



8. Is any of the Controlling Person<sup>2</sup> of the Applicant a U.S. Person  Yes  No (Refer to question no.9(i))

<sup>2</sup>Controlling Person is defined as natural person who has at least 25% shareholdings in the company.

If Yes (please complete the following)

- The Controlling U.S. Person is "Specified U.S. Person."
- B.  The Applicant is a Passive Non-Financial Foreign Entity (Passive NFFE). Passive NFFE is broadly defined as those legal entities set up to hold assets that produce investment income.
- C.  The Applicant is an Active NFFE. (Refer to Part 15 for the definition of Active NFFE)

If both A and B are ticked, please provide the following information for the Controlling Persons of this Passive NFFE who are also Specified U.S. Persons: (Please attach a separate list if there is insufficient space)

Name of Controlling Person	Address	U.S. Taxpayer Identification Number

# Controlling Person means the natural person who exercise control over the company. If the Company and/or the Controlling Person are a tax resident of the United States, please provide your U.S. Taxpayer Identification Number and return a completed signed Form W-9. A U.S. citizen is considered a tax resident of the United States even if they are a tax resident of another jurisdiction.

9 (i). Please tick one of following:

- A.  The Applicant is a Passive Non-Financial Entity (Passive NFE). Passive NFE is broadly defined as those legal entities set up to hold assets that produce investment income.
- B.  The Applicant is an Active NFE – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation.  
(Please provide the name of established securities market on which the corporation is regularly traded:)  
(If you are a Related Entity of regularly traded corporation, please provide the name of regularly traded corporation that the Entity in (B) is a Related Entity of:)
- C.  The Applicant is an Active NFE – a Government Entity or Central Bank
- D.  The Applicant is an Active NFE –an International Organisation
- E.  The Applicant is an Active NFE – other than (B)-(D)

9(ii). If Applicant has ticked 7(G) or 9(i)(A), then please complete the following:

- (a) Indicate the name of any Controlling Person(s) of the Account Holder:
  - (i) \_\_\_\_\_ (ii) \_\_\_\_\_
  - (iii) \_\_\_\_\_ (iv) \_\_\_\_\_
- (b) For each Controlling Person, please complete Individual Self-Certification Form.

**2 TYPE OF ACCOUNT** (please tick  accordingly)

- Shariah Account
- Conventional Account

**3 DOCUMENTS TO BE SUBMITTED (NON RETURNABLE)**

Companies Incorporated Under Companies Act 1965/2016	Organisation / Bodies Established Under An Act
<input type="checkbox"/> Form 9, Form 13, Form 24, Form 44, Form 49 & M&A of Companies Act 1965 <input type="checkbox"/> Section 14, 15, 28, 46, 58, 78, Constitution (if applicable) of Companies Act 2016 <input type="checkbox"/> Business License* <input type="checkbox"/> Photocopy of Directors/ Authorised Personnel NRIC <input type="checkbox"/> Annual Returns <input type="checkbox"/> Directors Personal Guarantee / Undertaking <input type="checkbox"/> Board Resolution <input type="checkbox"/> Certified Copy of Latest Audited Financial Statement <input type="checkbox"/> Company Income Tax Form <input type="checkbox"/> 3 Months Bank Statement	<input type="checkbox"/> Copy of Constitution / By Laws of The Society <input type="checkbox"/> Certificate of Registration <input type="checkbox"/> Copy of Resolution of Governing Body (e.g. Committee / Board Resolution) <input type="checkbox"/> Photocopy of Principals / Directors / Authorised Signatories NRIC / Passport <input type="checkbox"/> Certified Copy of Latest Audited Financial Statement <input type="checkbox"/> 3 Months Bank Statement

\*Applicable to (i) accredited investors as defined in Schedule 6 and Schedule 7 of CMSA; or (ii) authorised nominee as defined in Bursa Depository Rule

**4 INVESTMENT EXPERIENCE AND OBJECTIVES**

- Future Trading Experience  None  < 1 year  1-5 years  > 5 years
- Investment Objectives  Investment  Speculation  Hedging  Arbitraging
- Risk Tolerance  Aggressive  Moderate  Conservative

**5 SETTLEMENT BANK ACCOUNT PARTICULARS**

Bank Name:  Account No<sup>6</sup>:

All payment payable to you shall be electronically crediting to your above bank account.

