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

APPL	JCAT	ION F	ORM	FOR	INDIVI	DUAL	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							
Correspondence Address as per Registered Address in NRIC(Please tick ☑) Race Race Image: Correspondence Address in NRIC(Please tick ☑)							
Correspondence Address if different from Registered Address:							
Image: Constraint of the constr							
Is the Above Residence Owned Relatives Rented 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 Widowed No. Of dependent(s):							
If married, please complete following details of spouse:							
Spouse Name							
New NRIC - - Old NRIC/Authority Card/Passport							
Important Information as Required Under FATCA/ CRS							
Country of Birth Malaysia US Others (please specify)							
Nationality Malaysian US Others (please specify)							
Are you a Malaysian Resident (For Exchange Control ¹) ¹ For 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?							
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 Tax Identification No:							
 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:) 							
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: <u>http://www.hasil.gov.my/bt_goindex.php?bt_kump=6&bt_skum=2&bt_posi=1&bt_unit=2&bt_sequ=1</u>) 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)							
Shariah Account							
Conventional Account							

3 DOCUMENTS TO BE SUBMITTED (NON	RETURNABLE)						
A photocopy of NRIC or Passport	Form B / EA Form / Payslip / Bank	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 Other:							
account							
4 SETTLEMENT BANK ACCOUNT PARTIC	ULARS						
Bank Name:	Account No ⁴ :	Joint Yes No Account					
All payment payable to you shall be electronically crediting to your above bank account. ⁴ 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 OBJEC	CTIVES						
Future Trading Experience	None <a> < 1 year 1-5 years	> 5 years					
Investment Objectives	Investment Speculation	Hedging Arbitraging					
Risk Tolerance	Aggressive Moderate	Conservative					
6 FINANCIAL BACKGROUND							
	hout any fixed income, please provide your income provid						
Employment Employed Se	elf-employed Housewife Retiree	Student Others					
Name of Income Provider							
New NRIC -	- Old NRIC / Passpe	ort la					
Name of Business/Employer of Client or Income P	rovider						
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?							
Do you have commitments with any financial instit							
		nancing Others					
	tutions? Yes No	nancing Others					

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 rule	les)						
b. Are you related 5 to any staff or Director or Dealer's Representatives of UOI Securities (M) Sdn Bhd ("UOBKH")?	DB Kay Hian Yes, name and relationship No						
⁵ 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 No (please state account number and reason for closing of account)						
d. Do you have existing Securities and/or Derivatives Trading Account with UOBKF	CH? 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 has to UOBKH for the purposes of cross selling, marketing and promotions?	have provided 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 Future Broker Representative (inclusive of Yes No Associated FBRs) 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 a choice of the action of choosing a representative to risks and legal consequences of which you must be prepared to accept. You SHOULD NOT TICK "YES" if you have a choice 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 been informed of or do not fully understand the consequences. You are advised to abtein competent legal advise on your rights and elaiptions and elaiptic any doubts you may have							
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), 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:							
5. <u>5</u> 2).							
×.	×.						
Signature of Applicant	Signature of Witness						
Name:	Name:						
NRIC No:	NRIC No:						
Date:	Date:						

9	TO BE COMPLETED BY FUTURES	S BROKER'S REPRESENTATIVES	5				
I)	I) KNOW YOUR CLIENT POLICY						
1.	Have you met the Applicant through	your personal contact / social networkin	ng?	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 v	with the Applicant?		Yes	No		
4.		•		Yes	No		
5.	Have you sighted the original NRIG (Individual only)?	IC / Passport with the photocopied do	cuments of the Applicant	Yes	No		
6.	Is the Applicant actively involved in	any political activities or politically link	ked?	Yes	No		
Re	emarks :						
l							
10	DECLARATION BY FUTURES BRO	OKER'S REPRESENTATIVE					
 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. I hereby confirm that: 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 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. 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. 							
FOI	R OFFICE USE ONLY						
	L/ Credit Screening		Т				
	AML - Experian	AML- World Check One	1	[
ィ╞╘	AML - Experian	AIVIL- WOHL CHECK ONE	Client Code :				
⊏	Credit- Experian		FBR Code :				
Ch	hecked By :	Date :	Online Trading Fac	ility			
	-		Client Code :				
Pro	rocessed By :	Date :	User ID :				
17.	arified Dry	Data :	FBR Code :		Branch Code	:	

UOBKH-Futures Application Form Individual v18042024

Date

:

:

Processed By

Remarks :

Verified By

Risk Profiling

Credit Risk Profile

AML Risk Profile

Account Approved By

Date

:

Approved Lot Limit (Local Market)

Approved Lot Limit (Foreign Market)

Date

Low

:

:

:

:

:

Medium

High