

Rules Engine-UI/UX

Relationship and Client Context



Relationship & Client Context

KYC Process

- ☒ On-boarding
- ☐ Review

Entity Type

Private and Listed Company

Nature of Relationship

Choose

Anticipated Rating

- ☐ Low
- ☐ Medium
- ☐ High

Related Regulation

Choose

Sales and Booking Locations

Choose

Country of Registration

Choose

Continue

Progress Indicator

Relationship & Client Context

KYC Requirements Checklist

Rules

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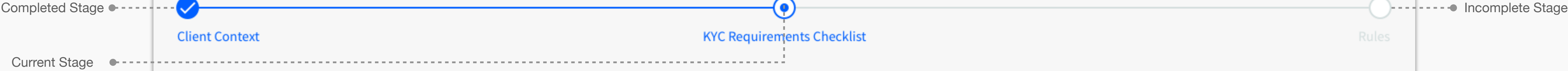
Choose

Continue

Single Page UX

Usage of not only drop downs but relevant form elements like checkboxes & radio button

KYC Requirements Checklist



KYC Requirements Checklist



Due Diligence Outcomes

1. Due Diligence Context

Question ●

1. Identify if the entity is listed on SG recognised stock exchange

☐ Yes ☐ No

-  Obtain the name of the approved stock exchange
-  Verify the name of the approved stock exchange

Rules

Next Question

Continue

User can proceed to the next question if required, else the next question will be revealed progressively (“responsive disclosure”)



KYC Requirements Checklist

Due Diligence Outcomes

2. Identification and Realted Information

Obtain registered address

☐ Yes ☐ No

Identify whether the entity is in a county allowing issuance of bearer shares


☐ Yes ☐ No

Identify whether entity operates a regulated entity


☐ Yes ☐ No

Identify whether the entity issues Bearer shares in paper format that represent more than 10% of the capital or voting rights.


☐ Yes ☐ No




Obtain the full legal namers of the entity




Obtain business addreess if different of registered address




Obtain the legal form / type (for public bodies and authorities) of the entity




Obtain the registration form of the entity



Obtain the regulated status





Obtain the additional information in case of Bearer shares insurance

Next Question

Continue

The old rules can be navigated through the scroll bar

“List of supporting documents” icon

“Description of the requirement” icon



Client Context

KYC Requirements Checklist

Rules



The client context questions can be seen within the same page.

KYC Requirements Checklist

KYC Process	Entity Type	Nature of Relationship	Locations	Ratings
On-boarding	Private & listed Company	Client Business Relationship	GBR-USA-FRA	<input type="radio"/> Low <input type="radio"/> Medium <input type="radio"/> High

Due Diligence Outcomes

2. Identification and Realted Information

Obtain registered address

☐ Yes ☐ No

Identify whether entity operates a regulated entity

☐ Yes ☐ No

Identify whether the entity is in a county allowing issuance of bearer shares

☐ Yes ☐ No

Identify whether the entity issues Bearer shares in paper format that represent more than 10% of the capital or voting rights.

☐ Yes ☐ No

- Obtain the full legal namers of the entity
- Obtain business addreess if different of registered address
- Obtain the legal form / type (for public bodies and authorities) of the entity
- Obtain the registration form of the entity
- Obtain the regulated status
- Obtain the additional information in case of Bearer shares insurance

Next Question

Continue

Rules Summary






Rules

All Requirements (41)








GMS Requirements (32)

LMS Requirements-USA (9)


1. Due Diligence Context

-  Obtain the name of the approved stock exchange
-   Verify the name of the approved stock exchange



2. Identification and Realted Information

-  Obtain the full legal namers of the entity
-  Obtain business addreess if different of registered address
-  Obtain the legal form / type (for public bodies and authorities) of the entity
-  Obtain the registration form of the entity
-  Obtain the regulated status
-   Obtain the additional information in case of Bearer shares insurance


3. Nature and Purpose of Relationship

-  Obtain the SG contemplated productsand servicesto be used by the Entity(FOOR Requirement)

4. Economic and Financial Situation

-  Obtain the activity of the entity (Indusrty Sector)
-  Obtain estimated turnoverof the entity

5. Ownership and Control

-  Obtain the activity of the entity (Indusrty Sector)

Filter tabs

Thanks