

**CLIENT'S PARTICULARS UPDATE/ ADDITIONAL REQUEST(S) FORM**

**SECTION A – COMPULSORY FIELDS FOR CLIENT'S/PRINCIPAL ACCOUNT PARTICULARS**

Client Name (as per NRIC/ Authority Card/ Passport/ Business Registration) (*Capital Letter*): \_\_\_\_\_

NRIC/ Old IC/ Authority Card/ Passport/ Company Registration No.:		_____	
Types of account to update (Please tick <input checked="" type="checkbox"/> )	<input type="checkbox"/> Equity Trading account:	Client Code:	_____
	<input type="checkbox"/> CDS Account:	CDS No :	078 - 0
	<input type="checkbox"/> Derivatives Trading account	Client Code:	_____
	<input type="checkbox"/> Wealth / Investment account:	Client Code:	_____

**OPTIONAL FIELDS**

**SECTION B - UPDATING OF CLIENT'S/PRINCIPAL ACCOUNT PARTICULARS** (Please TICK  that require changes)

New Name (as per NRIC/ Authority Card/ Passport / Business Registration)  New Passport No.  Registered Address (as per NRIC/ Authority Card/ Business Registration)

Correspondence Address: (If different from registered address) \_\_\_\_\_ Postcode: \_\_\_\_\_

*Note: Certified True copy of Supporting Documents shall be submitted by Clients for updating of name/ passport no./ address.*

Nationality:  Malaysian  Others: \_\_\_\_\_  Tax Resident:  Malaysia  Others: \_\_\_\_\_ ; TIN No: \_\_\_\_\_

Marital:  Single  Married, Spouse Name: \_\_\_\_\_  Divorced  Widowed

Domestic Ringgit Borrowing:  Yes  No (Refer <http://www.bnm.gov.my/fep> for DRM definition under BNMFEA rules)

Updating of Email Address: \_\_\_\_\_

Updating of Epayment/Local Bank Name: \_\_\_\_\_ Bank Account No: \_\_\_\_\_  Auto payment to client bank<sup>1</sup>

Updating of Foreign Bank Name: \_\_\_\_\_ Bank Account No: \_\_\_\_\_ Currency: \_\_\_\_\_

<sup>1</sup>Not applicable to Cash Upfront Account of which subject to Auto To Trust

**SECTION B1 - UPDATING OF CLIENT'S/PRINCIPAL ACCOUNT FINANCIAL INFORMATION** (Please TICK  that require changes)

Employment:  Employed  Self-employed  Retiree<sup>2</sup>  Housewife<sup>3</sup>  Student<sup>3</sup>  Other: \_\_\_\_\_

<sup>2</sup>Please also provide networth and/ or previous employment details. <sup>3</sup>Please also provide income provider's identification number, employment details, annual income and/ or networth, relationship with income provider and a separate copy of consent letter and PDPA disclosure by income provider.

Name of Income Provider: \_\_\_\_\_ Identification \_\_\_\_\_

Name of Business/Employer: \_\_\_\_\_  Present position: \_\_\_\_\_

Relationship with Income Provider:  Family Members  Others, please specify: \_\_\_\_\_

Contact Details:  Home No.: \_\_\_\_\_ - \_\_\_\_\_  Office No.: \_\_\_\_\_ - \_\_\_\_\_

Handphone: \_\_\_\_\_ - \_\_\_\_\_  Fax. No.: \_\_\_\_\_ - \_\_\_\_\_

Company Address: \_\_\_\_\_ Postcode: \_\_\_\_\_

Annual Income:  Below RM25,000  RM25,001-RM50,000  RM 50,001- RM 100,000  RM100,001 -RM200,000

RM200,001-RM300,000  RM300,001-RM400,000  RM 400,001-RM500,000  Above RM500,000

Net worth: RM \_\_\_\_\_  Shareholders' Funds: RM \_\_\_\_\_

Nature of Business: \_\_\_\_\_  Latest audited financial profits/ loss: RM \_\_\_\_\_

Country/Jurisdiction of Tax Residence \_\_\_\_\_  SST Registration Number: \_\_\_\_\_

Tax Identification Number (TIN) \_\_\_\_\_ State reason if no TIN available: \_\_\_\_\_

Source of Income/Wealth:  Employment  Business  Investment  Inheritance  Others, please specify: \_\_\_\_\_

Source of Fund:  Employment  Business  Investment  Inheritance  Others, please specify: \_\_\_\_\_

\* Agreed that UOB Kay Hian ("UOBKH") may update the information provided in Section B1 across all accounts held with UOBKH. This includes Equity, Unit Trust, Fund Management, and Derivatives accounts.

