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

1 APPLICANT PARTICULARS



APPLICATION FORM FOR INDIVIDUAL APPLICANT

Name of Applicant (as per NRIC / Passport)									
Title Gender Male Female Race Date of Birth (dd.mm.yyyy)									
Title Gender Male Female Race Date of Birth (dd.mm.yyyy)									
Correspondence Address as per Registered Address in NRIC(Please tick ☑)									
Correspondence Address if different from Registered Address									
The spondance radices in different from Registered radices									
Postcode 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 Old NRIC/Authority Card/Passport									
Important Information as Required Under FATCA/ CRS									
Country of Birth US Others (please specify)									
Nationality									
Are you a Malaysian Resident (For Exchange Control ¹) Yes No									
¹ For 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. Toy Martification No.									
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) Collectorized Account ☐ Introdox Short Salling (IDSS) ² ☐ Discretionary Finance									
Normal Trading Collaterised Account Intraday Short Selling (IDSS) Discretionary Finance Day Trade Shariah Trading Account Extended Contra Account (ECA) Margin Account									
Cash Upfront Leap Market ⁴ 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, we shall separately inform the UOB Kay Hian Securities (M) Sdn. Bhd.(UOBKH). By 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 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 Splease take note that there will be charges for Live Price Feed Gelient 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 Form W-9 Margin Agreement Certified copy(s) of your bank statement / front page of your pass book / details of your bank account obtained Other:											
from your bank's website / copy of the letter from your bank confirming your bank account											
⁷ CDS Account No:											
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											
Bank Name: Account No ⁸ : 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											
*SKindly 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 Parents Siblings Family Members Others, please specify											
Relationship with Income Provider Parents Siblings Family Members Others, please specify											
Relationship with Income Provider Parents Siblings Family Members Others, please specify Telephone No. (Office) Fax No											
Telephone No. (Office) Fax No											
Telephone No. (Office) Nature of Business Designation Fax No Year(s) Employment /											
Telephone No. (Office) Nature of Business Fax No											
Telephone No. (Office) Nature of Business Designation Annual Income Range of Applicant/Income Provider (Combination of all Source of Income)											
Telephone No. (Office) Nature of Business Designation 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											
Telephone No. (Office)											
Telephone No. (Office) Fax No Nature of Business											

a. Do you have Domestic Ringgit Borrowing as defined under BNM FEA rules? (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")? 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? d. Do you have existing Securities and/or Derivatives Trading Account with UOBKH? e. Are you a guarantor for any Trading Account held in UOBKH? f. Details of related persons with Trading Accounts maintained with UOBKH i) Name: Name: None None	8 OTHER PARTICULARS OF APPLICANTS				
Securities (M) Sdn Bhd ("UOBKH")? **Prelated 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? **C.* Have you ever opened an account with UOBKH? **Index opening of account number and reason for closing of account) **Index opening of account number and reason for closing of account) **Index opening of account number and reason for closing of account) **Index opening of account number and reason for closing of account) **Index opening opening of account) **Index opening ope		Yes No			
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 The proof of the pro					
(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 To No No In		terest and companies in which the staffs, Directors or Dealers' Representative have at			
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	c. Have you ever opened an account with UOBKH?				
f. Details of related persons with Trading Accounts maintained with UOBKH i) Name: None	d. Do you have existing Securities and/or Derivatives Trading Account with UOBKH?				
	e. Are you a guarantor for any Trading Account held in UOBKH?				
ii) Relationship: iii) Account No:	f. Details of related persons with Trading Accounts maintained with UOBKH	ii) Relationship:			
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)?					
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:	Signed By:				
E CLASSICAL CAST					
Signature of Applicant Signature of Witness Name: Name:	· 11	Signature of witness			
NRIC No: NRIC No:		No:			
Date: Date:					

10	TO BE COMPLETED	BY DEALER'S	REPRESENTAT	TIVES					
I)	KNOW YOUR CLIEN	T POLICY							
1.					ng?	Yes	No		
If no, how have you been acquainted with the Applicant?									
2.	Duration of time you l	have known the Ap	oplicant?			Year	S		
3.	Have you had any pre			Yes	No				
4.	Does the Applicant ha	we good financial	viability and trust	worthiness?		Yes	No		
5.	Have you sighted the (Individual only)?	ne photocopied do	cuments of the Applicant	Yes	No No				
6.	Is the Applicant active	ely involved in any	political activitie	es or politically link	red?	Yes	No		
II)	ADDITIONAL INFOR	MATION							
1.	Estimated value of cas	sh/shares to be dep	osited Cash:	RM	Shares: RM	Reco	ommended Limit:		
Re	emarks :								
	-								
11	DECLARATION BY I	DEALER'S REPI	RESENTATIVE						
1.	Having assessed the An	nlicant's financial	nosition, experie	nce in trading and	investment objectives, I he	ereby request tha	t the Applicant be	allowed to open and	
1.	operate the trading accou				r's Representatives for the s				
2.	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.								
3.	I shall keep you fully inc relation to the trading ac			es, debts, interest/l	ate payment charges and all	other costs and e	expenses incurred a	nd suffered by you in	
	C	11							
					ø.				
	(Signature of Dealer's Representatives)								
	Name:	Kepresemunves)	Code:	Date:					
FO	R OFFICE USE ONLY								
Cre	edit and AML Assessmen								
L	AML–Experian (COB)				Client Code :				
	Credit - Experian	*Note: Not allowed sanctioned under M			Brokerage Type:				
Cl	hecked By :	D	ate :		Product Code :				
Pr	rocessed By :	D	ate :		Account Type :				
V	erified By :	D	ate :		Branch Code :				
Risk Profiling Low Medium High			UTRADE Online Trading Facility						
Cı	redit Risk Profile				Client Code :				
					Utrade ID :				
A	ML Risk Profile				DR Code :		Branch Code	:	
					Processed By :		Date	:	
Approved Global Trading Limit :					Remarks :				
A	ccount Approved By	:							
D:	ate	:							
"	uic	•							