

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

Website : www.utrade.com.my

APPLICATION FORM FOR INDIVIDUAL APPLICANT

1 APPLICANT PARTICULARS

Name of Applicant (as per NRIC / Passport)

Title Gender Male Female Race Date of Birth (dd.mm.yyyy)

New NRIC - - Old NRIC/Authority Card/Passport

Correspondence Address as per Registered Address in NRIC(Please tick)

Correspondence Address if different from Registered Address

Postcode

Is the Above Residence Owned Relatives Rented Others _____

Telephone No. (Home) Country of Phone Malaysia US Others _____

Mobile No. Country of Phone Malaysia US Others _____

E-mail Address

(Compulsory for New Applicant)

Marital Status Single Married Widowed No. Of dependent(s) _____

If married, please complete following details of spouse:

Spouse Name

New NRIC - - Old NRIC/Authority Card/Passport

Important Information as Required Under FATCA/ CRS

Country of Birth Malaysia US Others (please specify _____)

Nationality Malaysian US Others (please specify _____)

Are you a Malaysian Resident (For Exchange Control¹) Yes No

¹For declaration as Malaysia resident I solemnly declare that I shall consent to abide with and be bound by the provision of the Exchange Control Act 1953 and Bank Negara Foreign Exchange Administrative Policy and any amendments from time to time with regards to any transaction or payments to or from my relevant trading account(s). Refer to T&C for further details

Are you a foreign tax resident* or with multiple tax residency status? Yes No

*Foreign tax resident is any person that is not Malaysia tax resident.

If Yes, please specify: Country: _____ Tax Identification No: _____

Please attach a separate CRS Individual Tax Residency Self-Certification form if there is insufficient space for individual with multiple tax residency status.

If you are a US Tax Resident and/or US Citizen, please provide us a completed Form W-9.

If no TIN available, please tick following:

- Reason A - The country/jurisdiction where the Account Holder is resident does not issue TINs to its residents.
- Reason B – No TIN is required. (Note: Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction)
- Reason C – The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN if you have selected this reason: No tax obligation, therefore country does not issue TIN; Retiree, therefore country does not issue TIN; Recently became tax resident/citizen, therefore no TIN is issued yet; Exempted from tax, therefore country does not issue TIN; OR Others: please specify: _____)

Do you have any standing instruction for funds transfer to a US Account or account maintained in reportable jurisdiction?

(For reportable jurisdiction, Refer to IRB Link: http://www.hasil.gov.my/bt_goindex.php?bt_kump=6&bt_skum=2&bt_posi=1&bt_unit=2&bt_sequ=1)

Yes No

Do you have any Power of Attorney or Signatory granted to a person in the US or reportable jurisdiction?

Yes No

2 TYPE OF ACCOUNT(please tick accordingly)

- | | | | |
|---|--|---|--|
| <input type="checkbox"/> Normal Trading | <input type="checkbox"/> Collateralised Account | <input type="checkbox"/> Intraday Short Selling (IDSS) ² | <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 ⁴ | <input type="checkbox"/> Custodian | <input type="checkbox"/> External Margin |
| <input type="checkbox"/> L&I ETF ³ or ⁴ | <input type="checkbox"/> Others, please specify: _____ | | |

² Client needs to sign Securities Borrowing and Lending Agreement ³By choosing this product, I declare that I am 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, we 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)

A photocopy of NRIC or Passport Form B / EA Form / Payslip / Bank Statement Guarantee Agreement
 Form W-8 Ben Form W-9 Margin Agreement
 Certified copy(s) of your bank statement / front page of your pass book / details of your bank account obtained from your bank's website / copy of the letter from your bank confirming your bank account Other: _____
⁷CDS Account No:

⁷If you do not have an existing CDS Account with UOBKH, please fill in Form FMN010 (Application for opening of CDS Account) and submit together with this form.

5 SETTLEMENT BANK ACCOUNT PARTICULARS

Bank Name: Account No⁸: Joint Account Yes No
 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 my name and this bank must be located in Malaysia offering MEPS IBG services as all payment payable to you shall be electronically crediting to your above Account No.

6 INVESTMENT EXPERIENCE AND OBJECTIVES

Securities Trading Experience None < 1 year 1-5 years > 5 years
 Investment Objectives Investment Speculation Mixed
 Risk Tolerance Aggressive Moderate Conservative

7 FINANCIAL BACKGROUND

EMPLOYMENT PARTICULARS (For Client without any fixed income, please provide your income provider's details or your source of income)

Employment Employed Self-employed Housewife Retiree Student Others

Name of Income Provider

New NRIC - - Old NRIC / Passport

Name of Business/Employer of Client or Income Provider

Office Address of Client or Income Provider

Postcode

Relationship with Income Provider Family Members Others, please specify _____

Telephone No. (Office) Fax No

Nature of Business

Designation Year(s) Employment /

Annual Income Range of Applicant/Income Provider (Combination of all Source of Income)
 Below ~ RM25,000 RM25,001 ~ RM50,000 RM50,001 ~ RM100,000 RM100,001 ~ RM200,000
 RM200,001 ~ RM300,000 RM300,001 ~ RM400,000 RM400,001 ~ RM500,000 Above ~ RM500,000

Source of Wealth: Employment Business Investment Inheritance Others _____

Do you have commitments with any financial institutions? Yes No

If yes, please state type Overdraft Property Loan Hire Purchase Share Margin Financing Others

Total commitments (RM)

8 OTHER PARTICULARS OF APPLICANTS

a. Do you have Domestic Ringgit Borrowing as defined under BNM FEA rules? Yes No
(For further details, refer <https://www.bnm.gov.my/fep>)

b. Are you related⁹ to any staff or Director or Dealer’s Representatives of UOB Kay Hian Securities (M) Sdn Bhd (“UOBKH”)? Yes, name and relationship _____
 No
⁹related 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 you ever opened an account with UOBKH? Yes _____
(please state account number and reason for closing of account)
 No

d. Do you have existing Securities and/or Derivatives Trading Account with UOBKH? Yes, Account No _____
 No

e. Are you a guarantor for any Trading Account held in UOBKH? Yes, Account No _____
 No

f. Details of related persons with Trading Accounts maintained with UOBKH
i) Name: None
ii) Relationship:
iii) Account No:

g. Would you consent and authorise UOBKH to process any information that you have 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 you like to appoint and empower your dealer’s representative (inclusive of Associated DRs and Trading Clerk of DRs) to manage administrative functions in relation to your 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).*

9 DECLARATIONS AND ACKNOWLEDGEMENT

I hereby confirm that I am 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 me and I confirm that I 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 me in detail by the Company. Subject and conditional upon UOBKH approving my Trading Account(s) application, I hereby agree to be bound by them entirely. I am 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 my sole responsibility to keep myself aware of all such changes without the need to be notified and I 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:

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. Have you sighted the original NRIC / Passport with the photocopied documents of the Applicant (Individual only)? Yes No
6. 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.



(Signature of Dealer's Representatives)

Name: Code: Date:

FOR OFFICE USE ONLY

Credit and AML Assessment

<input type="checkbox"/> AML-Experian (COB)	<input type="checkbox"/> AML-World Check One*	
<input type="checkbox"/> Credit - Experian	*Note: Not allowed to open if sanctioned under MOHA	

Checked By :	Date :
Processed By :	Date :
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"/>

Approved Global Trading Limit :	
Account Approved By :	
Date :	

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

UTRADE Online Trading Facility			
Client Code :			
Utrade ID :			
DR Code :		Branch Code :	
Processed By :		Date :	

Remarks : _____

