

<b>ACCOUNT OPENING CHECKLIST (INDIVIDUAL / JOINT)</b>	
Customer Name	
Account Number	
Account Type	Unit Trust Fund / Wholesale Fund / Private Mandate

**A) DOCUMENTS** (please fill up whichever is applicable)

**(i) Unit Trust Fund / Wholesale Fund**

No	Documents	Yes	No	N/A
1	A copy of customer's National Registration Identity Card (NRIC) / Passport.  <i>Note:</i> <ul style="list-style-type: none"> <li>• Must be sighted by CMSRL/MR/UTC.</li> <li>• CMSRL/MR/UTC must sign and put his/her name, NRIC number and UTC code on the photocopy of the customer's NRIC/Passport.</li> </ul>			
2	Account Opening Form (initial on all pages)			
3	Transaction Form			
4	<del>Regular Investment Form</del>			
5	Transfer Form			
6	PDPA Notice			
7	FATCA & CRS Self-Certification Form			
8	Suitability Assessment Form			

**(ii) Private Mandate**

No	Documents	Yes	No	N/A
1	A copy of customer's National Registration Identity Card (NRIC) / Passport.  <i>Note: Do Not "cross" the copy</i> <ul style="list-style-type: none"> <li>• <i>Must be sighted by CMSRL/MR/UTC.</i></li> <li>• <i>CMSRL/MR/UTC must sign and put his/her name, NRIC number and UTC code on the photocopy of the customer's NRIC/Passport.</i></li> </ul>			
2	Account Opening Form ( <i>initial on all pages</i> )			
3	Transaction Form			
4	Latest Bank Statement - 1 Month - Employed 3 Months - Retiree			
5	PDPA Notice			
6	FATCA & CRS Self-Certification Form			
7	Investment Management Agreement ( <i>initial on all pages</i> )			

Prepared by:

\_\_\_\_\_  
Name of CMSRL/MR/UTC:

IC number:

UTC Code:

**B) FOR INTERNAL USE ONLY**

No	Documents	Yes	No	N/A
1	LexisNexis Report*			
2	Customer Risk Profiling Checklist			
3	Screenshot of screening against*: <ul style="list-style-type: none"> <li>Federal Government Gazette (Anti-Money Laundering and Anti-Terrorism Financing Order)</li> <li>Strategic Trades Order</li> <li>Other lists required by the regulators / authorities.</li> </ul>			
4	Account Opening Form for Trading Account ( <i>Private Mandates</i> )			
5	Bursa Malaysia CDS Account Form ( <i>Private Mandates</i> )			
6	Stamping for Investment Management Agreement ( <i>Private Mandates</i> )			

\*Guidance for name screening:

- Individual customer's name with alias must conduct the screening as follows:  
*Example:*  
*Yap Ah Kow @ Tan Ah Kow*  
*1<sup>st</sup> screening: Yap Ah Kow @ Tan Ah Kow; 2<sup>nd</sup> screening: Yap Ah Kow; and 3<sup>rd</sup> screening: Tan Ah Kow*
- Screen the individual customer's name without title i.e. Datuk, Dato, Datin, Tan Sri etc.
- Joint account: Both primary and joint account holders' name must be screened.

Remarks / Comments (*if any*):

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Prepared by:

Checked by:

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Name:  
Designation:  
Date:

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Name:  
Designation:  
Date: