Client File Checklist

Client Name: ______________________ **Date:** ______________

Account / Policy Number: ______________________ **New Client** ☐ **Existing** ☐

Disclosures required for all new Life Insurance and Seg Funds transactions / Agent of Record Changes

- ☐ Service Opportunity Form (CU referral), if not a CU referral, use notes to document the source of the referral
- ☐ Insurance Disclosure and Consent Form.
  - └ Used for New Life Insurance & Segregated Funds business, including replacement policies.
  - └ When a new rep is assigned to an existing account (Rep Change). Must be signed by the new rep and the existing client.
  - └ When a POA is assigned to a new or an existing account. Must be signed by the rep and the attorney(s) in the POA.

Supporting Documents

Life Insurance Requirements

- ☐ Individual Client ID Verification Form
  - └ (Used only when updating client's KYC information)
- ☐ Entity Client ID Verification Form
  - └ (Used for **new** and updating Corporate Client's KYC)
- ☐ KYC - PEP / HIO Form (If Applicable)
- ☐ Needs Analysis
- ☐ Illustrations (Signed if Whole or Universal Life)
- ☐ Application Form - (Excluding health info)
- ☐ Policy Delivery Receipt
- ☐ Proof of Payment (Cheque / ETF / PAC)
- ☐ Notes-To-File (Document entire transaction)
  - └ (Communication with client, carriers, etc..)
- ☐ Reason-Why Letter

Segregated Funds Requirements

- ☐ NAAF and KYC Form (Individual or Entity)
  - └ (Used also when updating client's KYC information)
- ☐ Entity Client ID Verification Form
  - └ (Used for **new** and updating Corporate Client's KYC)
- ☐ KYC - PEP / HIO Form (If Applicable)
- ☐ Segregated Fund Disclosure Form
- ☐ Needs Analysis
- ☐ Segregated Fund Company Application Form
- ☐ Seg Fund Company Information Folder (**Fund Facts**)
- ☐ Seg Fund Investment Instruction Form
- ☐ Seg Fund Systematic Plan Form (If Applicable) Seg
- ☐ Fund DSC Conversion Form (if Applicable) Seg
- ☐ Fund Redemption/Switch Waiver (If Applicable)
- ☐ Notes-To-File (Document entire transaction)
  - └ (Communication with client, carriers, etc..)
- ☐ Reason-Why Letter

Other Business Forms - Select Applicable

- ☐ Life Insurance Replacement Document - Complete all supporting documents for new policy
- ☐ Supervision Certificate
- ☐ Dealer/Representative Change Form - In addition, complete:
  - └ Insurance Disclosure and Consent Form - Signed by the new rep and the client
  - └ NAAF and Know-Your-Client Form - Required for Client-Name Segregated Funds accounts
  - └ Entity Client ID Verification Form - Required for Corporate Clients

Documentation given to the Client(s)

- ☐ Segregated Fund Disclosure
- ☐ Insurance Disclosure and Consent Form
- ☐ Information Folder (Fund Facts / Investment Profile)
- ☐ Life Insurance Replacement Form (If applicable)
- ☐ Insurance Illustrations - Signed
- ☐ Application Form
- ☐ Policy Contract
- ☐ Reason-Why Letter

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