

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 – Individual: Update of Client's / Principal's Account Particulars (Please TICK that require changes)

New Name (as per NRIC/ Authority Card/ Passport) _____ New Passport No. _____ Registered Address (as per NRIC/ Authority Card) _____
 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 bank¹
 Updating of Foreign Bank Name: _____ Bank Account No: _____ Currency: _____
¹Not applicable to Cash Upfront Account of which subject to Auto To Trust SWIFT Code: _____

SECTION B1 – Individual: Update of Client's / Principal's Account Financial Information (Please TICK that require changes)

Employment: Employed Self-employed Retiree² Housewife³ Student³ Other: _____
²Please also provide networth and/ or previous employment details. ³Please 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 – Individual: Update of Joint Client's Particulars (Applicable to Wealth / Investment Accounts Only) (Please TICK that require changes)

New Name (as per NRIC/ Authority Card/ Passport) _____ New Passport No. _____ Registered Address (as per NRIC/ Authority Card) _____
 Relationship with Client/Principal Account Spouse Sibling 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 – Individual: Update of Joint Client’s Financial Information (Applicable to Wealth / Investment Accounts Only) (Please TICK that require changes)

Employment: Employed Self-employed Retiree² Housewife³ Student³ Other: _____

²Please also provide networth and/ or previous employment details. ³Please 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 – Corporate: Update of Corporate Client Particulars (Please TICK accordingly)

New Name (as per Business Registration) : _____

Correspondence Address/ Business Address as per Form 44/Section 46 _____

Type of Corporation Public Company Private Company Association/ Club/ Society Sole Proprietorship

General Partnership Limited Liability Partnership Foreign Company

Government/ Statutory Board Other: _____

Nature of Business _____

Contact Details: Office No: _____ Fax No: _____

Email Address: _____

TIN No _____

Company Status Bumiputra controlled Non-bumiputra controlled Non- Malaysian controlled

Shareholder’s Fund : RM _____ Reported Profit/(Losses) as per Last Audited Finance statement: RM _____

Source of Income Disposal of investment and/or business asset Fund raising exercise Cash in hand/ Surplus funds

Business Income Other: _____

Estimated Net-Worth : Up to RM500,000 RM500,001 – RM3,000,000 RM3,000,001 – RM10,000,000 Above RM10,000,000

Contact Peron (1) Name: _____

NRIC No. / Passport No. _____ Date of Birth: _____

Nationality: _____

Contact Details: Telephone No (Mobile): _____ Telephone No (Office): _____

Designation: _____ Email Address: _____

Contact Peron (2) Name: _____

NRIC No. / Passport No. _____ Date of Birth _____

Nationality _____

Contact Details: Telephone No (Mobile): _____ Telephone No (Office): _____

Designation: _____ Email Address: _____

Domestic Ringgit Borrowing: Yes No

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

Normal Trading Collateralised Account Cash Upfront Custodian Intraday Short Selling (IDSS)⁴

Shariah Trading Leap Market⁵ L&I ETF^{5 or 6} 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

^{2,4}Client needs to sign Securities Borrowing And Lending Agreement. ⁵By choosing this product, I/we declare that 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. ⁶By choosing this product, I/ we declare that I/ we have fulfilled one of qualifying criteria as prescribed in T&C.

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

Shariah Account Conventional Account

Investment Objective: Investment Speculation Mixed

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

Unit Trust Account Wrap Account, Wrap Fee _____ % Non-Wrap Account
 Bond Account^{2,3,6} Structured Investment

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 Sibling Parents Child Others :

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

Discretionary⁶ Non-Discretionary⁶ () Wholesale Fund^{5,6}

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.

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 and 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:

***Signature of Client/Principal Account*

Name:

Date:

Signed by:

***Signature of Joint Account*

Name:

Date:

SECTION I – FOR OFFICE USE ONLY

Verified By:

Approved By:

Updated By:

Checked By:

Signature

Date