

UT (Individual - 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 Individual Investor

1. Individual Customer Information Form ☐
2. FATCA and CRS for Individual ☐
 - Primary Holder ☐
 - Joint Holder(s) ☐
3. CRS Individual Supplementary Form - for Joint Holder(s) ☐
4. KIBB UT Account Opening (Product) Form ☐
5. Investor Suitability Assessment & Risk Profiling Form ☐
6. KIBB Vulnerable Customer Declaration (Joint Holder) ☐
7. KIBB Vulnerable Customer Assessment Form (For Vulnerable Customer) ☐
8. Customer Consent Form (Joint Holder) ☐
9. Letter of Consent ☐
10. 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 & MyKid ☐
11. 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

For New / 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 Transfer of Servicing Agent ☐
3. One (1) photocopy of NRIC of the Transferor / Transferee ☐
 - must be "**Original Sighted and Signed**" by Sales Personnel
4. 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 relevant Product Highlights Sheet(s) and Master Prospectus/Information Memorandum must be provided to the Investor(s) during the presentation of the investment. ☐
2. **All placements will only take effect upon fund sighted by the bank or with sufficient available balances in Client Trust Account (CTA).** ☐
3. **Valid payment advice must be provided for all placements. Investor's name and client code must be written on the payment advice.** ☐
4. All forms MUST be **duly completed** by Sales Personnel. ☐

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.

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:
	BDM / Team Lead:	
Checked By (Operations)	Name:	Date:
	Trader Name:	
	Trader Code:	RM Code: