**THE CAPITAL MARKETS ACT**

**(*Cap*. 485A)**

**ANNUAL LICENSEES**

IN EXERCISE of powers conferred by section 11 (3) (*e*) and (*f*) and pursuant to section 27 (1) (*a*) of the Capital Markets Act, it is notified for general information that the Capital Markets Authority has granted the following approvals and licences to the companies set out in the schedule hereto:

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| --- | --- | --- | --- |
|  | **Approved Institutions:** | 5. | Aureos Kenya Managers Limited |
| 1. | Acacia Fund Limited | 6. | British American Asset Managers Limited |
| 2. | Central Depositories and Settlement Corporation Limited | 7. | CIC Asset Management Company Limited |
| 3. | Global Credit Rating Company | 8. | Co-optrust Investment Services Limited |
| 4. | The Nairobi Stock Exchange | 9. | Genesis (K) Investment Management Limited |
|  |  | 10. | ICEA Asset Management Limited |
|  | **Annual Licensees (for the period January 1, 2010 to December 31, 2010)** | 11. | InvesteQ Capital Limited |
|  | **Stockbrokers:** | 12. | Madison Asset Management Services Limited |
| 1. | ABC Capital Limited | 13. | Old Mutual Investment Services (K) Limited |
| 2. | African Alliance Kenya Securities Limited | 14. | Old Mutual Asset Managers (K) Limited |
| 3. | Kingdom Securities Limited | 15. | Sanlam Investment Management (K) Limited |
| 4. | Genghis Capital Limited | 16. | Standard Chartered Investment Services Limited |
| 5. | NIC Capital Securities Limited | 17. | Stanbic Investment Management Services (E.A.) Limited |
|  |  | 18. | Zimele Asset Management Co. Limited |
|  | ***Extended Licenses*** |  |  |
| 1. | Reliable Securities Limited |  | ***Authorized Depositories*** |
|  |  | 1. | African Banking Corporation Limited |
|  | ***Investment Banks*** | 2. | Barclays Bank of Kenya Limited |
| 1. | African Alliance Kenya Investment Bank Limited | 3. | CFC Stanbic Bank Limited |
| 2. | Afrika Investment Bank Limited | 4. | Chase Bank Limited |
| 3. | Apex Africa Investment Bank Limited | 5. | Co-operative Bank of Kenya Limited |
| 4. | Barclays Financial Services Limited | 6. | Dubai Bank Kenya Limited |
| 5. | CBA Capital Limited | 7. | Equatorial Commercial Bank Limited |
| 6. | CFC Stanbic Financial Services Limited | 8. | Equity Bank Limited |
| 7. | Drummond Investment Bank Limited | 9. | I & M Bank Limited |
| 8. | Dry Associates Limited | 10. | Kenya Commercial Bank Limited |
| 9. | Dyer and Blair Investment Bank Limited | 11. | National Bank of Kenya Limited |
| 10. | Equatorial Investment Bank Limited | 12. | NIC Bank Limited |
| 11. | Equity Investment Bank Limited | 13. | Prime Bank Limited |
| 12. | Faida Investment Bank Limited | 14. | Transnational Bank Limited |
| 13. | FCB Capital Limited | 15. | Standard Chartered Bank Kenya Limited |
| 14. | Kestrel Capital (East Africa) Limited |  |  |
| 15. | NIC Capital Limited |  | ***Approved Collective Investment Schemes*** |
| 16. | Renaissance Capital (Kenya) Limited | 1. | African Alliance Kenya Unit Trust Scheme |
| 17. | Standard Investment Bank Limited |  | 1. African Alliance Kenya Shilling Fund. |
| 18. | Sterling Investment Bank Limited |  | 1. African Alliance Kenya Fixed Income Fund. |
| 19. | Suntra Investment Bank Limited |  | 1. African Alliance Kenya Managed Fund |
|  |  | 2. | Old Mutual Unit Trust Scheme |
|  | ***Investment Advisers:*** |  | 1. Old Mutual Equity Fund |
