

5 INVESTMENT EXPERIENCE AND OBJECTIVES				
Securities Trading Experience	☐ None	☐ < 1 year	☐ 1-5 years	☐ > 5 years
Investment Objectives	☐ Investment	☐ Speculation	☐ Mixed	☐ Investment Objectives
Risk Tolerance	☐ Aggressive	☐ 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.			Auto Payment to Trust Account ☐ Yes ☐ No	
⁹Kindly 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)				
Name Of Custodian Bank				
Branch				
Bank Account No				
Custodian Bank's CDS Account No				
(If the above space is not enough, kindly attach the Settlement Instruction in separate sheets)				
7 FINANCIAL BACKGROUND				
Nature of business _____		Regulated Financial Institution: Country of Jurisdiction the Entity: _____		
Shareholders' Funds ¹⁰ RM _____		Reported Profit / (Losses) As Per Latest Audited Financial Statement RM _____		
¹⁰Based on latest Audited Financial Statements		Audited Financial Year as at : _____		
Source of Wealth:	☐ Business/ Capital ☐ Loan ☐ Others: _____			
☐ REFER TO BOARD RESOLUTION FOR AUTHORISED SIGNATORIES AND SPECIMEN SIGNATURE OF AUTHORISED SIGNATORIES.				
8 OTHER PARTICULARS OF APPLICANTS				
a.	Does the Applicant have Domestic Ringgit Borrowing as defined under BNM FEA rules? (For further details, refer https://www.bnm.gov.my/fep)		☐ Yes ☐ No	
b.	Are the Applicant's Directors and/or authorised person related ¹¹ to any staff or Director or Dealer's Representatives of UOB Kay Hian (M) Sdn Bhd ("UOBKH")?		☐ Yes, name and relationship _____ ☐ No	
¹¹related persons means spouse, children, parents, or any accounts where any of the said person(s) has interest and companies in which the staffs, Directors or Dealers' Representative have at least 15% interest				
c.	Have the Applicant and/or authorised person ever opened an account with UOBKH?		☐ Yes _____ ☐ No (please state account number and reason for closing of account)	
d.	Does the Applicant have existing Securities and/or Derivatives Trading Account with UOBKH?		☐ Yes, Account No _____ ☐ No	
e.	Is the Applicant trading for as Beneficial Owner? If the Applicant is not the Beneficial Owner, kindly make declaration as per Rule 5.15(8) of the Rules of Bursa Malaysia Securities Berhad.		☐ Yes ☐ No If No, please select the Applicant is trading as: ☐ Authorised Nominee ☐ Exempt Authorised Nominee	
f.	Details of the Applicant's Directors and/or authorised persons with Trading Accounts maintained with UOBKH		i) Name: ☐ None ii) Relationship: iii) Account No:	
g.	Would the Applicant consent and authorise UOBKH to process any information that has been provided to UOBKH for the purposes of cross selling, marketing and promotions? By choosing yes, you expressly consent and authorize UOBKH to process any information that you have provided to UOBKH for the purposes of cross selling, marketing and promotions including administering offers and competitions, disclosure of information to UOBKH Group, its agent, and/or such persons in accordance with Personal Data Protection Act as UOBKH may deem fit.		☐ Yes ☐ No	
h.	Would the Applicant like to appoint and empower its dealer's representative (inclusive of Associated DRs and Trading Clerk of DRs) to manage administrative functions in relation to its trading account(s)? 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).		☐ Yes ☐ No	
i.	Information Collection Statement concerning Northbound China Connect Orders (Applicable For Institutional Applicant Only)			
a.	The main account and all sub accounts of the institutional applicant are opened for (Funds / Proprietary Trading/ Others) * purpose		b.	The institutional applicant (belongs/ does not belong) * to Trade-through Exchange Participants ("TTEPs"). The TTEP firm ID is: _____
* to delete whichever is not appropriate				

9 DECLARATIONS AND ACKNOWLEDGEMENT

We hereby confirm that we are fully aware that the full terms and conditions of this Application Form is located at website of UOB Kay Hian (M) Sdn. Bhd. ("UOBKH") (URL:www.utrade.com.my), of which a physical copy has been handed to us and we confirm that we have read each and every DECLARATION, the RISK DISCLOSURE STATEMENTS, the TERMS AND CONDITIONS as well as the COVENANTS and UNDERTAKING contained therein, and understand its contents and its implications which have been duly explained to us in detail by the Company. Subject and conditional upon UOBKH approving our Trading Account(s) application, we hereby agree to be bound by them entirely. We are further aware that UOBKH has the sole and absolute discretion to vary, add or remove any of the terms and conditions therein at any time hereafter and it shall be our sole responsibility to keep ourselves aware of all such changes without the need to be notified and we agree to be bound by all such variations, additions or removal of all such terms and conditions accordingly.

Signed By:

Signature of Applicant

Name:

NRIC No:

Date:

Signature of Witness

Name:

NRIC No:

Date:

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

10 TO BE COMPLETED BY DEALER'S REPRESENTATIVES**I) KNOW YOUR CLIENT POLICY**

1. Have you met the Applicant through your personal contact / social networking?

☐ Yes

☐ No

If no, how have you been acquainted with the Applicant?

2. Duration of time you have known the Applicant?

_____ Years

3. Have you had any previous dealings with the Applicant?

☐ Yes

☐ No

4. Does the Applicant have good financial viability and trustworthiness?

☐ Yes

☐ No

5. Is the Applicant actively involved in any political activities or politically linked?

☐ Yes

☐ No

II) ADDITIONAL INFORMATION

1. Estimated value of cash/shares to be deposited Cash: RM_____ Shares : RM_____ Recommended Limit: _____

Remarks : _____

11 DECLARATION BY DEALER'S REPRESENTATIVE

1. Having assessed the Applicant's financial position, experience in trading and investment objectives, I hereby request that the Applicant be allowed to open and operate the trading account with the Company and allow me to act as the Dealer's Representatives for the said applicant in accordance with the terms and conditions stated herein.
2. I hereby confirm that:
- a) I have explained to the Applicant and the Applicant has understood the terms and conditions herein, the contents of the Letter of Authorisation, Structured Warrants Risk Disclosure Statement, Foreign Securities Risk Disclosure Statement and the risks and obligations associated with the trading in securities including foreign securities and the usage of the Company's electronic services (where applicable); and
- b) to the best of my knowledge and belief, all information given by the Applicant is true and correct and he has not withheld any material facts.
3. I shall keep you fully indemnified against any losses, damages, debts, interest/late payment charges and all other costs and expenses incurred and suffered by you in relation to the trading account of this Applicant.

Name:

Code:

Date:

(Signature of Dealer's Representatives)

FOR OFFICE USE ONLY**Credit Assessment**

☐ AML – World Check One*	*Note: Not allowed to open if sanctioned under MOHA	
☐ Credit – Experian		
Checked by :	Processed by :	Verified by :
Date:		

Risk Profiling	Low	Medium	High
Credit Risk Profile	☐	☐	☐
AML Risk Profile	☐		☐

Approved Global Trading Limit :

Account Approved By :

Date :

Client Code :			
Brokerage Type :			
Product Code :			
Account Type :			

Utrade			
Client Code :		User ID :	
DR. Code :		Branch Code :	
Processed by :		Date :	

Remarks :