

**CHECKLIST FOR VERIFICATION OF AUTHORISATION FOR
BALANCE ENQUIRY REQUEST FORM**

1. Verify that the following particulars in the Authorisation For Balance Enquiry Request Form are completed:-
 - a. Depositor's Name and CDS Account Number
 - b. Depositor's signature
 - c. Depositor's NRIC No. / Passport No. / Authority Card / Registration No.
2. Check the name, NRIC No. and licence number of the dealer's representative against the dealer's representative record.
3. Ensure that the depositor completes the expiry date correctly in the AFBIR by ticking the relevant boxes.
4. Where the Authorisation For Balance Enquiry Request Form has been executed by a person who is not able to read or understand the content, it should be accompanied by a Jurat Clause. The Jurat Clause needs to be affixed and signed by a person stated in the List Of Acceptable Witnesses in Chapter 9

Jurat Clause:-

I (NRIC No.) have distinctly, clearly and audibly interpreted the above in the language / dialect to the above named person who seemed to clearly understand the above and who made his / her mark in my presence.

Signed by

5. Where the execution is pursuant to Power of Attorney or Board Resolution, ensure the following :-
 - a. Person executing is the person named in the Power of Attorney or Board Resolution
 - b. Person executing is authorised to carry out that particular transaction
 - c. In the case of corporate body where there is a requirement to affix the common seal, that the affixation is done in accordance with the relevant rules governing the corporate body.

- d. Where the application form is signed under the Power of Attorney, please refer to the Usage Of Power Of Attorney (Appendix 6) to ensure that the Power Of Attorney is in order and that persons signing the form are empowered to do so.
6. Ensure that the authorisation for balance enquiry is only given to a holder of a Capital Markets Services Representative's Licence for dealing in securities of the ADA where the CDS account is opened.
7. Every amendment made on the form and the CDS Account Listing (if any) must be countersigned by the depositor and the Authorised Signatory(ies) of the ADA with a rubber-stamp bearing the ADA's name affixed. Do not use correcting fluid. Cancel the error and make the correction.
8. Any amendments made in the "for office use only" column in the form must be signed by the Authorised Signatory(ies) of the ADA with a rubber-stamp bearing the ADA's name affixed.
9. Where the amendments are signed by the depositor, verify the signature against the ADA's records of specimen signature(s).
10. Where a single AFBIR is completed for more than one (1) CDS account by a corporate depositor using the CDS Account Listing, ensure the following:-
 - a. The CDS Account Listing must be signed by the same authorised signatory(ies) who executed the AFBIR
 - b. The Company Seal is affixed on the CDS Account Listing (if applicable).