

8. Is any of the Controlling Person² 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)

- A. The Controlling U.S. Person is "Specified U.S. Person."
- B. The Applicant is a Passive Non-Financial Foreign Entity (Passive NFFE). Passive NFFE is broadly defined as those legal entities 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 Person	Address	U.S. Taxpayer 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 your U.S. Taxpayer Identification Number and return a completed signed Form W-9. A U.S. citizen is considered a tax resident of the United States even if they are a tax resident of another jurisdiction.

9(i). Please tick one of following:

- A. The Applicant is a Passive Non-Financial Entity (Passive NFE). Passive NFE is broadly defined as those legal entities set up to hold assets that produce investment income.
- 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 Entity of: _____)
- C. The Applicant is an Active NFE – a Government Entity or Central Bank
- D. The Applicant is an Active NFE –an International Organisation
- E. The Applicant is an Active NFE – other than (B)-(D)

9(ii). If Applicant has ticked 7(G) or 9(i)(A), then please complete the following:

- (a) Indicate the name of any Controlling Person(s) of the Account Holder:
 - (i) _____ (ii) _____
 - (iii) _____ (iv) _____
- (b) For each Controlling Person, please complete Individual Self-Certification Form.

2 TYPE OF ACCOUNT (please tick accordingly)

- | | | | |
|--|--|--|--|
| <input type="checkbox"/> Normal Trading | <input type="checkbox"/> Collaterised Account | <input type="checkbox"/> Intraday Short Selling (IDSS) | <input type="checkbox"/> Discretionary Finance |
| <input type="checkbox"/> Day Trade | <input type="checkbox"/> Shariah Trading Account | <input type="checkbox"/> Extended Contra Account (ECA) | <input type="checkbox"/> Margin Account |
| <input type="checkbox"/> Cash Upfront | <input type="checkbox"/> Leap Market ³ | <input type="checkbox"/> Custodian | <input type="checkbox"/> External Margin |
| <input type="checkbox"/> L&IETF ³ or ⁴ | <input type="checkbox"/> Others, please specify: _____ | | |

³By choosing Leap Market, we declare that we are the Sophisticated Investors and qualified as the Eligible Investors as prescribed in T&C. If I fall under other category as provided in schedule 6 & 7 of CMSA 2007, we shall separately inform the UOB Kay Hian Securities (M) Sdn. Bhd.(UOBKH).
⁴By choosing this product, I declare that I have fulfilled one of qualifying criteria as prescribed in T&C.

3 MULTIMARKET INTERNET TRADING

- Utrade Facility Yes
- Foreign Live Feed⁵ Singapore (SGX) Hong Kong (HKEx) US (Nasdaq⁶, NYSE⁶ & AMEX)
- Settlement Currency Traded Currency **Note:** If Client do not select Traded Currency Settlement, the default settlement currency is in MYR.

⁵Please take note that there will be charges for Live Price Feed

⁶Client who request for Live Price Feed for NYSE and Nasdaq must execute the Subscriber Agreement

4 DOCUMENTS TO BE SUBMITTED (NON RETURNABLE)

Companies Incorporated Under Companies Act 1965/2016	Organisation / Bodies Established Under An Act
<input type="checkbox"/> Form 9, Form 13, Form 24, Form 44, Form 49 & M&A of Companies Act 1965	<input type="checkbox"/> Copy of Constitution / By Laws of The Society
<input type="checkbox"/> Section 14, 15, 28, 46, 58, 78, Constitution (if applicable) of Companies Act 2016	<input type="checkbox"/> Certificate of Registration
<input type="checkbox"/> Business License <input type="checkbox"/> Photocopy of Directors/ Authorised Personnel NRIC	<input type="checkbox"/> Copy of Resolution of Governing Body (e.g. Committee / Board Resolution)
<input type="checkbox"/> Annual Returns <input type="checkbox"/> Directors Personal Guarantee / Undertaking	<input type="checkbox"/> Photocopy of Principals / Directors / Authorised Signatories NRIC / Passport
<input type="checkbox"/> Board Resolution <input type="checkbox"/> Certified Copy of Latest Audited Financial Statement	<input type="checkbox"/> Certified Copy of Latest Audited Financial Statement
<input type="checkbox"/> Company Income Tax Form <input type="checkbox"/> 3 Months Bank Statement	<input type="checkbox"/> 3 Months Bank Statement

⁷CDS Account No:

⁷If you do not have an existing CDS Account with UOB Kay Hian Securities (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

- 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 No⁸:

All payment payable to you shall be electronically crediting to your above bank account. Auto Payment to Trust Account Yes No

⁸Kindly 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' Funds⁹ **RM** _____ Reported Profit / (Losses) As Per Latest Audited Financial Statement **RM** _____

⁹Based on latest Audited Financial Statements

Source of Income: 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? Yes No

(For further details, refer http://www.bnm.gov.my/files/publication/ar/en/2007/zcp07_001.pdf)

b. Are the Applicant's Directors and/or authorised person related¹⁰ to any staff or Director or Dealer's Representatives of UOB Kay Hian Securities (M) Sdn Bhd ("UOBKH")? Yes, name and relationship _____ No

¹⁰related 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? Yes No
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.
 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? Yes No

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.

h. Would the Applicant like to appoint and empower its dealer's representative or any other person* ("Representative") to manage administrative functions in relation to its trading account(s)? Yes 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).

* If you appoint any person other than your dealer's representative, please provide following details of that person

NAME	NRIC NO.	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>
<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>	<input type="text"/>

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 Securities (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 *Signature of Witness*
 Name: _____ Name: _____
 NRIC No: _____ NRIC No: _____
 Date: _____ 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
- Have you met the Applicant through your personal contact / social networking? Yes No
 If no, how have you been acquainted with the Applicant? _____
 - Duration of time you have known the Applicant? _____ Years
 - Have you had any previous dealings with the Applicant? Yes No
 - Does the Applicant have good financial viability and trustworthiness? Yes No
 - 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

- 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.
- I hereby confirm that :
 - 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
 - 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.
- 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

<input type="checkbox"/> RAM	<input type="checkbox"/> BMSB Defaulter	<input type="checkbox"/> MOHA
<input type="checkbox"/> World Check One	<input type="checkbox"/> UN AML Listing	<input type="checkbox"/> In House AML
Checked by :	Processed by :	Verified by :
Date:		

Risk Profiling	Low	Medium	High
Credit Risk Profile	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
AML Risk Profile	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

Independent Verified with Client by : _____
 Date : _____
 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 : _____

