PIAS
PROFESSIONAL INVESTMENT ADVISORY SERVICES

SUBMISSION CHECKLIST

☐ **EZSUB**

Branch _____

PS ☐   SG ☐   PFP ☐   [ ][ ][ ]   Introducer [ ][ ][ ]   Submission Date [ ]/[ ]/[ ]
YY   MM   DD

Adviser Name
[ ]

CLIENT AND SPOUSE / OTHERS INFORMATION (AS PER FINANCIAL PLANNER)

Client

Name as in NRIC/FIN/Business Registration Name
[ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ]

NRIC/FIN/Business Registration Number
[ ][ ][ ][ ][ ][ ][ ][ ][ ][ ]

☐ DNC Consent Obtained
CKA: ☐ Pass   ☐ Fail   ☐ N/A

Spouse / Others

Name as in NRIC/FIN
[ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ][ ]

NRIC/FIN
[ ][ ][ ][ ][ ][ ][ ][ ][ ][ ]

☐ DNC Consent Obtained
CKA: ☐ Pass   ☐ Fail   ☐ N/A

Client Type   ☐ Retail   ☐ Accredited Investors   ☐ Corporate
Product Type   ☐ CIS   ☐ Life Insurance   ☐ General Insurance

☐ Financial Planner   ☐ Accredited Investor Form   ☐ Client Servicing Form
☐ Abridged Financial Planner ☐ Switching Form   ☐ Life Wrapper Review
☐ Corporate Financial Planner ☐ Client Transfer Form   ☐ Enhanced Customer Due Diligence Form
☐ eFP - Case No.   ☐ Client Referral Service Consent Form   ☐ Personal Data Update Form

☐ Copy of NRIC/Passport/Birth Certificate   ☐ Copy of Health Booklet (Child)/Health Lab Report/Medical Report/Doctor's Memo
☐ Copy of ACRA/Business Registration Certificate   ☐ Copy of Proof of Address (Utility/Telco Bill/Bank Statement/Tenancy Agreement)
☐ Copy of Certificate of Incorporation   ☐ Copy of Cashier Order
☐ Copy of Certificate of Incumbency   ☐ Online Trade Approval
☐ Copy of Power of Attorney/Trustee   ☐ Other Documents

GENERAL INSURANCE		LIFE INSURANCE		INVESTMENT/OCBC	
Indicate no. of app sets	Tick if cheque is attached	Indicate no. of app sets	Tick if cheque is attached	Indicate no. of app sets	Tick if cheque is attached
AIG	☐	CHINA TAIPING	☐	IFAST	☐
ALLIED WORLD	☐	MANULIFE	☐	NAVIGATOR	☐
AXA	☐	INCOME	☐	OCBC	☐
LONPAC	☐	RHI	☐	Others:	☐
QBE	☐	SINGLIFE - Case No. ____	☐		
Others:	☐	TOKIO MARINE	☐		
		Others:	☐		

Remarks /Cheque Details: (Bank/No. Amt)
1) _____
2) _____

Remarks / eFP Ref / Other e-Ref / Cheque Details: (Bank/No. Amt)
1) _____
2) _____

Remarks / eFP Ref / Other e-Ref / Cheque Details: (Bank/No. Amt)
1) _____
2) _____

Type of Submission
☐ Scan Only   ☐ Scan & Lodge
☐ To Provider   ☐ To PIAS