## **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 INSTITUTION / CORPORATION / ASSOCIATION APPLICANT							
1 APPLICANT PARTICULARS							
Name of Institution / Corporation / Organisation / Association (As per Registration documents)	_						
	_						
Date of Incorporation (dd/mm/yyyy)   Registration No.	]						
Registered Address as per Form 44/ Section 46/ Other Equivalent Constituent Documents ( <i>Please tick</i> $\square$ )							
Correspondence Address/ Business Address if different from Registered Address:	٦						
	_						
Postcode							
Telephone No.							
Fax No.   Country of Phone No.   Malaysia   US   Others	_						
E-mail Address							
(Compulsory for new applicant) Company Website							
Important Information as Required Under FATCA/ CRS							
1. Country of Malaysia US Others (please specify)							
Incorporation     Malaysia     US     Others (please specify)       2. Ownership     Malaysian     US     Others (please specify)							
3. Is the Applicant a Malaysia Resident (For Exchange Control <sup>1</sup> ) Yes No							
<sup>1</sup> For declaration as Malaysia resident, we solemnly declare that we shall consent to abide with and be bound by the provision of the Exchange Control Act 1953 and Bank Negara Forew 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 detail							
4. Is the Applicant a foreign tax resident?							
If Yes, please specify: Country: Tax Identification No:							
If the Applicant is 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, therefore no TIN is issued yet;							
$\Box$ Exempted from tax, therefore country does not issue TIN; OR $\Box$ Others:)							
5. Is the Applicant a "U.S. Person"?(Refer to Utrade Home Page for Terms and Conditions, Part 8 for the definition of US Person)							
Yes No							
If yes, is the U.S. Person a "Specified U.S. Person"? ( <i>Refer to Utrade Home Page for Terms and Conditions, Part 8 for the definition of US Person</i> ) Yes (Please complete and return signed Form W-9 for this Company and please provide this Company's U.S. Taxpayer Identification Number (TIN).							
6. Is the Applicant a Non-U.S. Financial Institution? ( <i>Refer to Utrade Home Page for Terms &amp; Conditions, Part 8 for the definition of Non-US FI</i> )							
Yes No (Refer to question no.9)							
<ul> <li>7. If Yes (please complete the following check box) otherwise please proceed to question of no. 8 and 9)</li> <li>A. The Applicant is a Non-participating Foreign Financial Institution</li> </ul>							
B. The Applicant is a "Participating Foreign Financial Institution". Please provide the Company's Global Intermediary Identification Number (GIIN).							
C. The Applicant is a Malaysian-based Financial Institution. Please provide the Company's Global Intermediary Identification Number (GIIN). Do not tick this Box if you also tick Box A above for this Company.							
D. The Applicant is other Partner Jurisdiction Financial Institution. Please provide the Company's Global Intermediary Identification Number (GIIN). Do not tick this Box if you also tick Box A above for this Company.							
E. The Applicant is a Registered Deemed-compliant Foreign Financial Institution. Please provide the Company's Global Intermediary Identification Number (GIIN).							
F. The Applicant is a Certified Deemed-compliant Foreign Financial Institution. Please provide the Company's Global Intermediary Identification Number (GIIN).							
G. The Applicant is an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution. Please provide the Company's Global Intermediary Identification Number (GIIN). (Refer to question no .9(ii))							
H. The Applicant is another Investment Entity. Please provide the Company's Global Intermediary Identification Number (GIIN).							
I.       The Applicant is a Financial Institution – Depository Institution, Custodial Institution or Specified Insurance Company.         J.       The Applicant is an Exempt Beneficial Owner.							
Global Intermediary Identification Number ("GIIN")							

**UOBKayHian** 

8. Is any of the Controlling Person <sup>2</sup> of the Applicant a U					
<sup>2</sup> Controlling Person is defined as natural person who has at		No (Refer to question no.9(i))			
company. If Yes (please complete the following)					
. The Controlling U.S. Person is "Specified U.S. Person."					
B. In contrast, a					
C. The Applicant is an Active NFFE. (Refer to Pa	art 15 for the definition of Active NFFE)				
If both $\overline{A}$ and $\overline{B}$ are ticked, please provide the following		ve NFFE who are also Specified U.S. Persons:			
(Please attach a separate list if there is insufficient space		U.S. Taxpayer Identification Number			
Name of Controlling Person         Address         U.S. Taxpayer Identification					
		ng Person are a tax resident of the United States, please provide lent of the United States even if they are a tax resident of another			
9 (i). Please tick one of following:					
A. The Applicant is a Passive Non-Financia produce investment income.	l Entity (Passive NFE). Passive NFE is broadly define	d as those legal entitles set up to hold assets that			
B. The Applicant is an Active NFE – a corp related entity of such a corporation.	oration the stock of which is regularly traded on an es	tablished securities market or a corporation which is a			
	securities market on which the corporation is regular,	y traded:) rly traded corporation that the Entity in (B) is a Related			
Entity of:)		ny nated corporation that the Entity in (B) is a Retated			
C. The Applicant is an Active NFE – a Gov D. The Applicant is an Active NFE –an Inte	•				
E. The Applicant is an Active NFE – an inter	6				
9(ii). If Applicant has ticked 7(G) or 9(i)(A), then please					
(a) Indicate the name of any Controlling Person(s) of					
(i)	(ii)				
	(iv)				
(b) For each Controlling Person, please complete In					
2 TYPE OF ACCOUNT (please tick 🗹 accordingly	)				
Shariah Account					
Conventional Account					
3 DOCUMENTS TO BE SUBMITTED (NON RET	"URNABLE)				
	,	Established Under An Act			
3 DOCUMENTS TO BE SUBMITTED (NON RET Companies Incorporated Under Companies Act 1965/2016 Form 9, Form 13, Form 24, Form 44, Form 49 & M&A	A of Companies Act 1965 Organisation / Bodies	Established Under An Act ution / By Laws of The Society			
3 DOCUMENTS TO BE SUBMITTED (NON RET Companies Incorporated Under Companies Act 1965/2016	A of Companies Act 1965 Organisation / Bodies	tution / By Laws of The Society			
3         DOCUMENTS TO BE SUBMITTED (NON RET           Companies Incorporated Under Companies Act 1965/2016           Form 9, Form 13, Form 24, Form 44, Form 49 & M&A           Section 14, 15, 28, 46, 58, 78, Constitution (if applicab)	A of Companies Act 1965 Organisation / Bodies Dele) of Companies Act 2016 Copy of Consti	tution / By Laws of The Society			
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or VES <pre></td><td>nution / By Laws of The Society   egistration   tion of Governing Body (e.g. Committee / Board Resolution)   rincipals / Directors / Authorised Signatories NRIC / Passport   of Latest Audited Financial Statement   Statement     1-5 years   Hedging   Arbitraging   Conservative      PS IBG services as all payment payable to the Applicant</td></tr><tr><td>3       DOCUMENTS TO BE SUBMITTED (NON RET         Companies Incorporated Under Companies Act 1965/2016         Form 9, Form 13, Form 24, Form 44, Form 49 & M&A         Section 14, 15, 28, 46, 58, 78, Constitution (if applicab         Business License*         Photocopy of Director         Annual Returns         Directors Personal G         Board Resolution         Company Income Tax         3       Months Bank State         Form         *Applicable to (i) accredited investors as defined in Schedule 6 and Schedul         (ii) authorised nominee as defined in Bursa Depository Rule         4       INVESTMENT EXPERIENCE AND OBJECTIV         Future Trading Experience       None         Investment Objectives       Investment         Risk Tolerance       Aggressive         5       SETTLEMENT BANK ACCOUNT PARTICULA         Bank Name:       All payment payable to you shall be electronically creditin         <sup>6</sup>Kindly take note that the bank account must be in the Applicant shall be electronically crediting to Applicant above Account No.         6       FINANCIAL BACKGROUND         Nature of business       Regu</td><td>A of Companies Act 1965 A of Companies Act 2016 ors/ Authorised Personnel NRIC Guarantee / Undertaking ttest Audited Financial Statement ement ule 7 of CMSA; 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7	OTHER PARTICULARS OF APPLICANTS	
a.	Does the Applicant have Domestic Ringgit Borrowing as defined under BNM FEA rules?	Yes No
