



**3 MULTIMARKET INTERNET TRADING**

Utrade Facility  Yes

Foreign Live Feed<sup>5</sup>  Singapore (SGX)  Hong Kong (HKEx)  US (Nasdaq<sup>6</sup>, NYSE<sup>6</sup> & AMEX)

Settlement Currency  Traded Currency **Note:** If Client do not select Traded Currency Settlement, the default settlement currency is in MYR

<sup>5</sup>Please take note that there will be charges for Live Price Feed

<sup>6</sup>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

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: \_\_\_\_\_

<sup>7</sup>CDS Account No:

<sup>7</sup>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<sup>8</sup>:  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

<sup>8</sup>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)

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  Friends  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 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 FEA rules?  Yes  No  
 (For further details, refer [http://www.bnm.gov.my/files/publication/ar/en/2007/zcp07\\_001.pdf](http://www.bnm.gov.my/files/publication/ar/en/2007/zcp07_001.pdf))

b. Are you related<sup>9</sup> to any staff or Director or Dealer's Representatives of UOB Kay Hian Securities (M) Sdn Bhd ("UOBKH")?  Yes, name and relationship \_\_\_\_\_  
 No  
<sup>9</sup>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 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 or any other person\*("Representative") 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).

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

<b>NAME</b>	<b>NRIC NO.</b>
_____	<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"/> <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"/>

**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:

<p>_____ </p> <p><i>Signature of Applicant</i></p> <p>Name:</p> <p>NRIC No:</p> <p>Date:</p>	<p>_____ </p> <p><i>Signature of Witness</i></p> <p>Name:</p> <p>NRIC No:</p> <p>Date:</p>
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**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"/> 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 : \_\_\_\_\_ Date : \_\_\_\_\_

Processed By : \_\_\_\_\_ Date : \_\_\_\_\_

Verified By : \_\_\_\_\_ Date : \_\_\_\_\_

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

**UTRADE Online Trading Facility**

Client Code : \_\_\_\_\_  
Utrade ID : \_\_\_\_\_  
DR Code : \_\_\_\_\_ Branch Code : \_\_\_\_\_  
Processed By : \_\_\_\_\_ Date : \_\_\_\_\_

Remarks : \_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_