



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

A photocopy of NRIC or Passport    
  Form B / EA Form / Payslip / Bank Statement    
  Form W-8 Ben    
  Form W-9  
 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: \_\_\_\_\_

**4 SETTLEMENT BANK ACCOUNT PARTICULARS**

Bank Name:     
 Account No<sup>4</sup>:     
 Joint Account    
 Yes    
 No  
 All payment payable to you shall be electronically crediting to your above bank account.  
*<sup>4</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.*

**5 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

**6 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    
 Family Members    
 Others, please specify: \_\_\_\_\_

Telephone No. (Office)     
 Fax No

Nature of Business

Designation     
 Year(s) Employment / Business

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 Wealth:    
 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)

**7 OTHER PARTICULARS OF APPLICANTS**

- a. Do you have Domestic Ringgit Borrowing as defined under BNM FEA rules?  
(For further details, refer <https://www.bnm.gov.my/fep> for DRM definition under BNMFEA rules)  Yes  No
- b. Do you fall under vulnerable category<sup>1</sup>?  Yes  No  
<sup>1</sup>A person who has physical disabilities / financially constraint / senior citizen who is non-tech savvy etc
- c. Are you related<sup>2</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>2</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
- d. Have you ever opened an account with UOBKH?  Yes \_\_\_\_\_  No  
(please state account number and reason for closing of account)
- e. Do you have existing Securities and/or Derivatives Trading Account with UOBKH?  Yes, Account No \_\_\_\_\_  No
- f. Are you a guarantor for any Trading Account held in UOBKH?  Yes, Account No \_\_\_\_\_  No
- g. Details of related persons with Trading Accounts maintained with UOBKH  None  
i) Name: \_\_\_\_\_  
ii) Relationship: \_\_\_\_\_  
iii) Account No: \_\_\_\_\_
- h. 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.*
- i. Would you like to appoint and empower your Future Broker 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.*

**8 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](http://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 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:

\_\_\_\_\_  
*Signature of Applicant*  
Name:  
NRIC No:  
Date:

\_\_\_\_\_  
*Signature of Witness*  
Name:  
NRIC No:  
Date:

**9 TO BE COMPLETED BY FUTURES BROKER'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) VULNERABLE CLIENT ASSESSMENT CRITERIA**

- 1. Disabilities<sup>1</sup> – Does the Applicant have any disabilities that could impact their decision making?  Yes  No
- 2. Life Events – Has the applicant faced significant life events like unemployment or the death or permanent disability of the main breadwinner that caused temporary or long-term financial hardship?  Yes  No
- 3. Financial Resilience – Does the applicant have a low ability to handle financial shock, such as being heavily in debt, having cash flow issues, or having no savings?  Yes  No
- 4. Capability – Does the applicant have limited knowledge of financial matters, lack confidence in managing money, or have low skills in areas like literacy, language, or digital skills?  Yes  No
- 5. Age<sup>2</sup> - Is the Applicant a senior citizen who may have limited technological skills?  Yes  No

<sup>1</sup> Refers to long-term: (a) hearing impairment; (b) visual impairment; (c) speech impairment; (d) physical impairment; or (e) learning impairment such as dyslexia or low spectrum autism.

<sup>2</sup> Age 60 and above

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. Having assessed the Applicant based on Vulnerable Client Assessment criteria, I hereby understand and agreed that I am expected to respond appropriately, including but not limited to following, if the Applicant falls into any of the categories stated under section 9 (II) 1 to 5 throughout all stages of business relationship:
  - (i) allow the Applicant to have sufficient time to process information that has been provided to him/ her;
  - (ii) clarify whether the Applicant is comfortable with the method of communication, and offering to provide details in an alternate format, such as, via post or email for clarity; and asking the Applicant whether he/ she would like to consult someone else first or require someone else to be present with him/ her when advice is given.
- 3. 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.
- 4. 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 Future Broker's Representatives)

Name:

Code:

Date:

