THEME: HARNESSING INTEREST IN SUSTAINABLE INVESTMENT

The Think Business Investment Awards returns after a 5-year hiatus.

Welcome to the 11th Edition of the celebration of Kenya's Investment Sector's achievements.

The Investment Awards 2024 Gala will be held on Tuesday, 10nd December, 2024 starting at 6.30 pm at the JW Marriott Hotel, Nairobi.

The theme for this year's awards is, ***'Harnessing Interest in Sustainable Investment'***.

The Investment Awards was launched in 2009 and held consistently every year until 2018 when we took a break. The awards are designed for fund managers, collective investment schemes, pension funds, investment advisers, listed companies, stock brokers among other players in the capital markets.

The awards' main focus is not only be on the companies that remain financially sound while ensuring good returns to shareholders, but also those that contribute greatly to the growth of the sector by embracing best practice in corporate governance, innovation, education and engaging in sustainable growth. The judging process involves research that examines key areas of performance including customer experience.

For the 11th edition, we have put effort more effort in improving the awards category and judging criteria to make them more inclusive and relevant for the dynamic and fast-paced ever-changing business environment.

Think Business has been a leading competitive intelligence purveyor in the financial sector in Kenya, for over 20 years, engaging in strategic research, data analysis, publishing and industry awards, among them banking, insurance and investment.

A panel of expert judges will decide the winners in each category. The Judges' decisions will be based on entries as presented by companies coupled with financial information, statutorily published by the companies. Entries may not be required in categories where only financial information is applicable for judging. Judges may contact companies directly for any information they might need to help them in the judging process.

PKF East Africa, our Judging process partner, will oversee and audit the entire judging process including the selection of judges, financial data and market information presented as well as the determination of winners based on set criteria.

All entries must be submitted on the new ThinkAwards platform accessible through the Think Business Investment Awards portal https://uat.craftsilicon.com/InvestmentAwards/

Below is a breakdown of our schedule for the INVESTMENT AWARDS 2024:

DATE	ACTIVITY
Mon. 7th Oct. 2024	Awards Launch/ portal opens for entries / CSS starts
Sun. 10th Nov. 2024	Entries close/ CSS ends
Mon. 11th Nov. 2024	Judging Process starts
Fr. 23 rd Nov. 2024	Judging Process ends
Tue. 10 th Dec. 2024	Awards Gala Dinner

We have attached the Award Categories & Judging criteria that has more details on the process

Eligibility

- Entries are open to all licensed companies in the Capital Markets, Collective Investment Vehicles, Fund managers and Pension Funds and all other professionals in the industry licensed and regulated by the Capital Markets Authority (CMA) and Retirement Benefits Authority (RBA).
- Entries must be for projects that have been implemented within the previous 12 to 18 months.
- Each award category has its eligibility criteria. Kindly refer to it to ensure you are entering in the most appropriate categories.
- Where entry is submitted jointly by one or more parties, the judges have the authority to assess and determine if the entry was really a joint effort.
- The judges reserve the right to amend the judging criteria, change the maximum allocated score for any criteria, accept or reject entries.

Submission Guidelines

- Log on to our ThinkAwards portal https://uat.craftsilicon.com/InvestmentAwards/ . You need accreditation to login.
- To get accreditation, share with use at least 2 emails addresses and telephone numbers of the people you have picked to submit your entries.
- Make sure it is clear what individual, department, company (or companies in the case of joint entries), you are entering. You can enter more than one project or program in a category.
- Fill in the entry slots with the required information. Note that each slot has a specified number of characters that should not be exceeded.
- Each category has its own judging criteria and parameters. Ensure that you provide information for each parameter as indicated in each award category.
- Pay attention to the maximum score awarded for each parameter.
- Attach relevant reference/supporting details including photos, videos as well as customer testimonials where applicable and available.
- If measurable targets were achieved, it is important to provide that evidence, i.e what the target was, if and how it was achieved.

N/B All information contained in your entries remain confidential and will only be used for the intended purpose of the awards and will not be released to any third parties without prior consent of the entrant.

AWARD CATEGORIES AND JUDGING CRITERIA

PART A: CAPITAL MARKETS

1. The Best Quoted Company of the Year (In the Main Segment)

Who qualifies to enter:

All companies listed on the Nairobi Securities Exchange.

Judges will be looking at:

A. Corporate Governance Parameters	Max.Score

B. Financial and Performance Parameters	Max.Score
Earnings Per share	15%
Price to Earnings Ratio	15%
Return on Equity	15%
Return onAssets	10%
Profitability as a percentage of revenues	10%
DividendYield	10%
Growth in volumes of shares trade	10%
MajorAchievements in 2023/2024	15%
Sub total (Pro-rated to 50% of the total)	100%
A+BTotal	100%

2. Best Performing Company in the AIM Segment

Who qualifies to enter:

Companies listed on the Alternative Investments Market Segment (AIMS).

