UOB KAY HIAN (M) SDN BHD

(Formerly known as UOB Kay Hian Securities (M) Sdn. Bhd.) (Registration No. 199001003423 (194990-K))

A Participating Organisation of Bursa Malaysia Securities Berhad

A Trading Participant of Bursa Malaysia Derivatives Berhad

A Registered IUTA and IPRA of Federation of Investment Managers Malaysia

: www.utrade.com.my

UOBKayHian

8. Is any of the Controlling Person ² of the Applicant a U.S. Person Yes No (Refer to question no.9(i))											
2Controlling Person is defined as natural person who has at least 25% shareholdings in the company.											
If Yes (please complete the following)											
Α.											
B. The Applicant is a Passive Non-Financial Foreign Entity (Passive NFFE). Passive NFFE is broadly defined as those legal entitles set up to hold assets that produce investment income.											
C. The Applicant is an Active NFFE. (Refer to Part 15 for the definition of Active NFFE)											
If both A and B are ticked, please provide the following information for the Controlling Persons of this Passive NFFE who are also Specified U.S. Persons: (Please attach a separate list if there is insufficient space)											
	Name of Controlling Per	rson	Add	ress	U.S. Tax	payer Identification Number					
# Controlling Person means the natural person who exercise control over the company. If the Company and/or the Controlling Person are a tax resident of the United States, please provide											
						even if they are a tax resident of anoth					
	ick one of following:		E di (D. 1. NEEL) D. 1	NEE: 1 11 1 C 1	a 1 1 23						
А.	produce investment inco	ome.	Entity (Passive NFE). Passi	·		•					
В.	B. The Applicant is an Active NFE – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation.										
(Please provide the name of established securities market on which the corporation is regularly traded:) (If you are a Related Entity of regularly traded corporation, please provide the name of regularly traded corporation that the Entity in (B) is a Related											
С. П	Entity of: The Applicant is an Act	ive NFE – a Gove	ernment Entity or Central Ba) nk							
D.											
Е. П	The Applicant is an Act		•								
9(ii). If Appl	icant has ticked 7(G) or 9	(i)(A), then please	e complete the following:								
	ate the name of any Contr	•									
(i) (iii)			(ii) (iv)								
. ,	ach Controlling Person, pl	lease complete Inc	dividual Self-Certification Fo								
	F ACCOUNT (please tick	•									
	nal Trading		rised Account	Intraday Short Selling (II	DSS) ³	Discretionary Finance					
Day	Гrade	Shariah	Trading Account	Extended Contra Accoun	nt (ECA)	Margin Account					
Cash	Upfront	Leap M	Iarket ⁴	Custodian		External Margin					
L&I	ETF ^{4 or 5}	Others,	please specify:								
						and qualified as the Eligible Investor, Bhd.(UOBKH). ⁵ By choosing this prod					
	we have fulfilled one of qualif	-	cribed in T&C.								
	MARKET INTERNET T	TRADING									
Utrade Fac	· .	Yes		auren - ug ai	1 7 NR/GE7 0 A	MEN.					
Foreign Li	<u> </u>	Singapore (S	· <u>-</u>	<u> </u>	sdaq ⁷ , NYSE ⁷ & A		D				
Settlement Currency Traded Currency											
⁶ Please take note that there will be charges for Live Price Feed ⁷ Client who request for Live Price Feed for NYSE and Nasdaq must execute the Subscriber Agreement											
4 DOCUM	ENTS TO BE SUBMIT	TED (NON RET	URNABLE)								
1	corporated Under Compan	,		Organisation / Bodies Es	stablished Under An	Act	Т				
Form	9, Form 13, Form 24, Form	44, Form 49 & M&A	A of Companies Act 1965	Copy of Constitut	tion / By Laws of The	Society					
	Section 14, 15, 28, 46, 58, 78, Constitution (if applicable) of Companies Act 2016 Certificate of Registration										
	Business License * Photocopy of Directors/ Authorised Personnel NRIC Copy of Resolution of Governing Body (e.g. Committee / Board Resolution) Photocopy of Directors / Authorised Personnel NRIC Photocopy of Principals / Directors / Authorised Signatories NRIC / Programs										
Annual Returns Directors Personal Guarantee / Undertaking Photocopy of Principals / Directors / Authorised Signatories NRIC / Passport Board Resolution Certified Copy of Latest Audited Financial Statement Certified Copy of Latest Audited Financial Statement											
Company Income Tax 3 Months Bank Statement 3 Months Bank Statement											
Form *Applicable to (i) accredited investors as defined in Schedule 6 and Schedule 7 of CMSA; or											
8CDS Accou	authorised nominee as defined in lant No:	Bursa Depository Rule		 			J				
8 If you do not have an existing CDS Account with UOB Kay Hian (M) Sdn Bhd, please fill in Form FMN 010 to open CDS account or to provide instruction of opening clearing account(s).											

5 INVESTMENT EXPERIENCE AND OBJECTIVES														
Securi	ties Trading Experience No	ne			< 1 yea	r			1-5 yea	urs	>	5 years		
Invest	ment Objectives Inv	estment			Specula	ation			Mixed		Ir	vestment	Object	ives
Risk 7	Colerance Ag	gressive	Moderate				Conservative							
6 SETTLEMENT BANK ACCOUNT PARTICULARS														
Bank Name: Account No ⁹ :														
All payment payable to you shall be electronically crediting to your above bank														
account.														
⁹ Kindly take note that the bank account must be in the Applicant name and this bank must be located in Malaysia offering MEPS IBG services as all payment payable to the Applicant shall be electronically crediting to Applicant above Account No.														
FOR INSTITUTIONAL APPLICANT ONLY - Bank and CDS Account of Custodian Bank (if applicable)														
Nam	e Of Custodian Bank													
Brar	ach.													
Diai	Cii													
Banl	x Account No													
Cust	odian Bank's CDS Account No				1									
		(If the ab	ove space is	not enough	h, kindly atte	ach the Set	tlement In	struction i	in separa	te sheets)				
7 F	INANCIAL BACKGROUND													
Nature	e of business	Regulate	ed Financia	l Instituti	on: Count	y of Juris	sdiction t	he Entity	y:					_
	nolders' Funds ¹⁰ RM				(Losses) A			ted Finar	ncial Sta	atement	RM			_
	ed on latest Audited Financial Stateme	nts	Audited	l Financia	al Year as a	ıt :								
Source Wealt	Business / Capital	Loan	Others:					=						
R	EFER TO BOARD RESOLUTION FO	R AUTHORISE	ED SIGNA	TORIES .	AND SPE	CIMEN S	SIGNATI	URE OF	AUTH	ORISED	SIGNAT	ORIES.		
8 O	THER PARTICULARS OF APPLI	CANTS												
a.	Does the Applicant have Domestic R rules?		g as defined	l under B	NM FEA	Ye	es s		No					
b.	(For further details, refer https://www.bnm Are the Applicant's Directors and/o		con related	I ^{II} to any	v staff or			4 1 4	.: 1- :					
υ.	Director or Dealer's Representatives					No	s, name a	and relati	nonsnip					
	¹¹ related persons means spouse, children, p have at least 15% interest	varents, or any acc	counts where	any of the	said person	(s) has inte	erest and c	companies	s in which	the staff.	s, Director	s or Dealer	rs' Repre	esentative
c.	Have the Applicant and/or authorised	person ever oper	ned an acco	unt with U	UOBKH?		s			nd reaso	n for closi	ing of acc		No
d.	Does the Applicant have existing So with UOBKH?	ecurities and/or	Derivatives	Trading	Account	<u> </u>	s, Accou						[No
e.	Is the Applicant trading for as Benefic					Ye	s		No					
	If the Applicant is not the Beneficial Owne Rules of Bursa Malaysia Securities Berhad		laration as pe	er Rule 5.1	15(8) of the				-		he Applica		-	Y
c				*.1	TP 11				Authoris	sea Nomii	nee 🖵 Ex	empt Auth		
f.	Details of the Applicant's Director Accounts maintained with UOBKH	s and/or autho	orised perso	ons with	Trading		lame: Relationsh	nip:				L	Non	ie
							Account N							
g.	Would the Applicant consent and authhas been provided to UOBKH for a promotions?					Ye	s	No						
	By choosing yes, you expressly consent and including administering offers and compe- UOBKH may deem fit.													
h.	Would the Applicant like to appo (inclusive of Associated DRs and Tra- functions in relation to its trading acc	ading Clerk of D				Y	es	No						
	Please be aware of the action of choosing a representative would give rise to risks and legal consequences of which you must be prepared to accept. You SHOULD NOT TICK "YES" if you have not been informed of or do not fully understand the consequences. You are advised to obtain competent legal advice on your rights and obligations and clarify any doubts you may have before naming your representative(s).													
į	Information Collection Statement con	ocerning Northbo	aund China	Connect	Orders (A)	mlicable	For Inst	itutional	I Annlia	ant Onk	•)			
i.	a. The main account and all sub a are opened for (Funds / Propriet	accounts of the i	nstitutional	applican		o. The thro	institutio ugh Excl	onal appl hange Pa	licant (barticipan	elongs/ o ts ("TTE	does not b	_		e-
	* to delete whichever is not appropriate					1110	TILETH	.m 1D 18;	•					<u> </u>

