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

rnad

UOBKayHian

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:									
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 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 Yes No Yes No Are you a Malaysian Resident (For Exchange Control ¹) Yes No The 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? Yes No									
If Yes, please specify: Country: Tax Identification No:									
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; Recently became tax resident/citizen, therefore no TIN is issued yet; Exempted from tax, therefore country does not issue TIN; OR Others: please specify: 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)									
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 ² Custodian External Margin									
L&IETF ^{2 or 3} Others, please specify:									
² 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) ³ 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 ⁴ Singapore (SGX) Hong Kong (HKEx) US (Nasdaq ⁵ , NYSE ⁵ & AMEX)											
Settlement Currency Traded Currency Note: If Client do not select Traded Currency Settlement, the default settlement currency is in MYR											
⁴ Please take note that there will be charges for Live Price Feed											
⁵ 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 Other:											
from your bank's website / copy of the letter from your bank confirming your bank account GCDS Account No:											
CDS Account No.											
⁶ 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 ⁷ : Joint Account Yes No											
All payment payable to you shall be electronically crediting to your above bank											
Auto Payment to Trust Account Auto Payment to Trust Account Yes No 7Kindly 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											
kinaly take note that the bank account must be in my name and this bank must be located in Malaysia offering MEPS 1BG 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											
Name of Business/Employer of Client or Income Provider											
Office Address of Client on Income Provider											
Office Address of Client or Income Provider											
Office Address of Chefit of Income Provider											
Office Address of Chefit of Income Provider											
Postcode											
Telephone No. (Office) Fax No											
Telephone No. (Office) Nature of Business											
Telephone No. (Office) Nature of Business Designation Year(s) Employment /											
Nature of Business											
Nature of Business											
Nature of Business											
Telephone No. (Office)											

8 OTHER PARTICULARS OF APPLICANTS									
a. Do you have Domestic Ringgit Borrowing as defined under BNM FEA rules? (For further details, refer http://www.bnm.gov.my/files/publication/ar/en/2007/zcp07_001.pdf)	Yes No								
b. Are you related ⁸ to any staff or Director or Dealer's Representatives of UOB K Securities (M) Sdn Bhd ("UOBKH")?	ay Hian Yes, name and relationship								
⁸ related persons means spouse, children, parents, or any accounts where any of the said persoleast 15% interest	m(s) has interest and companies in which the staffs, Directors or Dealers' Representative have at								
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 UOB	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 UOBKH	i) Name: None ii) Relationship: iii) Account No:								
g. Would you consent and authorise UOBKH to process any information that y provided to UOBKH for the purposes of cross selling, marketing and promotions?	ou have 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)?									
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.								
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	C: CHI								
Nome:	Signature of Witness								
Name:	Name:								
NRIC No:	v v								
	Name:								

10	TO BE COMPLETED	BY DEALER'S REPRES	SENTAT	TVES							
I)	KNOW YOUR CLIEN	T POLICY									
1.	Have you met the App	plicant through your person	al contac	t / social network	ing?	Yes	No				
	If no, how have you be	een acquainted with the Ap	plicant?								
2.	Duration of time you l	have known the Applicant?				Year	s				
3.	Have you had any pre	vious dealings with the App	plicant?			Yes	No				
4.	Does the Applicant ha	we good financial viability	and trust	worthiness?		Yes	No				
5.	Have you sighted the (Individual only)?	e original NRIC / Passpor	t with th	e photocopied d	ocuments of the Applicant	Yes	No No				
6.	Is the Applicant active	tively involved in any political activities or politically linked?									
II)	ADDITIONAL INFORMATION										
1.	1. Estimated value of cash/shares to be deposited Cash: RM Shares: RM Recommended Limit:										
Remarks:											
11	DECLARATION BY I	DEALER'S REPRESENT	ATIVE								
1.	Having assessed the Ap	plicant's financial position	, experie	nce in trading an	d investment objectives, I he	ereby request tha	t the Applicant be	allowed to open and			
	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)	Warrants Risk Disclosur	re Statement, Foreign Secur	rities Ris	k Disclosure Stat	erms and conditions herein, ement and the risks and oblig						
b)		e usage of the Company's e			applicable);and t is true and correct and he ha	as not withhold or	y material feets				
b) 3.					t/late payment charges and a			and suffered by you			
	in relation to the trading	account of this Applicant.					•				
					S						
	(Signature of Dealer's	Representatives)									
	Name: Code: Date:										
FO	R OFFICE USE ONLY										
Cre	edit Assessment										
	RAM	BMSB Defaulter	Пм	ОНА	Client Code :						
Ė	World Check One	UN AML Listing		House AML	Brokerage Type:						
С	hecked By :	Date	:		- · · · · · · · · · · · · · · · · ·						
	·				Product Code :						
Pı	rocessed By :	Date	:		Account Type :						
V	erified By :	Date	:		Branch Code :						
R	isk Profiling	Low Med	lium	High	UTRADE Online Tr	ading Facility					
C	redit Risk Profile				Client Code :	uung ruuni					
Δ	ML Risk Profile				Utrade ID :						
	WIL RISK FIORIC				DR Code :		Branch Code	:			
In	dependent Verified with	Client by :			Processed By :		Date	:			
D	ate	:			Remarks:						
Approved Global Trading Limit :											
Account Approved By :											
ח	ate	:									
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