<sup>6</sup>Kindly take note that the bank account must be in the Applicant name and this bank must be located in Malaysia offering MEPS IBG services as all payment payable to the Applicant shall be electronically crediting to Applicant above Account No.

**6 FINANCIAL BACKGROUND**

Nature of business \_\_\_\_\_ Regulated Financial Institution: Country of Jurisdiction the Entity: \_\_\_\_\_

Shareholders' Funds<sup>7</sup> RM \_\_\_\_\_ Reported Profit / (Losses) As Per Latest Audited Financial Statement RM \_\_\_\_\_

<sup>7</sup>Based on latest Audited Financial Statements

Source of Wealth:  Business/ Capital  Loan  Others: \_\_\_\_\_

REFER TO BOARD RESOLUTION FOR AUTHORISED SIGNATORIES AND SPECIMEN SIGNATURE OF AUTHORISED SIGNATORIES.

**7 OTHER PARTICULARS OF APPLICANTS**

- a. Does the Applicant have Domestic Ringgit Borrowing as defined under BNM FEA rules?  Yes  No  
*(For further details, refer <https://www.bnm.gov.my/fep> for DRM definition under BNMFEA rules)*
- b. Are the Applicant's Directors and/or authorised person 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 the Applicant and/or authorised person ever opened an account with UOBKH?  Yes \_\_\_\_\_  
 No  
*(please state account number and reason for closing of account)*
- d. Does the Applicant have existing Securities and/or Derivatives Trading Account with UOBKH?  Yes, Account No \_\_\_\_\_  
 No
- e. Details of the Applicant's Directors and/or authorised persons with Trading Accounts maintained with UOBKH  None  
 i) Name: \_\_\_\_\_  
 ii) Relationship: \_\_\_\_\_  
 iii) Account No: \_\_\_\_\_
- f. Would the Applicant consent and authorise UOBKH to process any information that has been 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.*
- g. Would you like to appoint and empower your Future dealer's representative (inclusive of Associated FBRs) 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).*

**8 DECLARATIONS AND ACKNOWLEDGEMENT**

We hereby confirm that we are 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](http://www.utrade.com.my)), of which a physical copy has been handed to us and we confirm that we have read each and every DECLARATION, the RISK DISCLOSURE STATEMENTS, the TERMS AND CONDITIONS as well as the UNDERTAKING contained therein, and understand its contents and its implications which have been duly explained to us in detail by the Company. Subject and conditional upon UOBKH approving our Trading Account(s) application, we hereby agree to be bound by them entirely. We are 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 our sole responsibility to keep ourselves aware of all such changes without the need to be notified and we 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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*\* If the Applicant is a corporation, please sign as per Board Resolution and affix the company rubber stamp or common seal.*

**9 TO BE COMPLETED BY FUTURES BROKER'S REPRESENTATIVES**

- D) 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. Is the Applicant actively involved in any political activities or politically linked?  Yes  No
- Remarks : \_\_\_\_\_  
 \_\_\_\_\_

**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 :
  - 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.

Name:  
Code:  
Date:



\_\_\_\_\_  
(Signature of Future Broker's Representatives)

**FOR OFFICE USE ONLY**

**AML/ Credit Screening**

<input type="checkbox"/> AML - Experian	<input type="checkbox"/> AML- World Check One
<input type="checkbox"/> Credit- Experian	

Checked By :	Date :
Processed By :	Date :
Verified By :	Date :

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

Approved Lot Limit (Local Market) :	
Approved Lot Limit (Foreign Market) :	
Account Approved By :	
Date :	

Client Code :				
FBR Code :				

**Online Trading Facility**

Client Code :	
User ID :	
FBR Code :	Branch Code :
Processed By :	Date :

Remarks :

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