O. Box 30088-00100, Nairobi	088
2	Co-operative Bank of Kenya Limited	P.O. Box 48231-00100, Nairobi	089
3	Kenya Commercial Bank Limited	P.O. Box 30664 -00100, Nairobi	090

AUTHORISED REAL ESTATE INVESTMENT TRUSTS (REITS)			
1	ILAM Fahari I-REIT	P.O. Box 46143 - 00100	4/2015

APPROVED COLLECTIVE INVESTMENT SCHEMES	
1.	<p><b>African Alliance Kenya Unit Trust Scheme – No. 01/2003</b>, comprising of;</p> <ul style="list-style-type: none"> <li>i. African Alliance Kenya Shilling Fund</li> <li>ii. African Alliance Kenya Fixed Income Fund</li> <li>iii. African Alliance Kenya Managed Fund</li> <li>iv. African Alliance Kenya Equity Fund</li> </ul>
2.	<p><b>British-American Unit Trust Scheme</b>, comprising of;</p> <ul style="list-style-type: none"> <li>i. British-American Money Market Fund</li> <li>ii. British-American Income Fund</li> <li>iii. British-American Balanced Fund</li> <li>iv. British-American Managed Retirement Fund</li> <li>v. British-American Equity Fund</li> </ul>
3.	<p><b>Stanbic Unit Trust Scheme</b>, comprising of;</p> <ul style="list-style-type: none"> <li>i. Stanbic Money Market Fund</li> <li>ii. Stanbic Fixed Income Fund</li> <li>iii. Stanbic Managed Prudential Fund</li> <li>iv. Stanbic Equity Fund</li> <li>v. Stanbic Balanced Fund</li> </ul>
4.	<p><b>NCBA Unit Trust Scheme</b>, comprising of;</p>

<ul style="list-style-type: none"> <li>i. NCBA Money Market Fund</li> <li>ii. NCBA Equity Fund</li> <li>iii. NCBA Dollar Investment Fund (CBA DIF)</li> </ul>
<p><b>5. Zimele Unit Trust Scheme, comprising of;</b></p> <ul style="list-style-type: none"> <li>i. Zimele Balanced Fund</li> <li>ii. Zimele Money Market Fund</li> </ul>
<p><b>6. ICEA Unit Trust Scheme, comprising of;</b></p> <ul style="list-style-type: none"> <li>i. ICEA Money Market Fund</li> <li>ii. ICEA Equity Fund</li> <li>iii. ICEA Growth Fund</li> <li>iv. ICEA Bond Fund</li> </ul>
<p><b>7. Standard Investment Trust Funds, comprising of;</b></p> <ul style="list-style-type: none"> <li>i. Standard Investment Equity Growth Fund</li> <li>ii. Standard Investment Fixed Income Fund</li> <li>iii. Standard Investment Balanced Fund</li> </ul>
<p><b>8. CIC Unit Trust Scheme, comprising of;</b></p> <ul style="list-style-type: none"> <li>i. CIC Money Market Fund</li> <li>ii. CIC Balanced Fund</li> <li>iii. CIC Fixed Income Fund</li> <li>iv. CIC Equity Fund</li> <li>v. CIC Wealth Fund</li> </ul>
<p><b>9. Madison Unit Trust Fund – No. 11/2011, comprising of;</b></p> <ul style="list-style-type: none"> <li>i. Madison Asset Equity Fund</li> <li>ii. Madison Asset Balanced Fund</li> <li>iii. Madison Asset Money Market Fund</li> <li>iv. Madison Asset Treasury Bill Fund</li> <li>v. Madison Asset Bond Fund.</li> </ul>
<p><b>10. Dyer and Blair Unit Trust Scheme, comprising of;</b></p>



- i. Dyer and Blair Diversified Fund
- ii. Dyer and Blair Bond Fund
- iii. Dyer and Blair Money Market Fund
- iv. Dyer and Blair Equity Fund

**11. Amana Unit Trust Funds Scheme, comprising of;**

- i. Amana Money Market Fund
- ii. Amana Balanced Fund
- iii. Amana Growth Fund

**12. Diaspora Unit Trust Scheme, comprising:**

- i. Diaspora Money Market Fund
- ii. Diaspora Bond Fund
- iii. Diaspora Equity Fund

