

Conducting Customer Due Diligence (CDD) is important for you as a professional intermediary as a thorough understanding of your customers/clients and their behaviour using adequate and appropriate due diligence measures will allow you to discover unusual or possibly suspicious and illicit activities undertaken by your customers/clients.

This form is to assist you in conducting CDD on your customers/clients before determining if you should establish a business relationship with them. Please adapt this form to suit your business requirements. The information collected should be verified against independent and reliable sources. Where screenings are being performed for the purpose of risks assessments, please ensure all relevant supporting documents are retained accordingly.

**PART 1 – INFORMATION ABOUT THE CUSTOMERS/CLIENTS, AGENTS, CONNECTED PARTIES, BENEFICIAL OWNERS AND POLITICALLY EXPOSED PERSONS**

**Section A1 – Information on the Customer/ Client/ Agent/ Connected Party**

**You should obtain information on the customer/client (individual) who is requesting your service. You should also obtain information on the agent (individual or entity) who acts on behalf of the customer/client (business entity) and on any connected party who is a natural person having executive authority in the legal person or arrangement (e.g.: Directors, Managing Directors, Partners, Chief Executive Officers etc.).**

**Please obtain evidence of the agent’s authority to act on behalf of the customer/client (e.g. board resolution or Power of Attorney).**

*(Please duplicate the section below if there is more than one customer/client, agent or connected party)*

Individual Information	
Capacity in which the individual is acting	<input type="checkbox"/> Customer/Client <input type="checkbox"/> Agent <input type="checkbox"/> Connected Party
Full Name (including any aliases)*	
Residential Address*	
Unique Identification Number* (NRIC number/Passport/FIN Number etc.)	Expiry date of Identification Document (if applicable)
Date of Birth*	
Gender	<input type="checkbox"/> M <input type="checkbox"/> F
Nationality/Nationalities (where applicable)*	
Contact Number(s) with Country Code*	+
Email Address(es)	

Intended nature and purpose of business relationship	<i>(Please indicate the type of services required)</i>
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\* Information required under ACRA (Filing Agents and Qualified Individuals) Regulations 2015 and ACRA's Audit Practice Bulletin No. 2 of 2017 Annex 1 Section 2(ii)

Politically Exposed Persons (PEP)		
Is the individual a PEP <sup>1</sup> ? A PEP includes the following: a) a person who is entrusted with any prominent public function in Singapore, a country or territory outside Singapore, or by an international organisation at present; or b) a person who has been entrusted with any prominent public function in Singapore, a country or territory outside Singapore, or by an international organisation and who has stepped down from his prominent public function; or c) a family member or a close associate of a current PEP or a PEP who has stepped down.	Yes <i>(Please complete and attach Section C for each Identified PEP)</i>	No

## Section A2 – Information on Business Entity

**You should obtain information on the business entity that the customer/client/agent (if any) is representing. For RFAs, you should obtain information on the proposed entity that the RFA is performing transactions on behalf of with ACRA.**

*(Please duplicate the section below to provide more information on the entity that the customer/client/agent is representing or entity to be registered.)*

Entity's information	
Name of entity or Name of proposed entity*	
Former names (if any)	
Trading names (if any)	
Unique Entity Number (UEN) issued by the Registrar*	
Address or intended address of the registered office*	
Address of principal place of business (if different from above)	
Place/Country or Proposed Place/Country of registration*	

<sup>1</sup> For RFAs, please refer to ACRA guidelines for RFA on who is a PEP. For professional accountants in public practice and professional firms, please refer to EP200 Section 1.3 (i) on who is a PEP.

Date or Proposed Date of registration*	
Contact Number(s) with Country Code*	+
Email Address(es)	
Nature of business	<i>(Please indicate nature of business for this entity)</i>
Countries that the customer's/client's business mostly is transacting with	
Name(s) of all connected parties (directors/partners)*	<i>(Please use section A1 to obtain information for each connected parties identified)</i>

\* Information required under ACRA (Filing Agents and Qualified Individuals) Regulations 2015 and ACRA's Audit Practice Bulletin No. 2 of 2017 Annex 1 Section 2(ii)

## Section B – Information on Customer’s/Client’s Ultimate Beneficial Owner(s)

You should obtain information on the ultimate beneficial owner(s) of the entity.

The purpose of obtaining beneficial owners’ information is to:

- a) *identify the natural persons (whether acting alone or together) who ultimately own all the assets or undertakings of the customer/client;*
- b) *if there is doubt as to whether the natural persons who ultimately own all the assets or undertakings of the customer/client are the beneficial owners or where no natural persons ultimately own all the assets or undertakings of the customer/client, to then identify the natural persons (if any) who ultimately control the customer/client or have ultimate effective or significant control over the customer/client; and*
- c) *where no natural persons are identified above, to identify the natural persons having executive authority in the customer/client, or in equivalent or similar positions.*

*(Please duplicate the section below if there is more than one Beneficial Owner)*

Beneficial Owner Details	
Full name of beneficial owner (including any aliases)	
Residential Address	
Nationality	
Unique Identification Number (NRIC number/Passport/FIN Number etc.)	Expiry date of Identification Document (if applicable)
Date of birth	
Contact Number(s) with Country Code	+
Email Address(es)	
Provide information on the nature of beneficial ownership (e.g. more than 25% of ownership of the company) or person having executive authority	
Information on ownership and control structure of, or over the customer/client	<b><i>For customers/clients that are legal persons, you should understand and provide the control structure when identifying who the beneficial owner is.</i></b>

<b>Politically Exposed Persons (PEP)</b>		
<p>Is the beneficial owner a PEP?  A PEP includes the following:</p> <ul style="list-style-type: none"> <li>a) a person who is entrusted with any prominent public function in Singapore, a country or territory outside Singapore, or by an international organisation at present; or</li> <li>b) a person who has been entrusted with any prominent public function in Singapore, a country or territory outside Singapore, or by an international organisation and who has stepped down from his prominent public function; or</li> <li>c) a family member or a close associate of a current PEP or a PEP who has stepped down.</li> </ul>	<p>Yes  <i>(Please complete and attach Section C for each Identified PEP)</i></p>	<p>No</p>

**Section C – Information about Politically Exposed Persons (PEP), their Immediate Family Members and Close Associates**

**You should obtain the following information if the customer/client, or any party connected to the customer/client (including immediate family members and close associates) is a PEP.**

*(Please duplicate the section below if there is more than one PEP)*

*(Section can be omitted if there is no PEP)*

Information on PEP	
Is the identified individual a: <input type="checkbox"/> Singapore PEP; <input type="checkbox"/> Foreign PEP; <input type="checkbox"/> International Organisation PEP; <input type="checkbox"/> Family member of PEP <i>(please describe relationship with the PEP):</i> _____ ; <input type="checkbox"/> Close associate of PEP <i>(please describe relationship with the PEP):</i> _____	
Name of PEP	
Country/ international organisation which PEP holds prominent public function	
Describe nature of prominent public function that the person is or has been entrusted with	
Period of time in which the person is/was a PEP	

**Section D – Enhanced CDD<sup>2</sup> relating to source of wealth and funds**

**If the risk associated with the customer/client, beneficial owners or any connected parties is higher, you should obtain the following information about the customer/client, beneficial owners or any connected parties in the business relationship. If you assess that enhanced CDD is not required, please document the assessment and reasons for the assessment.**

Additional Information	
Information on the person's source of wealth	

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<sup>2</sup> Examples of situations where enhanced CDD may be required include the individuals identified as:

- (a) A foreign PEP, or his family members and close associates.
- (b) A high risk domestic PEP, or his family members and close associates.
- (c) A high risk international organisation PEP, or his family members and close associates.
- (d) A high risk individual.

Information on the person's source of funds in the establishment of the business relationship or in the proposed business relationship	
Any other information as necessary	

**Section E - Customer's/Client's/ Agent's Declaration**

The person who provided the information to you can sign off against the information.

I declare that the information provided in this form is true and correct.

<b>*Name of Customer/Client/Agent</b>	
<b>*Unique Identification Number (NRIC number/Passport/FIN Number etc.)</b>	
<b>Date</b>	
<b>Signature</b>	

**\*Delete where applicable**