



Compliance Department Customer Due Diligence Checklist

Name of Customer			
Customer Type	Choose an item.		
AML/CTF Risk Rating	Choose an item.	Date Prepared	Click or tap to enter a date.

Loan Purpose	
Loan Amount	

✓	Is the KYC Form completed with required details and signed by customer or authorized signatory/ies?
✓	Is Proof of Address provided?
✓	Is Individual ID card provided? / if Company, all Shareholders and Directors valid ID is provided?
✓	Is Certificate of Good Standing and Incorporation provided if Company?
✓	Comply Advantage Screening completed, and No Matches detected. (True Positive Matches are subject to EDD. If a True Positive Match is a Sanction, SMR is filed)
✓	Is the AML CTF Risk Assessment/Scoring performed and accurately completed?
✓	Confirm IPA Registration online for status (Ensure <i>Status</i> is indicated as <i>Registered</i>).

High Risk

✓	Source of Wealth Form, fully filled and signed?
✓	Is there an IRC TIN Certificate?
✓	PEP Checklist Form completed and authorized by HOD?
✓	High Risk Form fully documented and signed by Compliance Officer/Manager and GM/CEO?

Remarks

--

	Name	Signature/Date
	Prepared By	
Compliance Officer		
	Reviewed	
Assistant Manager Compliance		
	Approved By	
Chief Risk Officer		