



CAPITAL
MARKETS AUTHORITY

Promoting the Integrity and Growth of the Capital Markets

LIST OF LICENSEES AND APPROVED INSTITUTIONS
(As at April 2017)

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. Global Credit Rating Company	P.O. Box 76667, Wendywood 2144, South Africa	Credit Rating Agency
4. Augusto & Company Limited	P.O. Box 56136, Ikoyi Lagos, Nigeria	Credit Rating Agency
5. Metropol Corporation Limited	P.O. Box 35331 – 00200, Nairobi	Credit Rating Agency

Investment Banks

	NAME	ADDRESS	LICENSE NUMBER
1	African Alliance Kenya Investment Bank Limited	P.O. Box 27639, Nairobi	001
2	Barclays Financial Services 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	NIC Capital 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
13	EBI Investment Corporation Kenya Limited	P.O Box 49584 – 00100 Nairobi	086
14	Kestrel Capital (East Africa) Limited	P.O. Box 40005-00100, Nairobi	091

Stockbrokers

1	ABC Capital Limited	P.O. Box 34137-00100, Nairobi	013
2	AIB Capital Limited	P.O. Box 11019-00100, Nairobi	014
3	Apex Africa Capital Limited	P.O. Box 43676-00100, Nairobi	015
4	Francis Drummond & Company Limited	P.O. Box 45465-00100, Nairobi	016
5	Kingdom Securities Limited	P.O. Box 48231-00100, Nairobi	018
6	NIC Securities Limited	P.O. Box 63046-00200, Nairobi	019
7	Old Mutual Securities Limited	P.O. Box 50338-00200 , Nairobi	020
8	Sterling Capital Limited	P.O. Box 45080-00100, Nairobi	021
9	Suntra Investments Limited	P.O. Box 74016-00200, Nairobi	022
10	Securities Africa Kenya Limited	P.O.Box 43633 – 00100 Nairobi	0100

Authorised Securities Dealer

1	Chase Bank Limited	P.O. Box 66049-00800, Nairobi	096
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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	Abraaj Kenya Advisers Limited	P.O. Box 19558-00100, Nairobi	026
5	Britam Asset Managers (Kenya) Limited	P.O. Box 30375-00100, Nairobi	027
6	Canon Asset Managers Limited	P.O. Box 30216-00100, Nairobi	028
7	Nabo Capital Limited	P.O. Box 10518-00100, Nairobi	029
8	CIC Asset Management Limited	P.O. Box 59485-00200, Nairobi	030
9	Co-optrust Investment Services Limited	P.O. Box 48231-00100, Nairobi	031
10	Dry Associates Limited	P.O. Box 684-00606, Nairobi	032
11	FCB Capital Limited	P.O. Box 26219-00100, Nairobi	033
12	Fusion Investment Management Limited	P.O. Box 47538-00100, Nairobi	034
13	GenAfrica Asset Managers Limited	P.O. Box 79217-00200, Nairobi	035
14	ICEA Lion Asset Management Limited	P.O. Box 46143-00100, Nairobi	036
15	Madison Asset Management Services Limited	P.O. Box 20092-00100, Nairobi	037
16	Old Mutual Investment Group Limited	P.O. Box 11589-00400, Nairobi	038
17	Old Mutual Investment Services (K) Limited	P.O. Box 30059-00100, Nairobi	039
18	Pinebridge Investments East Africa Limited	P.O. Box 67262-00200, Nairobi	040
19	Sanlam Investment Limited	P.O. Box 7848-00100, Nairobi	041
20	Standard Chartered Investment Services Limited	P.O. Box 30003-00100, Nairobi	042
21	Stanlib Kenya Limited	P.O. Box 30550-00100, Nairobi	043
22	Zimele Asset Management	P.O. Box 76528-00508, Nairobi	045

	Company Limited	Nairobi	
23	Natbank Trustee and Investment Services Limited	P.O Box 72866 – 00200 Nairobi	087
24	Seriani Asset Managers Limited	P.O Box 21986-00100 Nairobi	099
25	Allan Gray (Kenya) Limited	P.O BOX 63946 – 00619 Nairobi	101
26	Watu Capital Limited	P.O Box 10556-80101 Mombasa	102

