Kenanga

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UT (Individual - Cash Plan) Checklist for ____________ (individual's name)

Note: This checklist is to be completed by Sales Personnel. Please tick in the appropriate check box. If the document was not relevant, please put 'N/A' in the check box.

For New Individual Investor

1. Individual Customer Information Form ☐
2. FATCA and CRS for Individual
   - Primary Holder ☐
   - Joint Holder ☐
3. CRS Individual Supplementary Form - for Joint Holder(s) ☐
4. KIBB UT Account Opening (Product) Form ☐
5. KIBB UT/PRS Transaction Form For Individual ☐
6. Investor Suitability Assessment & Risk Profiling Form ☐
7. Money Laundering Risk Profiling Checklist (MLPRC) For Individual Client
   - Primary Holder ☐
   - Joint Holder ☐
8. Enhanced Due Diligence ("EDD") Template for High Risk Client
   - Primary Holder ☐
   - Joint Holder ☐
9. Letter of Consent ☐
10. A copy of the KIBB Privacy Policy **MUST** be given to the Investor(s) ☐
11. For **Standing Instruction** - One (1) copy of Direct Debit Authorization Form ☐
12. One (1) photocopy of NRIC (front & back) / Passport (for foreigner)
    - must be **"Original Sighted and Signed" by Sales Personnel**
    - Primary Holder ☐
    - Joint Holder ☐
    - Minor Joint holder - NO signatory or thumbprint is required on the form

    (i) Age between 13-17 years - One (1) photocopy of NRIC (front & back) / Passport (for foreigner) ☐

    (ii) Age under 12 years - One (1) photocopy of birth certificate **AND** MyKid ☐
13. One (1) photocopy of Staff ID Card **OR** Letter of Appointment (For STAFF only) ☐
14. Proof of Payment with Indication of Investor Name and Client Code ☐
15. One (1) copy of *Bank Statement or Online Statement / Front Page of Saving Passbook / Bank Confirmation Letter ☐

    ** Bank Statement or Online Statement must contains Bank Logo, Bank Account Name and Account Number*

For Kenanga Money Market Investment
*One Time Submission Only

1. Money Market Consent Letter ☐

For Subsequent Investment

1. KIBB UT/PRS Transaction Form For Individual ☐

   Note: For Joint Account, forms must be signed based on the Signing Instruction in the UT Account Opening Form.

   Exception: the minor joint holder is NOT required to sign or thumbprint in the form.
2. Proof of Payment with Indication of Investor Name and Client Code ☐

For Redemption / Cooling-off / Switching

1. KIBB UT/PRS Transaction Form For Individual ☐

   Note: For Joint Account, forms must be signed based on the Signing Instruction in the UT Account Opening Form.

   Exception: the minor joint holder is NOT required to sign or thumbprint in the form.

For Transfer of Investment

1. KIBB UT/PRS Transaction Form For Individual ☐
2. KIBB Client Transfer of Account Letter ☐
3. KIBB Transfer of Servicing Agent ☐
4. One (1) photocopy of NRIC of the Transferor / Transferee ☐
   - must be **"Original Sighted and Signed" by Sales Personnel**
5. One (1) photocopy of Marriage / Death Certificate ☐
   - must be **"Original Sighted and Signed" by Sales Personnel**

Note:

a. For deceased Investor

(i) Muslim or with or without Will, the claimant must report to Amanah Raya Berhad for the arrangement of deceased investor's units.

(ii) Non-Muslim with Will, the claimant must obtain a Grant of Probate (at least 1 year from High Court) from any solicitor as evidence of beneficiary to claim the deceased investor's units.

(iii) Non-Muslim without Will, the claimant must obtain a Letter of Administration (at least 1 to 2 years from High Court) from any solicitor as evidence of beneficiary to claim the deceased investor's units.

b. For Joint Account, form must be signed by parties based on the Signing Instruction in the UT Account Opening Form. **Exception**: the minor joint holder is NOT required to sign or thumbprint in the form.

Reminder To The Sales Personnel:

1. A copy of the Master Prospectus MUST be given to the Investor(s) during presentation of investment. ☐
2. For **3rd Party Payment** - the Consent For KIBB To Accept Third Party Payment Form is required. ☐
3. **All placements will only take effect upon fund sighted by the bank or with sufficient available balances in Client Trust Account (CTA).** ☐
4. **Valid payment advice must be provided for all placements. Investor's name and client code must be written on the payment advice.** ☐
5. All forms MUST be **duly completed** by Sales Personnel. ☐

Revised: 1 Aug 2019

Note: This checklist is to be completed by WM Sales Personnel. Please tick in the appropriate check box. If the document was not relevant, please put 'N/A' in the check box.

Note:

(a) All payments must be made payable to "Kenanga Investment Bank Berhad"

(b) Cheque Deposit / Fund Transfer, kindly deposit into Maybank Berhad Acc. No.: 514356-505908

Prepared/ Referred By	Name:	Mobile No:
	Branch:	Submission Date:
Checked By (Operations)	Name:	Date:
	Trader Name:	Trader Code: