

## NEW BUSINESS DOCUMENT CHECKLIST

	Documents
<input type="checkbox"/>	Adherence to home and client residence regulatory requirements, this will depend on your company regulatory requirements and those of the country that the client resides, eg: Illustrations Data sharing & Sensitive data processing
<input type="checkbox"/>	ATR   Opted up Investor
<input type="checkbox"/>	Advice Report Client objectives/goals Adviser recommendation Investment strategy based on ATR Fees and associated costs at all levels (pension, bond/platform, assets etc) o Any compensation that the adviser will receive from any source must be included Mandatory regulatory disclosures
<input type="checkbox"/>	Fee Disclosures for providers (charge sheets, signed sections within applications) Product providers – pension   bond   platform
<input type="checkbox"/>	Provider applications UAP fully completed application form o Discharge paperwork for transfers in ▪ UAP Transfer In Application o TVAS/DBAR report for DB schemes (where applicable) Appointment of adviser/SMF
<input type="checkbox"/>	Original copies of applications and certified KYC documents may be required to meet the ceding schemes internal requirements – if requested, please provide the waybill number when sending:  <input type="checkbox"/> Customer Due Diligence – correctly certified and translated for non-English documents Photographic ID Proof of Address dated within 3 months o No PO box addressed documents unless physical address detailed SOF & SOW  UAP Group will issue a link to the client for electronic ID collection of the above KYC documents.
<input type="checkbox"/>	For transfers in of assets copies of paperwork will be requested, any statements or certificates to hand must be submitted at the time of application.

If you have any case specific questions, please refer to your Relationship Manager where further assistance can be provided.