**SECTION C - UPDATING OF JOINT CLIENT'S PARTICULARS (APPLICABLE TO WEALTH/INVESTMENT ACCOUNT ONLY)**

(Please TICK  that require changes)

New Name (as per NRIC/ Authority Card/ Passport / Business Registration)  New Passport No.  Registered Address (as per NRIC/ Authority Card/ Business Registration)

Relationship with Client/Principal Account  Spouse  Sibing  Parents  Child  Others :

Correspondence Address: (If different from registered address) \_\_\_\_\_ Postcode: \_\_\_\_\_

*Note: Certified True copy of Supporting Documents shall be submitted by Clients for updating of name/ passport no./ address.*

Nationality:  Malaysia  Others: \_\_\_\_\_  Tax Resident:  Malaysia  Others: \_\_\_\_\_ ; TIN No: \_\_\_\_\_

Marital:  Single  Married, Spouse Name: \_\_\_\_\_  Divorced  Widowed

Domestic Ringgit Borrowing:  Yes  No (Refer <http://www.bnm.gov.my/fep> for DRM definition under BNMFEA rules)

Updating of Email Address: \_\_\_\_\_

Updating of Epayment Bank Name: \_\_\_\_\_ Bank Account No: \_\_\_\_\_

**SECTION C1 - UPDATING OF JOINT CLIENT'S FINANCIAL INFORMATION (APPLICABLE TO WEALTH/INVESTMENT ACCOUNT ONLY)***(Please TICK  that require changes)*

Employment:  Employed  Self-employed  Retiree<sup>2</sup>  Housewife<sup>3</sup>  Student<sup>3</sup>  Other: \_\_\_\_\_

<sup>2</sup>Please also provide networth and/ or previous employment details. <sup>3</sup>Please also provide income provider's identification number, employment details, annual income and/ or networth, relationship with income provider and a separate copy of consent letter and PDPA disclosure by income provider.

Name of Income Provider: \_\_\_\_\_ Identification \_\_\_\_\_

Name of Business/Employer: \_\_\_\_\_  Present position: \_\_\_\_\_

Relationship with Income Provider:  Family Members  Others, please specify: \_\_\_\_\_

Contact Details:  Home No.: \_\_\_\_\_ - \_\_\_\_\_  Office No.: \_\_\_\_\_ - \_\_\_\_\_

Handphone: \_\_\_\_\_ - \_\_\_\_\_  Fax No.: \_\_\_\_\_ - \_\_\_\_\_

Company Address: \_\_\_\_\_ Postcode: \_\_\_\_\_

Annual Income:  Below RM25,000  RM25,001-RM50,000  RM 50,001- RM 100,000  RM100,001 -RM200,000

RM200,001-RM300,000  RM300,001-RM400,000  RM 400,001-RM500,000  Above RM500,000

Net worth: RM \_\_\_\_\_

Nature of Business: \_\_\_\_\_

Source of Income/Wealth:  Employment  Business  Investment  Inheritance  Others, please specify: \_\_\_\_\_

Source of Fund:  Employment  Business  Investment  Inheritance  Others, please specify: \_\_\_\_\_

**SECTION D - EQUITY - REQUESTING OF ADDITIONAL ACCOUNT(S)/ PRODUCT(S) (Please TICK  accordingly)**

Normal Trading  Collateralised Account  Cash Upfront  Custodian  Intraday Short Selling (IDSS)<sup>4</sup>

Shariah Trading  Leap Market<sup>5</sup>  L&I ETF<sup>5</sup> or <sup>6</sup>  Discretionary Financing  Extended Contra Account (ECA)

Foreign Trading  Settlement currency in traded currency *Note: If Client do not select Traded Currency Settlement, the default settlement currency is in MYR*

UTrade Facility  Others: \_\_\_\_\_

Investment Objective:  Investment  Speculation  Mixed

<sup>4</sup>Client needs to sign Securities Borrowing And Lending Agreement.<sup>5</sup>By choosing this product, I/ we am/ are the Sophisticated Investors and qualified as the Eligible Investors as prescribed in T&C. (Proof of net assets/ income is compulsory.) If I/ we fall under other category as provided in schedule 6 & 7 of CMSA 2007, I/ we shall separately inform the UOB Kay Hian Securities (M) Sdn. Bhd.<sup>6</sup>By choosing this product, I/ we declare that I/ we have fulfilled one of qualifying criteria as prescribed in T&C.