**13. First Ethical Opportunities Fund**

**14. Genghis Unit Trust Funds, comprising of;**

- i. GenCap Hazina Fund (Bond Fund)
- ii. GenCap Eneza Fund (Diversified Fund)
- iii. GenCap Hela Fund (Money Market Fund)
- iv. GenCap Iman Fund (Shariah Compliant Fund)
- v. GenCap Hisa Fund (Equity Fund)
- vi. GenCap Hela Imara Fund (Money Market Fund)
- vii. Gencap Eneza Imara Fund
- viii. Gencap Hisa Imara Fund
- ix. Gencap Iman Imara Fund.

**15. Sanlam Unit Trust Scheme, comprising of;**

- i. Sanlam Money Market Fund (Sanlam Pesa Plus Fund)
- ii. Sanlam Dividend Plus Fund (Sanlam Faida Plus Fund)
- iii. Sanlam Balanced Fund (Sanlam Chama Plus Fund)

**16. Nabo Africa Funds, comprising of;**

- i. Nabo Africa Money Market Fund (USD)
- ii. Nabo Africa Balanced Fund (USD)
- iii. Nabo Africa Fixed Income Fund (USD)
- iv. Nabo Africa Equity fund (USD)
- v. Nabo Capital Money Market Fund (KES)
- vi. Nabo KES Fixed Income Fund (KES)

**17. Old Mutual Unit Trust Scheme, comprising of;**

- i. Old Mutual Equity Fund
- ii. Old Mutual Money Market Fund
- iii. Old Mutual Balanced Fund
- iv. Old Mutual East Africa Fund
- v. Old Mutual Bond Fund

**18. Equity Investment Bank Collective Investment Scheme, comprising;**

- i. Equity Investment Bank Money Market Fund
- ii. Equity Investment Bank Balanced Fund

**19. Dry Associates Unit Trust Scheme comprising of;**

- i. Dry Associates Money Market Fund (Kenya Shillings)
- ii. Dry Associates Money Market Fund (US Dollars)
- iii. Dry Associates Balanced Fund (Kenya Shillings)

**20. Co-op Trust Fund comprising of;**

- i. Co-op Balanced Fund
- ii. Co-op Equity Fund
- iii. Co-op Bond Fund
- iv. Co-op Money Market Fund

**21. Apollo Unit Trust Scheme comprising of;**

- i. Apollo Money Market Fund
- ii. Apollo Balanced Fund
- iii. Apollo Aggressive Growth Fund
- iv. Apollo Equity Fund
- v. Apollo East Africa Fund

vi. Apollo Bond Fund

22. **Cytonn Unit Trust Scheme** comprising of;

- i. Cytonn Money Market Fund
- ii. Cytonn Balanced Fund
- iii. Cytonn Equity Fund
- iv. Cytonn Africa Financial Services Fund
- v. Cytonn Money Market Fund (USD)
- vi. Cytonn High Yield Fund

23. **Alphafrica Umbrella Fund** comprising of;

- i. Alphafrica Hifadhi Fixed Income Fund
- ii. Alphafrica Kasha Money Market Fund

24. **Wanafunzi Investment Unit Trust Fund**

#### APPROVED EMPLOYEE SHARE OWNERSHIP PLANS (ESOPS)

1. ARM Employee Share Ownership Plan
2. EABL Employee Share Ownership Plan
3. Equity Employee Share Ownership Scheme
4. Housing Finance Employee Share Ownership Plan
5. I&M Bank Employee Share Ownership Plan
6. KCB Employee Share Option Plan
7. Kenya Airways Employee Share Ownership Plan
8. Kenya Airways 2017 Group Employee Share Ownership Scheme
9. Safaricom Employee Share Ownership Plan
10. Scangroup Employee Share Ownership Plan
11. Car & General Employee Share Ownership Plan
12. Standard Group Limited Employee Share Ownership Plan
13. Longhorn Publishers Limited, Employee Share Ownership Plan
14. Britam Holdings Plc Employee Share Ownership Plan
15. Nairobi Securities Exchange Plc Employee Share Ownership Plan – Unit Trust