A. Corporate Governance Parameters	Max.Score

B. Financial and Performance Parameters	Max.Score
Earnings Per share	15%
Price to Earnings Ratio	15%
Return on Equity	15%
Return onAssets	10%
Profitability as a percentage of revenues	10%
DividendYield	10%
Growth in volumes of shares trade	10%
MajorAchievements in 2023/2024	15%
Sub total (Pro-rated to 50% of the total)	100%
A+BTotal	100%

3. Investment Bank of the Year

Who qualifies to enter;

This category is open to banks and investment banks only.

Judges will be looking at:

A. Corporate Governance Parameters	Max.Score
B. Other Parameters	Max.Score
Merger and Acquisition Deals, Private or public placement in Kenya and other capital market transactions including syndicated loans.	25%
The nature, complexity, size and number of deals undertaken	25%
Product innovativeness i.e. technological	25%
Research products, their quality and level of dissemination	25%
Sub Total (Pro-rated to 70% of the total)	100%
A+B TOTAL	100%

5. Stock Broker of the Year

Who qualifies to enter;

This category is open to all Stock Brokers in Kenya

Judges will be looking at:

A. Corporate Governance Parameters	Max.Score

B. Other Parameters	Max.Score
Volumes traded	15%
Ability to trade across regional markets and in multiple currencies	15%
Research products, their quality and level of dissemination	15%
Product innovativeness i.e. technological	15%
Volumes and values of shares traded	10%
Lead in IPOs	10%
Efficiency of execution and Back Office best practice	10%
ONLINE accessibility , Orders execution speed , Client feedback mechanisms in place,	10%
Sub –Total (Pro-rated to 70% of the total)	100%
A+B TOTAL	100%

6. Research Team of the Year

Who qualifies to enter;

Specialist equities research houses, stockbrokers, investment banks, fund managers and research divisions within Banks.

Judges will be looking at:

Parameters	Max.Score
Number of listed companies covered	25%
Number of sectors covered	25%

The size of the research team	5%
Research products, their quality, timeliness and level of dissemination	25%
Research ethos	20%
TOTAL	**100%**

7. The IPO of the Year

Who can enter:

This category is open to companies listed on any Nairobi Securities Exchange within the last 18months.

Parameters	Max.Score
Total size of stock floated	20%
Subscription Success	10%
Demonstration of proper planning and execution with all partners and advisors involved	20%
Purpose of the funds drive vis-a-vee needs	10%
Price gain since IPO	20%
Percentage of stock floated	20%
TOTAL	**100%**

8. Bond Deal of the Year

Who qualifies to enter:

Bond issuers.

Judges will be looking at:

Parameters	Max.Score
Total size of issue	20%
Subscription Success	10%
Demonstration of proper planning and execution with all partners and advisors involved	20%
Purpose of the funds drive vis-a-vee needs	10%
Percentage of stock floated	20%
TOTAL	**100%**

9. Chairman of the Year

Who qualifies to enter:

This category is open to Chairmen of all listed companies.

Judges will be looking at:

Based on peer assessment from a shortlist of chairmen of the top ten companies in Quoted Company of the Year category.

10. Chief Executive of the Year

Who qualifies to enter:

This category is open to Chief Executive Officers of all listed companies.

Winners will be arrived at:

Based on Judges Assessment from a shortlist of CEOs of the top ten companies in Quoted Company of the Year category.

11. Best Lead Transaction Advisor

Who qualifies to enter:

All transaction advisors in the East African Market who have been engaged as lead transaction advisors for IPOs, Rights Issues, Bond Issues and Delisting.

Judges will be looking at:

Parameters	Max.Score
Value of transaction undertaken.	40%
Level of subscription to the transaction.	30%
Post transaction evaluation of performance and success	30%
Total	100%

12. Best Legal Transaction Advisor

Who qualifies to enter:

All legal advisors to various transactions in the East African Market.These transactions include IPOs, rights issues and bond Issues in the last 18 months.

Judges will be looking at:

Parameters	Max.Score
Value of transaction undertaken.	40%
Level of subscription to the transaction.	30%
Post transaction evaluation of performance and success	30%
Total	100%

13. Best Transaction Advisor– PR &Marketing

Who qualifies to enter:

AllPRandmarketingadvisorstovarioustransactionsintheKenyanmarket.These transactions include IPOs, rights issues and bond Issues in the last 18 months

Judges will be looking at:

Parameters	Max.Score
Value of transaction undertaken.	40%
Level of subscription to the transaction.	30%
Post transaction evaluation of performance and success	30%
TOTAL	100%

14. Custodian of the Year

Who qualifies to enter:

All Commercial Banks licensed by The Capital Markets Authority to operate as Custodians.

Judges will be looking at:

Parameters	Max.Score
Value and yearly growth of the funds under custodianship.	20%
Number of Custody Accounts.	20%
Client Service	30%
Settlement Policies in place and turn around time	30%
TOTAL	100%

15. Equities Dealer of the Y ear

Who qualifies to enter:

This category is open to certified ATS Dealers with over 2 years cumulative experience inequities dealing.