b.	(For further details, refer https://www.bnm.gov.my/fep for DRM definition under BNMFEA rules) Are the Applicant's Directors and/or authorised person related <sup>9</sup> to any staff or Director or Deal Representatives of UOB Kay Hian Securities (M) Sdn Bhd ("UOBKH")?	
	<sup>9</sup> related persons means spouse, children, parents, or any accounts where any of the said person(s) has interest have at least 15% interest	No est and companies in which the staffs, Directors or Dealers' Representative
c.	Have the Applicant and/or authorised person ever opened an account with UOBKH?	Yes No (please state account number and reason for closing of
d.	Does the Applicant have existing Securities and/or Derivatives Trading Account with UOBKH	account) ? Yes, Account No No
e.	Details of the Applicant's Directors and/or authorised persons with Trading Accounts mainta with UOBKH	ained i) Name: None ii) Relationship: iii) Account No:
f.	Would the Applicant consent and authorise UOBKH to process any information that has provided to UOBKH for the purposes of cross selling, marketing and promotions? <i>By choosing yes, you expressly consent and authorize UOBKH to process any information that you have princluding administering offers and competitions, disclosure of information to UOBKH Group, its agent, and may deem fit.</i>	ovided to UOBKH for the purposes of cross selling, marketing and promotion
g.	Would you like to appoint and empower your Future dealer's representative (inclusive of Associat FBRs) to manage administrative functions in relation to your trading account(s)?	ted Yes No
	Please be aware of the action of choosing a representative would give rise to risks and legal consequences of you have not been informed of or do not fully understand the consequences. You are advised to obtain competent have before naming your representative(s).	
8	DECLARATIONS AND ACKNOWLEDGEMENT	
("UC DISC whic be bo time varia	hereby confirm that we are fully aware that the full terms and conditions of this Application Forr DBKH") (URL:www.utrade.com.my), of which a physical copy has been handed to us and we corr CLOSURE STATEMENTS, the TERMS AND CONDITIONS as well as the UNDERTAKING h have been duly explained to us in detail by the Company. Subject and conditional upon UOBKH bound by them entirely. We are further aware that UOBKH has the sole and absolute discretion to hereafter and it shall be our sole responsibility to keep ourselves aware of all such changes wit tions, additions or removal of all such terms and conditions accordingly. ed By:	firm that we have read each and every DECLARATION, the RISK contained therein, and understand its contents and its implications I approving our Trading Account(s) application, we hereby agree to vary, add or remove any of the terms and conditions therein at any
	×	Ŕ
	Signature of Applicant	Signature of Witness
Na	me: Name:	
NR	IC No: NRIC No:	
Da		
	the Applicant is a corporation, please sign as per Board Resolution and affix the company rubber stamp or con	nmon seal.
	TO BE COMPLETED BY FUTURES BROKER'S REPRESENTATIVES	
I) 1.	KNOW YOUR CLIENT POLICY	
1.	Have you met the Applicant through your personal contact / social networking?	Yes No
2	If no, how have you been acquainted with the Applicant?	Vages
2. 3.	Duration of time you have known the Applicant? Have you had any previous dealings with the Applicant?	Years
		Yes No
4.	Does the Applicant have good financial viability and trustworthiness?	Yes No
5.	Is the Applicant actively involved in any political activities or politically linked?	Yes No
Rei	marks :	

## 10 DECLARATION BY FUTURES BROKER'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 Future Broker's Representatives for the said applicant in accordance with the terms and
	conditions stated herein.

2.	I hereby	confirm	that	
	1	••••••		1

a) I have explained to the Applicant and the Applicant has understood the terms and conditions herein, the contents of the Authorisation and Undertaking for Multicurrency Settlement, Risk Disclosure Statement, and the risks and obligations associated with the trading in derivative including foreign derivative trading 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.

Ø

Name: Code: Date:

(Signature of Future Broker's Representatives)

FOR OFFICE USE O	NLY							
AML/ Credit Screenin	g							
AML - Experian		AML- World Che	eck One	Client Code	:			
Credit- Experian Checked By : Date : Processed By : Date :			FBR Code	:				
			Online Trading Facility					
			Client Code User ID	:				
Verified By :		Date :		FBR Code Processed By	:	Branch Code Date	:	
Risk Profiling	Low	Medium	High	Tiocessed By	•	Date	•	
Credit Risk Profile				Remarks :				
AML Risk Profile								
Approved Lot Limit (Local Market)       :         Approved Lot Limit (Foreign Market)       :								
Account Approved By	:							
Date	:							