

UT (Individual - EPF 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 ☐
3. KIBB UT Account Opening (Product) Form ☐
4. KIBB UT/PRS Transaction Form For Individual ☐
5. UTMIC Investment Application Form ☐
6. KWSP 9N Form of each respective UTMIC ☐
7. Respective UTMIC's Privacy Policy ☐
8. Investor Suitability Assessment & Risk Profiling Form ☐
9. Money Laundering Risk Profiling Checklist (MLPRC) For Individual Client ☐
10. Enhanced Due Diligence ("EDD") Template for High Risk Client ☐
11. Letter of Consent ☐
12. A copy of the KIBB Privacy Policy **MUST** be given to the Investor(s) ☐
13. One (1) photocopy of NRIC (front & back) / Passport (for foreigner) ☐
- must be "**Original Sighted and Signed**" by Sales Personnel
14. One (1) photocopy of Working Permit (for foreigner) ☐
- must be "**Original Sighted and Signed**" by Sales Personnel
15. One (1) photocopy of Staff ID Card **OR** Letter of Appointment (For STAFF only) ☐

For Subsequent Investment

1. KIBB UT/PRS Transaction Form For Individual ☐
2. UTMIC Transaction Application Form ☐
3. KWSP 9N Form ☐
4. One (1) photocopy of NRIC (front & back) / Passport (for foreigner) ☐
- must be "**Original Sighted and Signed**" by Sales Personnel
5. One (1) photocopy of Working Permit (for foreigner) ☐
- must be "**Original Sighted and Signed**" by Sales Personnel

For Redemption

1. KIBB UT/PRS Transaction Form For Individual ☐
2. UTMIC Transaction Form ☐
3. A photocopy of Letter of EPF Release Control - only for EPF Account Holder who has reached the retirement age ☐

For Cooling-off / Switching

1. KIBB UT/PRS Transaction Form For Individual ☐
2. UTMIC Transaction 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. UTMIC Transaction Form ☐

Note: 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.

5. One (1) photocopy of NRIC of the Transferor / Transferee ☐
- must be "**Original Sighted and Signed**" by Sales Personnel
6. One (1) photocopy of Marriage / Death Certificate ☐
- must be "**Original Sighted and Signed**" by Sales Personnel
7. Letter of Release Control ☐

Reminder To The Sales Personnel:

1. A copy of the Master Prospectus **MUST** be given to the Investor(s) during presentation of investment. ☐
2. All forms **MUST** be **duly completed** by Sales Personnel. ☐

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