Judges will be looking at:

Parameters	Max.Score
Trading Volumes over the last 12 months	20%
Demonstration of good team work in dealing and their role in the team	20%
Demonstration of good working and healthy relationships with institutional Investors	30%
Demonstration of satisfaction from institutional Investors	20%
Trading ethics according to NSE trading guidelines apply.	10%
TOTAL	100%

16. Bonds Dealer of the Year

Who qualifies to enter:

This category is open to certified ATS Dealers with over 2 years cumulative experience in fixed income securities dealing.

Judges will be looking at:

Parameters	Max.Score
Trading Volumes over the last 12 months	20%
Demonstration of good team work in dealing and their role in the team	20%
Demonstration of good working and healthy relationships with institutional Investors	30%
Demonstration of satisfaction from institutional Investors	20%
Trading ethics according to NSE trading guidelines apply.	10%
TOTAL	100%

17. Trustee of the Year

Who qualifies to enter:

ThiscategoryisopentoTrusteesoperatingwithintheCapitalMarkets.They include Pension Funds Trustees, Unit Fund Trustees etc

Judges will be looking at:

Parameters	Max.Score
Number of Trust Accounts Held	20%
Value of Trust Accounts Held	20%
Innovation in Client Service	20%
Turnaround in service Requirements	30%
Adoption of Technology	10%
TOTAL	100%

18. Sustainable Environmental Social and Governance (ESG) Program

Who qualifies to enter:

All listed companies Stockbrokers, and Investments Banks

Parameters	Max. Score
Demonstrated existence and execution of an ESG program.	25%
The relevance of ESG program to the community.	35%
Evidence that the program has had positive results and contributed to the growth and	20%
Sustainability of the program	20%
TOTAL	100%

19. Customer Service Award

Who qualifies to enter:

All listed companies Stockbrokers, and Investments Banks

Parameters	Max. Score
A technical financial assessment of the performance of the business using various key financial ratios.	15%
The innovative nature of the products on offer	15%
Evidence of a clear customer orientated approach underpinned by research into new risks	25%
Response to customer needs and enhanced quality of service.	30%
Overall strategy for future growth and development	15%
TOTAL	**100%**

20. Most innovative Company 2015/2016

Who qualifies to enter:

All listed companies Stockbrokers, and Investments Banks

Judges will be looking at:

Entry is open to all products and services for all stock brokers and investment banks. The judges will be looking for breakthrough products and services developed through cutting edge design, research and development that have redefined the market by improving usability, access and value to the customer.

Parameters	Max.Score
New ideas, technology, services and products to customers	40%
Usability/access	30%
Value to customers	30%
TOTAL	**100%**

Appendix: ESG FACTORS

JUDGING CRITERIA_B. ENVIROMENTAL SOCIAL & GOVERNANCE (ESG) FACTORS	
Environmental	
Do you have any investments in green portfolios?	2%
Do you have a policy on funding non-environmentally friendly investments/ investors?	2%
What is the extent of your funding to environmentally friendly ventures? environmental protection initiatives? List	5%
Do you on your own or with other partners engage in environmental protection initiatives? List them.	7%
In your annual reporting do you produce a sustainability report? (Kindly attach it)	5%
Do you have financial solutions/products that generate a positive environmental impact?	2%
Do you have a policy on energy use, greenhouse gas emissions, water and hazardous waste management?	2%
Do you require your suppliers hold the same environmentally friendly values that you do? environmentally friendly?	5%
Sub total	30%
Social	
Are you in compliance with the banking sector charter?	2%
Do you have a deep understanding of the financial lives of your consumers? How are you using that insight to develop affordable, innovative and scalable products to help them improve their financial health?	5%
Do your working conditions, (even now with Covid-19) show a high regard for your employees' health and safety?	5%
Do you have a vehicle (i.e foundation) through which your CSR is undertaken?	2%
What is the level of staff, board and management involvements in the CSR activities?	2%
What is the regional spread (across the country) of the bank's CSR program (s)?	5%
What is the diversity of the CSR programs (i.e. education, health e.t.c)?	5%
What is the levels of innovation of your CSR program (identifying the need)?	5%
Have you committed to a long-term investment of resources towards the CSR program?	2%
Do you clearly measure the impact and solution of the CSR program(s) to the community?	7%
Sub total	40%

Governance	
Age diversity - What is the average age of board members?	2%
Gender - What is the ratio of Female: Male board members?	2%
Professional diversity- How many different professionals are on the board?	2%

Appointments - Do you have transparent and documented procedures for appointment of new Board members (e.g nomination committee)?	2%
Performance: Do you conduct annual performance evaluation of Board members, (including the CEO and Company Secretary)?	2%
Code of Ethics - do you have documented ethical standards and do you ensure it is complied with?	2%
Do you have a dedicated shareholder engagement/ outreach mechanism?	2%
Do you have an ESOP?	4%
Do you have competitive supplier acquisition process?	2%
Cybersecurity, being one of the biggest threats facing the global financial system, is it a top priority for your bank? Do you devote significant resources to protecting and continuously improving your cyber security?	5%
Do you have an independent risk management and compliance process/system?	5%
Sub total	30%
TOTAL	100%