|  | Alliance Capital Partners Limited |  | 1. Old Mutual Money Market Fund |
|  | Citidell Company Limited |  | 1. Old Mutual Balanced Fund |
|  | Cititrust Kenya Limited |  | 1. Old Mutual East Africa Fund |
|  | Co-operative Consultancy Services (K) Limited |  | 1. Old Mutual Bond Fund |
|  | Deloitte Financial Advisory Limited |  | 1. Old Mutual East African Fund |
|  | Executive & Corporate Advisory Services (K) Limited | 3. | British American Unit Trust Scheme |
|  | First Africa E.A Limited |  | 1. British American Money Market Fund |
|  | Franklin Management Consultants Limited |  | 1. British American Income Fund |
|  | Iroko Securities (Kenya) Limited |  | 1. British American Balanced Fund |
|  | J.W. Seagon Limited |  | 1. British American Managed Retirement Fund |
|  | Lifestyle Management Limited |  | 1. British American Equity Fund |
|  | Loita Asset Management Limited | 4. | Stanbic Unit Trust Scheme |
|  | PricewaterhouseCoopers Associates Limited |  | 1. Stanbic Money Market Fund |
|  | Regnum Consultants Limited |  | 1. Stanbic Flexible Income Fund |
|  | The Profin Group (Kenya) Limited |  | 1. Stanbic Managed Prudential Fund |
|  | Tsavo Securities Limited | 5. | Commercial Bank of Africa Unit Trust Scheme |
|  | VFS International (K) Limited |  | 1. Commercial Bank of Africa Money Market Fund |
|  | Winton Investment Services Limited |  | 1. Commercial Bank of Africa Equity Fund |
|  |  | 6. | Zimele Unit Trust Scheme |
|  | ***Extended licenses*** |  | 1. Zimele Balanced Fund |
| 1. | Equilibrium Capital Limited |  | 1. Zimele Money Market Fund |
| 2. | Finconsult Company Limited | 7. | Suntra Unit Trust Scheme |
|  |  |  | 1. Suntra Money Market Fund |
|  | ***Fund Managers*** |  | 1. Suntra Equity Fund |
| 1. | African Alliance Kenya Management Company Limited |  | 1. Suntra Balanced Fund |
| 2. | PineBridge Investments East Africa Limited | 8. | ICEA Unit Trust Scheme |
| 3. | Amana Capital Limited |  | 1. ICEA Money Market Fund |
| 4. | Apollo Asset Management Company Limited |  | 1. ICEA Equity Fund |
|  | 1. ICEA Growth Fund |  |  |
|  | 1. ICEA Bond Fund |  |  |
| 9. | Standard Investment Trust Funds |  |  |
|  | 1. Standard Equity Growth Fund |  |  |
|  | 1. Standard Income Fund |  |  |
|  | 1. Standard Balanced Fund |  |  |
| 10. | Dyer and Blair Unit Trust Scheme |  |  |
|  | 1. Dyer and Blair Diversified Fund |  |  |
|  | 1. Dyer and Blair Bond Fund |  |  |
|  | 1. Dyer and Blair Money Market Fund |  |  |
|  | 1. Dyer and Blair Equity Fund |  |  |
| 11. | Amana Unit Trust Funds Scheme |  |  |
|  | 1. Amana Shilling Fund |  |  |
|  | 1. Amana Balanced Fund |  |  |
|  | 1. Amana Growth Fund |  |  |
| 12. | CFC Unit Trust Fund |  |  |
|  | 1. CFC Stanbic Equity Fund |  |  |
|  | 1. CFC Simba Fund |  |  |
| 13. | Diaspora Unit Trust Funds Scheme |  |  |
|  | 1. Diaspora Money Markey Fund |  |  |
|  | 1. Diaspora Bond Fund |  |  |
|  | 1. Diaspora Equity Fund |  |  |
|  |  |  |  |
|  | ***Approved Employee Share Ownership Plans (ESOPS):*** |  |  |
| 1. | EABL Employee Share Ownership Plan. |  |  |
| 2. | Equity Employee Share Ownership Scheme |  |  |
| 3. | KCB Employee Share Option Plan |  |  |
| 4. | AccessKenya Group Employee Share Ownership Plan |  |  |
| 5. | Scangroup Employee Share Ownership Plan |  |  |
| 6. | Safaricom Employee Share Ownership Plan |  |  |
| 7. | Housing Finance Employee Share Ownership Plan |  |  |