**SECTION E - DERIVATIVE- REQUESTING OF UPDATING ACCOUNT(S)/ PRODUCT(S) (Please TICK  accordingly)**

Shariah Account  Conventional Account

Investment Objective:  Investment  Speculation  Mixed**SECTION F - WEALTH MANAGEMENT - REQUESTING OF ADDITIONAL ACCOUNT(S)/ PRODUCT(S) (Please TICK  accordingly)**

Unit Trust Account  Wrap Account, Wrap Fee \_\_\_\_\_ %  Non-Wrap Account

Bond Account<sup>2,3,6</sup>

Investment Objective:  Capital Preservation  Income  Income & Growth  Growth  Others, please specify

Update Authorisation Matrix for joint\* account  Either One to Sign  Both to Sign  Principal to sign

\*Joint Applicant Relationship  Spouse  Sibing  Parents  Child  Others :

**SECTION G - INVESTMENT MANAGEMENT - REQUESTING OF ADDITIONAL ACCOUNT(S)/ PRODUCT(S) (Please TICK  accordingly)**

Discretionary<sup>6</sup>  Non-Discretionary<sup>6</sup> ( )  Wholesale Fund<sup>5,6</sup>

Investment Objective:  Capital Preservation  Income  Income & Growth  Growth  Others, please specify

Additional products  3rd Party Onshore and Offshore Investment  P2P Lending  Will & Trust  Financial Planning

Insurance / Takaful  Onshore Insurance/Takaful  Offshore Insurance  Others:

Notes to Refer: \*Applicable to Wealth and/or Investment Management Account

1. Please complete Joint account Relationship for joint application form.
2. For application of Bond Investment, the joint Investor shall be 18 years old and above.
3. Applicants who opt for Bond Investment and Investment Management must be under Sophisticated Investors as prescribed in Investor Suitability Assessment Form ("SAF")
4. Applicant who opt for this type of investment are obligated to carefully read and sign The Investment Management Agreement.
5. For Wholesale Fund Investment, Applicant(s) hereby solemnly confirmed and declared that he/she/they had read, fully understood and agreed to be bound by all covenants and undertakings and accepted all the contents of the Offering Document before completing this form.  
In accordance with the Capital Markets and Services Act 2007, the form should not be circulated unless accompanied by the relevant Information Memorandum including any Supplemental / Replacement Information Memorandum and / or Product Highlights Sheet (collectively known as "Offering Document").
6. Investor needs to complete Investor Suitability Assessment Form.
- 7.

**Applicants acknowledge and agree that two type of fees, i.e. Portfolio Management Fee and Wholesale Fund Management Fee will be applied for subscription of Wholesale Fund via discretionary mandate.**

**APPOINTING AND EMPOWERING OF THE DEALER'S REPRESENTATIVE/FUTURE'S BROKER REPRESENTATIVE/FINANCIAL ADVISOR OR ANY OTHER PERSON ("REPRESENTATIVE") TO MANAGE ADMINISTRATIVE FUNCTIONS IN RELATION TO THE TRADING ACCOUNT(S) (Please TICK  accordingly)**

- My DR/ FBR/FA  
 Others; please provide a copy of NRIC or Passport of the representative.

**SECTION H - DECLARATION AND ACKNOWLEDGEMENT**

I/We declare that all particulars and information given in this Form are true and correct without holding back any material facts or information from UOBKH. UOBKH is entitled to fully rely on such information for all purposes unless otherwise notified in writing from me/us. I/We undertake to furnish UOBKH with such additional particulars as UOBKH may require at any time and also undertake to inform UOBKH of any changes with regard to the particulars stated herein from time to time.

I/We hereby confirm that I/we am/ are fully aware of the updated terms and conditions that govern my Trading Account which can be retrieved from the homepage of UOBKH ([URL:www.utrade.com.my](http://URL.www.utrade.com.my) and [www.uwealth.com.my](http://www.uwealth.com.my)), of which I/we confirm that I/we have read each and every DECLARATION, RISK DISCLOSURE STATEMENTS, TERMS AND CONDITIONS as well as the COVENANTS and UNDERTAKING contained therein, and understand its contents and implications which have been duly explained to me/ us in detail by the Company and I/ we agree to be bound by them entirely irrespective of whether my/ our request for updating is approved. I/We am/are further aware that UOBKH has sole and absolute discretion to vary, add or remove any of the terms and conditions therein at any time hereafter and it shall be my/our sole responsibility to keep myself/ourselves aware of all such changes without the need to be notified and I/we agree to be bound by all such variations, additions or removal of all such terms and conditions accordingly.

*\*\*If the Client is corporation, please sign as per Board Resolution and affix the company rubber stamp or common seal.*

"We hereby confirmed that the Board Resolution dated \_\_\_\_\_ is still valid and no subsequent resolution supersede it"

Signed by:

Signed by:

*\*\*Signature of Client/Principal Account*

*\*\*Signature of Joint Account*

Name:

Name:

Date:

Date:

**SECTION I - FOR OFFICE USE ONLY**

Signature				
	Verified By:	Approved By:	Updated By:	Checked By:
	Date			