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	Citidell Company Limited	P.O. Box 185-00606, Nairobi	048
4	Cititrust Kenya Limited	P.O. Box 30711-00100, Nairobi	049
5	Co-op Consultancy & Insurance Agency Limited	P.O. Box 48231-00100, Nairobi	050
6	Deloitte Financial Advisory Limited	P.O. Box 40092-00100, Nairobi	051
7	Lifestyle Management Limited	P.O. Box 1342-00606, Nairobi	054
8	PriceWaterhouseCoopers Associates	P.O. Box 43963-00100, Nairobi	056
9	Regnum Consultants Limited	P.O. Box 11431, Nairobi	058
10	The Profin Group (K) Limited	P.O. Box 9980-00100, Nairobi	059
11	VFS International (K) Limited	P.O. Box 4, Village Market, Nrb-00621	060
12	Liaison Financial Services Limited	P.O Box 58013 – 00200 Nairobi	095
13	Waugh McDonald Wealth Management Limited	P.O Box 1896 – 00606 Nairobi	103

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	Barclays Bank of Kenya Limited	P.O. Box 30120-00100, Nairobi	064
4	Stanbic Bank Kenya Limited	P.O. Box 30550-00100, Nairobi	065
5	Chase Bank (Kenya) Limited	P.O. Box 28987-00200, Nairobi	066
6	Co-operative Bank of Kenya Limited	P.O. Box 48231- 00100,Nairobi	067
7	Equity Bank Limited	P.O. Box 75104-00200, Nairobi	068
8	I & M Bank Limited	P.O. Box 30238-00100, Nairobi	069
9	Kenya Commercial Bank Limited	P.O. Box 30664-00100, Nairobi	070
10	National Bank of Kenya Limited	P.O. Box 72866- 00200,Nairobi	071
11	NIC Bank Limited	P.O. Box 44599-00100, Nairobi	072
12	Prime Bank Limited	P.O. Box 43825- 00100,Nairobi	073
13	Standard Chartered Bank Kenya Limited	P.O. Box 30003-00100, Nairobi	074
14	Trans National Bank Limited	P.O. Box 34353-00100, Nairobi	075

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

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	Stanlib Fahari I-REAT	P.O. Box 30550 - 00100	4/2015
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Approved Collective Investment Schemes:

1. African Alliance Kenya Unit Trust Scheme, comprising:

- i. African Alliance Kenya Shilling Fund.
- ii. African Alliance Kenya Fixed Income Fund.
- iii. African Alliance Kenya Managed Fund.
- iv. African Alliance Kenya Equity Fund.

2. British-American Unit Trust Scheme, comprising:

- i. British-American Money Market Fund.
- ii. British-American Income Fund.
- iii. British-American Balanced Fund.
- iv. British-American Managed Retirement Fund.
- v. British-American Equity Fund.

3. Stanbic Unit Trust Scheme, comprising:

- i. Stanbic Money Market Fund.
- ii. Stanbic Fixed Income Fund.
- iii. Stanbic Managed Prudential Fund.
- iv. Stanbic Equity Fund
- v. Stanbic Balanced Fund

4. Commercial Bank of Africa Unit Trust Scheme, comprising:

- i. Commercial Bank of Africa Money Market Fund.
- ii. Commercial Bank of Africa Equity Fund.

5. Zimele Unit Trust Scheme, comprising:

- i. Zimele Balanced Fund
- ii. Zimele Money Market Fund

6. ICEA Unit Trust Scheme, comprising:

- i. ICEA Money Market Fund
- ii. ICEA Equity Fund
- iii. ICEA Growth Fund
- iv. ICEA Bond Fund

7. Standard Investment Trust Funds, comprising:

- i. Standard Investment Equity Growth Fund
- ii. Standard Investment Fixed Income Fund
- iii. Standard Investment Balanced Fund

8. CIC Unit Trust Scheme, comprising:

- i. CIC Money Market Fund
- ii. CIC Balanced Fund
- iii. CIC Fixed Income Fund
- iv. CIC Equity Fund

9. Madison Asset Unit Trust Funds, comprising:

- i. Madison Asset Equity Fund
- ii. Madison Asset Balanced Fund
- iii. Madison Asset Money Market Fund
- iv. Madison Asset Treasury Bill Fund
- v. Madison Asset Bond Fund.

10. Dyer and Blair Unit Trust Scheme, comprising:

- 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:

- 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:

- i. GenCap Hazina Fund
- ii. GenCap Eneza Fund
- iii. GenCap Hela Fund
- iv. GenCap Iman Fund
- v. Gencap Hisa Fund

15. **Sanlam Unit Trust Scheme**, comprising:

- 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;

- i. Nabo Africa Money Market Fund
- ii. Nabo Africa Balanced Fund
- iii. Nabo Africa fixed income Fund
- iv. Nabo Africa Equity fund

17. **Old Mutual Unit Trust Scheme**, comprising:

- 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;

- 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;

- 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;

- 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

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. KENOL Employee Share Ownership Plan
8. Kenya Airways Employee Share Ownership Plan
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