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

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 - 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 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 US Others (please specify)								
Nationality Malaysian US Others (please specify)								
Are you a Malaysian Resident (For Exchange Control¹) Yes No Yes No Yes Are you a Malaysian Resident (For Exchange Control¹) Yes No 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: \(\simeg \) No tax obligation, therefore country does not issue TIN; \(\simeg \) 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 TYPE OF ACCOUNT(please tick \(\sqrt{2}\) accordingly)								
Normal Trading Collaterised Account Intraday Short Selling (IDSS) ² Discretionary Finance								
Day Trade Shariah Trading Account Extended Contra Account (ECA) Margin Account								
Cash Upfront Leap Market ³ Custodian External Margin								
L&I ETF ^{3 or 4} Others, please specify:								
² Client needs to sign Securities Borrowing And Lending Agreement. ³ By 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, I shall separately inform the UOB Kay Hian Securities (M) Sdn. Bhd.(UOBKH). By 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 Feed ⁵ Singapore (SGX) Hong Kong (HKEX) US (Nasdaq ⁶ , NYSE ⁶ & AMEX) Settlement Currency Traded Currency Note: If Client do not select Traded Currency Settlement, the default settlement currency is in MYR ⁵ Please take note that there will be charges for Live Price Feed ⁶ Client 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										
Form W-8 Ben										
from your bank's website / copy of the letter from your bank confirming your bank account										
⁷ CDS Account No:										
⁷ If 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										
5 SETTLEMENT BANK ACCOUNT PARTICULARS										
Bank Name: Account No ⁸ : Joint Account Yes No										
All payment payable to you shall be electronically crediting to your above bank Auto Payment to Trust Account Yes No										
account. **Kindly 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)										
Employed Self-employed Housewife Retiree Student Others										
Name of Income Provider										
New NRIC - - Old NRIC / Passport - </td										
Name of Business/Employer of Client or Income Provider										
Office Address of Client or Income Provider										
Postcode										
Relationship with Income Provider Parents Siblings Family Members Others, please specify										
Telephone No. (Office)										
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 RM400,000 Above ~ RM500,000										
Source of Income: 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 I (For further details, refer https://www.bnm.gov.my/fep)	FEA rules?	Yes No						
b. Are you related to any staff or Director or Dealer's Representative Securities (M) Sdn Bhd ("UOBKH")?	ves of UOB Kay Hian	Yes, name and relationship						
⁹ related 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	nt with UOBKH?	Yes, Account NoNo						
e. Are you a guarantor for any Trading Account held in UOBKH?	Yes, Account NoNo							
f. Details of related persons with Trading Accounts maintained with U	JOBKH	i) Name: None ii) Relationship: iii) Account No:						
g. Would you consent and authorise UOBKH to process any infor provided to UOBKH for the purposes of cross selling, marketing and		e Yes No						
		have provided to UOBKH for the purposes of cross selling, marketing and promotions t, and/or such persons in accordance with Personal Data Protection Act as UOBKH may						
h. Would you like to appoint and empower your dealer's representation in relation to your trading account(s)?	esentative to manage	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:								
	<u> </u>	<u> </u>						
Signature of Applicant		Signature of Witness						
Name:	Name:							
NRIC No:	NRIC I							
Date:	Date:							

10	TO BE COMPLETED	BY DEALER'S REPRES	ENTATIVES								
I)	KNOW YOUR CLIEN	T POLICY									
1.	Have you met the Ap	plicant through your persona	al contact / social networkin	g?	Yes	No					
	If no, how have you b	een acquainted with the App									
2.	Duration of time you	have known the Applicant?			Years	3					
3.	Have you had any pre	revious dealings with the Applicant?			Yes	No					
4.	Does the Applicant ha	have good financial viability and trustworthiness?			Yes	No					
5.	Have you sighted the	e original NRIC / Passport	with the photocopied doc	cuments of the Applicant	Yes	No					
	(Individual only)?										
6.	Is the Applicant active	ely involved in any political	activities or politically link	ed?	Yes	No No					
II)	ADDITIONAL INFOR	MATION									
1.	Estimated value of ca	sh/shares to be deposited	Cash: RM	Shares: RM	Reco	mmended Limit:					
R	Remarks:										
11	DECLARATION BY	DEALER'S REPRESENT.	ATIVE								
1.	Having assessed the Ar	oplicant's financial position,	avnariance in trading and	investment objectives. The	arahy raquast that	the Applicant be	allowed to open and				
1.	operate the trading acc	ount with the Company an									
2	conditions stated herein.										
2. a)											
ĺ	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)		e usage of the Company's eledge and belief, all information			as not withheld an	v material facts					
3.	I shall keep you fully in	demnified against any losse					and suffered by you				
	in relation to the trading	account of this Applicant.									
	$m{\mathscr{L}}$										
	(Signature of Dealer's Representatives)										
	Name: Code: Date:										
FO	R OFFICE USE ONLY										
	edit and AML Assessme	l									
F	RAM	BMSB Defaulter	МОНА	Client Code :							
World Check One UN AML Listing In House AML				Brokerage Type:							
C	hecked By :	Date :		Product Code :							
Pr	rocessed By :	Date :									
		Bute .		Account Type :							
V	erified By :	Date :		Branch Code :							
				LITDADE Online Tu	ading Fasility		1				
R	isk Profiling	Low Med	ium High	Client Code :	ading Facility						
Cı	redit Risk Profile			Utrade ID :							
A	ML Risk Profile			DR Code :		Branch Code	:				
				Processed By :		Date	:				
A	pproved Global Trading I	Limit :		Remarks :							
A	acount Annessed Dec										
A	ccount Approved By	;									
D	ate	:									
11											