9 DECLARATIONS AND AC	KNOWI FDCFMFNT					
We hereby confirm that we are full (URL:www.utrade.com.my), of wh STATEMENTS, the TERMS AND which have been duly explained to be bound by them entirely. We are time hereafter and it shall be our s variations, additions or removal of	ly aware that the full terms and nich a physical copy has been he CONDITIONS as well as the us in detail by the Company. If further aware that UOBKH he cole responsibility to keep our	anded to us and we covenants and subject and condition as the sole and absorbed every solution as the sole and absorbed every solution.	confirm that we have I UNDERTAKING co onal upon UOBKH ap olute discretion to var	read each and every DEC ontained therein, and und oproving our Trading Acc y, add or remove any of	CLARATION, the RIS derstand its contents are count(s) application, we the terms and condition	K DISCLOSURE ad its implications we hereby agree to cons therein at any
Signed By:						
		~				~/
- G:	CA I			C. CHI.		<u> </u>
Signature og Name:	f Applicant		Name:	Signature of Witness		
NRIC No:			NRIC No:			
Date:			Date:			
* If the Applicant is a corporation, ple	ease sian as per Roard Resolution	and affix the company		nn saal		
			Tubber stamp or commo	m seui.		
10 TO BE COMPLETED BY I		ΓIVES				
I) KNOW YOUR CLIENT POI		.,	2			
-	t through your personal contact		g?	Yes	No	
•	equainted with the Applicant?					
2. Duration of time you have k				Years		
, , , ,	dealings with the Applicant?			Yes	∐ No	
11	ood financial viability and trus			Yes	∐ No	
5. Is the Applicant actively inv	volved in any political activiti	es or politically link	ed?	Yes	No	
II) ADDITIONAL INFORMAT		200	a			
	ares to be deposited Cash:	RM	Shares : RM	Recor	nmended Limit:	
Remarks :						
11 DECLARATION BY DEAL	EDIC DEDDECENTATIVE					
 Having assessed the Applicant the trading account with the C herein. 						
2. I hereby confirm that:						
Warrants Risk Disclosure State foreign securities and the usage	ge of the Company's electronic	sk Disclosure Stater c services (where ap	nent and the risks an plicable); and	d obligations associated	with the trading in se	
b) to the best of my knowled3. I shall keep you fully indemni	edge and belief, all information					uffered by you in
relation to the trading account		5,,	۲, 8			
			Name: Code:			
			Date:			
(Signature of Dealer's Repr	esentatives)					
FOR OFFICE USE ONLY						
Credit Assessment			Client Code			
AML – World Check One*	*Note: Not allowed to open if sanctioned under MOHA		Brokerage Typ	e:		
Credit – Experian		Product Code	:			
Checked by: Processed by: Verified by		Verified by :	Account Type			
Date:				•		
Date.			Utrade Client Code : User ID :			
Risk Profiling	Low Medium	High	DR. Code	:	Branch Code :	
Credit Risk Profile		$\vdash\vdash\vdash$	Processed by	:	Date :	
AML Risk Profile				<u> </u>		
Approved Global Trading Limit	:		Remarks :			
Account Approved By	:					

Date