

UT (Corporate - Cash Plan) Checklist for

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

For New Corporate Investor

1. Corporate Customer Information Form ☐
2. FATCA and CRS for Entity or Corporate ☐
3. CRS for Controlling Person Individual Tax Residency Self-Declaration - for **EACH** Controlling Person ☐
4. KIBB UT Account Opening (Product) Form ☐
5. Investor Suitability Assessment & Risk Profiling Form ☐
6. Letter of Consent ☐
7. Certified True Copy of Photocopy of NRIC (front & back) **OR** Passport (for foreigner) of Directors/Partners/Officer and **EACH** Authorised Signatories ☐
8. One (1) copy of *Bank Statement or Online Statement / Front Page of Saving Passbook / Bank Confirmation Letter ☐
 - must be "**Original Sighted and Signed**" by Sales Personnel / **Certified True Copy by the Company Secretary OR Commissioner for Oaths.**
 - Bank Statement or Online Statement must contains Bank Logo, Bank Account Name and Account Number

Additional Account Opening Documents For Sdn Bhd / Bhd:

1. Certified True Copy of Board Resolution. ☐
2. Certified True Copy of the Memorandum & Articles of Association (M&A) or Constitution. ☐
3. Certified True Copy of the Form 8 **OR** Form 9 (Section 17 or 15 or 14 - CA 2016) - Certificate of Incorporation; or equivalent document evidencing the incorporation, or Notice of Registration of the Company. ☐
4. Certified True Copy of the Form 13 **OR** Form 20 (Section 28 - CA 2016) - Certificate on Change of Company name; or equivalent document evidencing the change of name (If applicable). ☐
5. Certified True Copy of **Latest** Form 24 (Section 78 or 68 or 51 - CA 2016) - Return of Allotment of Shares or latest Annual Return. ☐
6. Certified True Copy of the Form 44 (Section 46 or 14 - CA 2016) - Notice of Situation of Registered Office or Notification for change in the registered address. ☐
7. Certified True Copy of the Form 49 (Section 58 or 14 - CA 2016) - Return giving particulars in Register of Directors, Managers and Secretaries or Notification of change in the Register of Directors, Managers and Secretaries ☐
8. Certified True Copy of the **Latest** Audited Financial Statement **OR** Annual Report ☐
 - * A certified true copy/ duly notarised identification of Director and Shareholder who holds 25% or more of the issued shares of the company (*Note: Items 2-8 also have to be obtained from the corporate shareholder If the shareholder of the client is a company who holds 25% or more of the issued shares of the company)
9. Certified True Copy Letter of Undertaking for Beneficiary Account (if applicable) ☐

Additional Account Opening Documents For Partnership / Sole Proprietorship:

1. Certified True Copy of the Deed of Partnership (if applicable) ☐
2. Certified True Copy of the Certificate of Business Registration - Form A (Business Registration) and Form B (Registration for Change in Business or Maklumat Perniagaan) ☐
3. Certified True Copy of Form D - Certificate of Registration for Current Year ☐
4. Certified True Copy of the Mandate for Account of a Partnership - incorporating a List of Authorized Signatories with Specimen Signatures and Mode and Manner of Execution by the Authorized Signatories ☐
5. Certified True Copy of the Particulars of Proprietorship ☐
6. Certified True Copy of the **Latest** Audited Financial Statement ☐
7. Certified True Copy of the Practitioner Certificate (for Professional Bodies) ☐

Additional Account Opening Documents For Clubs / Societies Associations / Charities:

1. Certified True Copy of the Board Resolution ☐
2. Certified True Copy of the By-Law **OR** Rules and Regulations **OR** Constitution Document ☐
3. Certified True Copy of the License **OR** Certificate issued by Registrar of Societies ☐
4. Certified True Copy of the **Latest** Financial Statement ☐

Additional Account Opening Documents For Federal / State:

1. Certified True Copy of Board Resolution ☐
2. Certified True Copy of the Relevant Constitutional Document enacting the Government Authority **OR** Local Government Authorities ☐
3. Certified True Copy of the By Laws **OR** Deed of Partnership **OR** Relevant Constitutional Documents ☐

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

<u>For New / Subsequent Investment</u> 1. KIBB UT Transaction Form For Corporate <input style="float: right;" type="checkbox"/> Note: Form must be approved by authorized person of the corporation based on the authorised signatories in the UT Account Opening Form. 2. Proof of Payment with Indication of Investor Name and Client Code <input style="float: right;" type="checkbox"/> <u>For Redemption / Switching</u> 1. KIBB UT Transaction Form For Corporate <input style="float: right;" type="checkbox"/> Note: Form must be approved by authorized person of the corporation based on the authorised signatories in the UT Account Opening Form. <u>For Transfer of Investment</u> 1. KIBB UT Transaction Form For Corporate <input style="float: right;" type="checkbox"/> 2. KIBB Transfer of Servicing Agent <input style="float: right;" type="checkbox"/> <u>Note:</u> (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	<u>Reminder To The Sales Personnel:</u> 1. A copy of the relevant Product Highlights Sheet(s) and Master Prospectus/Information Memorandum must be provided to the Investor(s) during the presentation of the investment. <input style="float: right;" type="checkbox"/> 2. All Corporate Client related documents is to be Certified True Copy by the Company Secretary OR Commissioner for Oaths. <input style="float: right;" type="checkbox"/> 3. All documents signed by the authorised personnel are accompanied by the company's rubber stamp <input style="float: right;" type="checkbox"/> 4. All placements will only take effect upon fund sighted by the bank or with sufficient available balances in Client Trust Account (CTA). <input style="float: right;" type="checkbox"/> 5. Valid payment advice must be provided for all placements. Investor's name and client code must be written on the payment advice. <input style="float: right;" type="checkbox"/> 6. All forms MUST be duly completed by Sales Personnel. <input style="float: right;" type="checkbox"/>
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Prepared / Referred By	Name:	Mobile No:
	Branch:	Submission Date:
	BDM / Team Lead:	
Checked By (Operations)	Name:	Date:
	Trader Name:	
	Trader Code:	RM Code: