





(ii) Corporate Particulars (Continue)

Nature of Business/Sector

- Agricultural/forestry/fishing:
Wholesale, retail trade, repair of vehicle:
Mining and quarrying:
Manufacturing:
Construction:
Transportation:
Hotel & Restaurant:
Telecommunication:
Financial/Insurance Intermediaries:
Real Estate:
Others:

Secondary Sector (If applicable):

Registered Address

Grid for Registered Address

Post Code: Town:

State: Country:

Correspondence Address (If different from Registered Address)

Grid for Correspondence Address

Post Code: Town:

State: Country:

Business Address (If different from Registered Address)

Grid for Business Address

Post Code: Town:

State: Country:

Website:

Self-Owned Rented rental per month

Tel. No. (Office 1): Fax No. (Office 1):

Tel. No. (Office 2): Fax No. (Office 2):

Email address:

\*this email address is to be used for delivering of Contract Note/Statement/Contra Note

For Office Use - eAMS:

Business

Business checkbox

Sector

Sector checkbox

State

State checkbox

Country

Country checkbox

State

State checkbox

Country

Country checkbox

State

State checkbox

Country

Country checkbox

**(iii) Financial Particulars (please specify in RM)**

**Audited Financial Results (for the past 2 years)**

Financial Year	Profit/(Loss) before Tax	Company Turnover	Paid-Up capital	Authorised Capital	Shareholders' funds

**For Office Use  
– eAMS:**

Paid-up Capital

Customer Segmentation

Asset/Financial

**Source of Wealth and Net Worth**

- Banking Facility/Borrowings       Business Income       Retained Earning  
 Clients Funds       Others specify: \_\_\_\_\_

**Source of Funds for Investment**

- Banking Facility/Borrowings       Business Income       Retained Earning  
 Clients Funds       Others specify: \_\_\_\_\_

**(iv) Authorised Personnel to give instruction and/or trades**

(As per Board Resolution Attached)

**(v) Directors and Shareholders' Particulars**

**Directors**

Name in Full	Nationality	New NRIC/Passport/Authority Card

**Major Shareholders (≥10% of the paid up capital)**

Name in Full	Nationality	New NRIC/Passport/Authority Card

**(vi) Investment Experience**

**Investment Objective(s)**

- Equity:  Trading Gain  Capital Growth  Dividend  Arbitraging
- Derivatives/Futures:  Trading Gain  Hedging  Arbitraging

**Investment Experience**

Equity:   years Derivatives/Futures Market:   years

**(vii) Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standard ("CRS")**

*(The information in this section is collected in order to comply with FATCA and CRS requirements which require AmBank Group to identify and report United States (U.S.) Persons and Tax Residents in CRS Participating Jurisdictions)*

**PART A: General Information**

Company Name	
Country of Incorporation/Registration	
Global Intermediary Identification Number (GIIN)*	
EIN (for U.S. Branches only)	

\*GIIN is required for Direct Reporting NFFE, Sponsored Direct Reporting NFFE, Foreign Financial Institution (FFI) and a trustee of a trust

**PART B: Identifying U.S. Reportable Accounts**

(To be completed by all types of entities - please tick ("✓") where applicable)

- 1) A Specified U.S. Person<sup>1</sup>
- 2) A Passive Non-Financial Foreign Entity (NFFE) with one or more Controlling Persons who are Substantial U.S. Owners<sup>2</sup>
- 3) A Non-Participating Foreign Financial Institution (NPFFI)<sup>3</sup>

**PART C: Identifying CRS Reportable Accounts**

(To be completed by all types of entities - please tick ("✓") where applicable)

- |   | Yes                      | No                       |
|---|--------------------------|--------------------------|
| a) The entity has tax residency <sup>4</sup> outside Malaysia <i>(If yes, please complete Part D)</i>   | <input type="checkbox"/> | <input type="checkbox"/> |
| b) The entity is a Passive Non-Financial Entity (NFE) with one or more Controlling Persons <sup>5</sup> <i>(If yes, Please complete Part E and F)</i> | <input type="checkbox"/> | <input type="checkbox"/> |

*If answered "No" for both questions, please proceed directly to Part G.*

**For Office Use  
- eAMS:**

Any "yes" in this section are required to submit:

W 8 BenE

or

W 9 Form

<sup>1</sup> Definition

- A partnership, corporation, company, or association created or organized in the U.S. or under the laws of the U.S.,
- An estate (other than a foreign estate), or
- A domestic trust (as defined in Regulations section 301.7701-7 of the Internal Revenue Code).

<sup>2</sup> Definition

- Owns, directly or indirectly, more than 10% (by vote or value) of the stock of any foreign corporation;
- Owns, directly or indirectly, more than 10% of the profits or capital interests in a foreign partnership;
- Is treated as an owner of any portion of a foreign trust under sections 671 through 679; or
- Holds, directly or indirectly, more than a 10% beneficial interest in a trust.

<sup>3</sup> A Foreign Financial Institution that does not enter into an agreement with the U.S. IRS.

<sup>4</sup> For more information please refer to <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/>.

<sup>5</sup> "Controlling Persons" are the natural person(s) who exercise Control (i.e. more than 25% shareholding) over an entity.

**(vii) Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standard ("CRS")**

(The information in this section is collected in order to comply with FATCA and CRS requirements which require AmBank Group to identify and report United States (U.S.) Persons and Tax Residents in CRS Participating Jurisdictions)

**PART D: CRS Entity Classification** (To be completed by all types of entities - please tick ("✓") where applicable)

- i) Active NFE - Public Listed Company or its Related Entity<sup>6</sup>
- ii) Active NFE - Governmental Entity, Central Bank or International Organization
- iii) Active NFE other than the above (Please complete Part E)
- iv) Passive NFE (Please complete Part E only if the entity has no Controlling Person)  
(Please complete Part E and F if the entity has one or more Controlling Person)
- v) Financial Institution - a Custodian Institution, a Depository Institution, an Investment Entity  
(other than (vi) below), or a Specified Insurance Company
- vi) An Investment Entity that is not a Participating Jurisdiction Financial Institution and is managed  
by another Financial Institution   
(Please complete Part E only if the entity has no Controlling Person)  
(Please complete Part E and F if the entity has one or more Controlling Person)

**PART E: Tax Residency for Entity (Please complete if PART D (iii), (iv) or (vi) is selected)**

Country/Jurisdiction of Tax Residence(s)	Taxpayer Identification Number (TIN) (Not required if the entity is a tax resident of Malaysia)	If no TIN is available please tick ("✓") the appropriate reason
1)		<input type="checkbox"/> The country/jurisdiction does not issue TINs to its residents <input type="checkbox"/> Application for TIN or equivalent number in progress <input type="checkbox"/> Unable to obtain a TIN or equivalent number or other reason (Please provide explanation) <hr/>
2)		<input type="checkbox"/> The country/jurisdiction does not issue TINs to its residents <input type="checkbox"/> Application for TIN or equivalent number in progress <input type="checkbox"/> Unable to obtain a TIN or equivalent number or other reason (Please provide explanation) <hr/>

If the Entity is tax resident in more than two countries/jurisdictions, please use a separate sheet

**PART F: Information of Controlling Person(s)**

Controlling Person 1		CP Type
Name		
Residential Address	NRIC No./ Passport No.	
Date of birth	Place of birth (Country)	
Information on tax residency		
Country/Jurisdiction of Tax Residence(s)	Taxpayer Identification Number (TIN) (Not required if the entity is a tax resident of Malaysia)	Reason if TIN is not available
		<input type="checkbox"/> The country does not issue TINs <input type="checkbox"/> I am earning below the taxable income bracket to have a TIN <input type="checkbox"/> I am a housewife, househusband, minor or retiree <input type="checkbox"/> I am a student with appropriate visa <input type="checkbox"/> I hold a diplomatic post in a consulate or embassy in Malaysia <input type="checkbox"/> Others: _____

Note: Type of Controlling Person (CP)

CP01 - Controlling Person of a legal person – control by ownership  
 CP02 - Controlling Person of a legal person – control by other means  
 CP03 - Controlling Person of a legal person – senior managing official  
 CP04 - Controlling Person of a trust – settlor  
 CP05 - Controlling Person of a trust – trustee  
 CP06 - Controlling Person of a trust – protector  
 CP07 - Controlling Person of a trust – beneficiary

CP08 - Controlling Person of a trust – other  
 CP09 - Controlling Person of a legal arrangement (non-trust) – settlor-equivalent  
 CP10 - Controlling Person of a legal arrangement (non-trust) – trustee-equivalent  
 CP11 - Controlling Person of a legal arrangement (non-trust) – protector-equivalent  
 CP12 - Controlling Person of a legal arrangement (non-trust) – beneficiary-equivalent  
 CP13 - Controlling Person of a legal arrangement (non-trust) – other-equivalent

<sup>6</sup> An entity is a "related entity" of another entity if either entity controls the other entity, or the two entities are under common control. For this purpose control includes direct or indirect ownership of more than 50% of the vote and value in an entity.

**(vii) Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standard ("CRS")**

(The information in this section is collected in order to comply with FATCA and CRS requirements which require AmBank Group to identify and report United States (U.S.) Persons and Tax Residents in CRS Participating Jurisdictions)

PART F: Information of Controlling Person(s)			
<b>Controlling Person 2</b>			<b>CP Type</b>
Name			
Residential Address			NRIC No./ Passport No.
Date of birth		Place of birth (Country)	
Information on tax residency			
Country/Jurisdiction of Tax Residence(s)	Taxpayer Identification Number (TIN) <i>(Not required if the entity is a tax resident of Malaysia)</i>	<b>Reason if TIN is not available</b>	
		<input type="checkbox"/> The country does not issue TINs <input type="checkbox"/> I am earning below the taxable income bracket to have a TIN <input type="checkbox"/> I am a housewife, househusband, minor or retiree <input type="checkbox"/> I am a student with appropriate visa <input type="checkbox"/> I hold a diplomatic post in a consulate or embassy in Malaysia <input type="checkbox"/> Others: _____	

**PART G: Declaration**

I/We represent and declare the information provided above is true, accurate and complete and the submitted documents are genuine and duly executed.

I/We hereby consent for AMMB Holdings Berhad (223035-V), including AmBank (M) Berhad or any of its related companies and its branches (collectively "AmBank Group") to report the entity's information to regulatory or tax authorities in accordance with requirements of FATCA and CRS as may be stipulated by applicable laws, regulations, agreement or regulatory guidelines or directives.

I/We undertake to notify AmBank Group in writing within 30 calendar days if there is a change in any information which I/we have provided to AmBank Group, status or in the event the entity becomes U.S. person or a tax resident in a jurisdiction outside Malaysia. I/We hereby consent that AmBank Group may terminate the entity's account(s) and/or facilities granted to the entity, in the event the entity becomes U.S. person or a tax resident in a jurisdiction outside Malaysia.

I/We hereby acknowledge and agree that AmBank Group may classify the entity as a recalcitrant account holder or NPFFI and/or suspend, recall or terminate the entity's account(s) and/or facilities granted to the entity, in the event I/we fail to provide accurate and complete information and/or documentation as AmBank Group may require.

**(viii) Investment in Australia/Canada Exchange**

We are incorporated in: - (if yes, trading in the respective exchange is NOT permitted)

	No	Yes
Australia	<input type="checkbox"/>	<input type="checkbox"/>
Canada	<input type="checkbox"/>	<input type="checkbox"/>

**(ix) Trade in LEAP Market**

	No	Yes
To trade in Leap Market?	<input type="checkbox"/>	<input type="checkbox"/>
If yes, please complete the columns below		
a) Do you qualify as a Sophisticated Investor?	<input type="checkbox"/>	<input type="checkbox"/>
b) Have you signed the Leap Market Risk Disclosure Statement?	<input type="checkbox"/>	<input type="checkbox"/>

\* The LEAP Market is a qualified market meant for Sophisticated Investors only i.e. those who qualify under Part 1 of Schedules 6 & 7 of the Capital Markets & Services Act 2007 (CMSA) as listed behind the LEAP Market Risk Disclosure Statement

**(x) Politically Exposed Person ("PEP") - Domestic & Foreign**

Any of the Director(s)/Authorised Signatory(ies)/shareholder (≥25%) is/are entrusted with prominent public functions, such as heads of state or government, senior politician, senior government officials, judicial or military officials and senior executives of public organisations?

**No**  **Yes**

(If Yes, please complete the column below)

No	Name	Designation
1		
2		
3		

**(xi) Payment Instruction and Receipt Advice**

**Payment Instruction**

Auto Trust  Payment Instruction for auto credit/withdrawal from trust (please provide bank details as below together with a copy of certified true copy of latest bank statement by dealer representative/bank officer)

**Please credit all payments due to me into my bank account, details as follows:-**

AmBank (M) Berhad: Account No.:

Amlslamic Bank Berhad: Account No.:

Name of Bank:

Account No.:

Account Type:  Current  Other:

Name of account holder:

**#Receipt Advice (if different from the bank above)**

**I shall use the bank below for all payment made by me to your bank unless otherwise advise,**

Name of Bank:

Account No.:

Account Type:  Current  Other:

Name of account holder:

**Note:** All payment by cheques, bank drafts, banker's cheques and telegraphic transfer must be made payable to AMINVESTMENT BANK BHD directly by you by quoting your name/client code/NRIC number. I.e: "AmInvestment Bank Berhad for account xxxxxx" We DO NOT accept 3rd Party deposit/payment unless it is approved by the Bank.



**(xii) Delivery of Contract Note/Statement/Contra Note**

**Electronic via email**

**Hardcopy\***

Equity

Derivatives/Futures

*\*May be subjected to RM2 + GST per copy of contract note/contra note/statement for online client. Fees shall be subjected to revision from time to time.*

**(xiii) Information/Consent for Cross Selling - Personal Data Protection Act 2010 ("PDPA")**

**Cross Selling within AmBank Group Companies**

The Bank may disclose your company's directors' or shareholders' or Authorized Person personal information to AmBank Group companies for marketing of products and services. If you decide later not to receive marketing information from the Bank/AmBank Group, all you have to do is just call +603 -2031 0102/e-mail: helpdesk-ebiz@ambankgroup.com and inform the Bank of the same.

**Marketing & Promotions by AmBank Group's Business Partners**

AmBank Group's business partners may from time to time offer products, promotions and services that may be of interest to you.

Say "YES" to great offers & promotions from AmBank Group's Business Partners:

YES, I would like to receive marketing promotions from AmBank Group's business partners.

NO, not at this point of time.

**(xiv) BNM Foreign Exchange Administration Rules ("FEA Rules")  
[Applicable to FIS/Foreign Trading]**

We are a resident of Malaysia;

We are NOT a resident of Malaysia;

**To be completed by resident of Malaysia Only**

We do not have domestic ringgit borrowing and are thus allowed to convert any amount of ringgit currency for the purpose of funding our investment abroad; and we undertake to inform the Bank immediately should we subsequently obtain domestic ringgit borrowing or upon request by the Bank; or

We have domestic ringgit borrowing and are thus allowed to convert up to RM50,000,000 in aggregate within our group of resident entities with parent-subsidiary relationship per calendar year for the purpose of funding our investment abroad. We hereby acknowledge that the total sum of our investment abroad which we have/we will have with your Bank and others, are to be taken into account for purpose of FEA limit. We hereby undertake to inform your Bank immediately once our investment amount has reached to the maximum allowable amount.

**(xv) Letter of Consent - Disclosure of Information and Documents  
[Applicable for Securities Trading]**

We hereby consent to the disclosure of information and/or documents relating to our affair and in particular, relating to our securities account but not limited to our available shares balance provided by Bursa Malaysia Depository Sdn Bhd ("Bursa Depository") to the Bank and to such agents, service providers and sub-contractors of the Bank as informed by the Bank to Bursa Depository.

We further authorize the Bank to disclose such information and/or documents to our Dealer Representative to facilitate our trading in securities

This consent and authorization shall take immediate effect and shall be valid until:-

-   -   (dd/mm/yy) please state exact date the authorization is to remain in force.

Revoked by us

We hereby release Bursa Depository and/or the Bank from any loss or liability arising from or in connection with this authorization except for loss or liability that we may suffer as a result of any act, statement or omission that was not done in good faith by Bursa Depository and/or the Bank.

**B. DECLARATION BY APPLICANT**  
(Attached as Part D of the Terms and Conditions for Securities & Derivatives Trading)

1. DECLARATION PURSUANT TO TERMS AND CONDITIONS FOR SECURITIES AND DERIVATIVES TRADING
2. DECLARATION PURSUANT TO RULE 5.15 OF THE BURSA MALAYSIA SECURITIES BERHAD
3. DECLARATION PURSUANT TO BANK NEGARA'S FOREIGN EXCHANGE ADMINISTRATION POLICY (BNM'S FEA RULES)
4. DECLARATION PURSUANT TO THE INVESTMENT IN SECURITIES TRADED AND/OR IN AUSTRALIA/CANADA
5. DECLARATION IN PURSUANT TO FOREIGN ACCOUNT TAX COMPLIANCE ACT
6. DECLARATION PURSUANT TO STRUCTURED WARRANTS RISK DISCLOSURE STATEMENT
7. EXPLANATORY DOCUMENT AND RISK DISCLOSURE STATEMENT (DERIVATIVES/FUTURES TRADING)

**C. RISK DISCLOSURE STATEMENT**

Nothing in this form is intended to provide investment advice and nothing in this form should be construed as a recommendation to trade in any Securities or to engage in any investment strategy or transaction. Trading in Securities is subject to investment and market risks, including the possible loss of the entire principal amount invested. You are solely responsible for determining whether any trading, investment strategy, security or related transaction is appropriate for you based on your personal investment objectives, financial circumstances and risk tolerance. You should consult your own independent adviser(s) before trading/investing.

**D. ACKNOWLEDGEMENT**

We hereby acknowledge that the Terms and Conditions for Securities and Derivatives Trading (Version No: V.3 – 2019.01.16) of this Agreement is posted on the Bank's official website [amequities.com.my](http://amequities.com.my) for my retrieval and printing. I further declare that we have read and we fully understood the contents therein (which shall include variations, amendments, modifications, supplements, substitution and replacement made from time to time) read together with this Application Form, collectively referred to as "Agreement". We confirm that we shall be bound by the terms of the Agreement.

**WE MAKE THIS SOLEMN DECLARATION OF MATTERS AS STATED ABOVE CONSCIENTIOUSLY BELIEVING THE SAME TO BE TRUE.**

SUBSCRIBED AND SOLEMNLY )

Declared by / for and on behalf of the applicant on )

This  day of  20  )

\_\_\_\_\_  
Authorised Signatory(ies)

Affixed of common seal or  
company rubber-stamp (where applicable)

Applicant Name:

Applicant Registration No:

Before me (See note below),

Name of Witness\*:  )  
 )

New NRIC/Passport No.:  )

Profession/Designation: \_\_\_\_\_ )

Address:  )  
 )  
 )

\_\_\_\_\_  
Signature of Witness\* (Official Stamp/Seal)

**Note\*:** Insert name, NRIC/Passport no., profession/designation and address of the witness who must be an Authorised Officer of the Bank or AmBank Group or the Bank's Commissioned Capital Markets Services Representative's Licence Holder or AmInvestment Bank Berhad's Salaried Capital Markets Services Representative's Licence Holder or any other Capital Markets Services Representative's Licence Holder as authorised by the Bank or a Notary Public or the Officer(s) of the Malaysian Embassy or High Commission/Consulate of the jurisdiction where the form is signed.



**TO BE COMPLETED BY CAPITAL MARKET SERVICES REPRESENTATIVE'S LICENCE HOLDER/  
AUTHORISED OFFICER OF AMBANK GROUP (Continue)**

**(B) RECOMMENDATION OF TRADING LIMITS AND BROKERAGES**

**Securities Limits and Brokerage**

Account Type	Trading Limits (RM)	Brokerage Rate

**Derivatives/Futures Brokerage**

Products	Intraday (RT)	Overnight (RT)	Cash Settlement

CMSRL's recommendation/Background of Client: (Mandatory for the recommended limits > RM100k)

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**(C) RELEVANT CDS FEES FOR THIS APPLICATION**

Cash
  Cheque
  Debit
  Absorb

**(D) DECLARATION BY CMSRL**

I hereby request that you accept the abovenamed applicant as a client of the Bank and a client of the Custodian. As a CMSRL Holder/an authorised officer of the AmBank Group, I hereby confirm that I have adequately assessed the applicant as per (A) above and recommend trading limits and brokerage rate as per (B) above. I hereby further confirm the existence of the applicant and declare that the particulars given herein by the abovenamed applicant is true, complete and correct to the best of my knowledge.

In addition to the above, as a Commissioned CMSRL Holder/an authorised officer of the AmBank Group I shall be responsible for making good any liabilities, debts and losses incurred by the abovenamed applicant and shall hereby indemnify the Bank for any and all liabilities, debts and losses incurred by the said applicant including professional fees/ solicitors' cost.

Signature of CMSRL Holder/Authorised Officer(s) of AmBank Group  
(Delete whichever inapplicable)

Date:   -   -

Name:

CMSRL Holder/Employee ID:

**(D) DECLARATION BY CMSRL (Derivatives/Futures)**

I am of the opinion that the Client is fully aware of the risk and nature of dealing in future and derivatives contracts. I hereby recommend that the abovenamed applicant be accepted as client of the Bank and a trading account be opened for the said applicant. I hereby confirm the existence of the applicant and declare that the particulars as given herein by the abovenamed applicant are true, complete and correct to the beat of my knowledge.

I hereby confirm that I have adequately assessed the applicant as per (A) above and recommend trading limits and brokerage rate as per (B) above.

In addition to the above, as a Commissioned CMSRL Holder/an authorised officer of the AmBank Group I shall be responsible for making good any liabilities, debts and losses incurred by the abovenamed applicant and shall hereby indemnify the Bank for any and all liabilities, debts and losses incurred by the said applicant including professional fees/ solicitors' cost.

Signature of CMSRL Holder/Authorised Officer(s) of AmBank Group  
(Delete whichever inapplicable)

Date:   -   -

Name:

CMSRL Holder/Employee ID:

## DOCUMENTS CHECKLIST - SECURITIES

Required Documents	Yes	No	Remarks
1. 2 sets CDS Account Form (FMN070) for (a) Account Opening with RM10.00 for account opening fees (b) Update of Bank Account & CDS Account particulars -Require 2 copies of *Bank Saving Book/Bank Statement/Bank Statement extracted from internet that contains the applicant's Name, Bank Account no. and bank's name to register/update Bank Account information <b>Note:</b> For client with existing CDS - Any Bank Account Registration for 1st time RM10.00 fee is required			
2. Reactivation of CDS Account with RM5.00 fee for Dormant Account			
3. Securities Trading & Custodian Services Application Form for Corporate			
4.* 2 sets of Extract Board Resolution for BMD, the Bank & include clauses below:- i) Authorisation to open account with the Bank & BMD and dealing in securities; ii) List of authorised signatories and its mode of execution; iii) Authorisation to affix common seals (only when common seals is affixed)			
5.* Two (2) CTC of Certificate of Incorporation, notice of registration, or registration of business (previously known as Form 8, 9 and/or) or notice of registration of new name (previously known as Form 13) or equivalent			
6.* Two (2) CTC of Memorandum & Articles of Association/Constitution (previously known as Memorandum & Articles of Association) or equivalent			
7.* Two (2) CTC of Return of Allotment of Shares (previously known as Form 24) or equivalent			
8.* Two (2) CTC of Notification for change in the registered address (previously known as Form 44) or equivalent			
9.* Two (2) CTC of Notification of change in the Register of Directors, Managers and Secretaries (previously known as Form 49) or equivalent			
10.* One (1) CTC of NRIC/Passport (for foreigner) for each Authorised Signatory/ Director/Shareholder			
11.* One (1) CTC of latest Audited Account/Annual Reports for the past 1 year (in case of private companies, if applicable)			
12.* Letter of Guarantee from Two (2) Directors with RM20 charges for stamping (only applicable for <= RM50k Paid-Up Shares Capital company)			
<b>*MUST BE CERTIFIED TRUE COPY BY DEALER REPRESENTATIVE/ AMBANK OFFICER/ANY OTHER ACCEPTABLE WITNESSES BY BURSA</b>			
<b>For Collateralized Trading</b> Memorandum of Deposit (MOD)			
<b>Foreign Investment Services (FIS)</b> <input type="checkbox"/> W-8 BenE for to trading in U.S market			
<b>For Custodian Services</b> RM10 Stamping fee			
<b>For DF Applicant</b> DF Terms and Conditions			
<b>For Leap Markets (Qualified Sophisticated Investor)</b> <input type="checkbox"/> Risk Disclosure Statement			

**Applicable for Client of Authorised Officer of AmBank Group (ISO)**

- (i) Personal Guarantee and Indemnity, (ii) Securities Trading Arrangement Letter, (iii) Appointment of an Agent to operate the securities trading account, (iv) Instruction letter from AmBank to AmInvestment Bank Berhad.

## DOCUMENTS CHECKLIST - DERIVATIVES

	Yes	No	Remarks
Trading Application Form for Corporate			
For 3rd party trading: – Letter of Authorisation; – CTC of NRIC/Passport copy of 3rd party			
Give Up Agreement (if applicable)			
CTC of Memorandum & Articles of Association/Constitution (previously known as Memorandum & Articles of Association) or equivalent			
CTC of Certificate of Incorporation, notice of registration, or registration of business (previously known as Form 8, 9 and/or notice of registration of new name (previously known as Form 13) or equivalent			
CTC of Return of Allotment of Shares (previously known as Form 24) or equivalent			
CTC of Notification for change in the registered address (previously known as Form 44) or equivalent			
CTC of Notification of change in the Register of Directors, Managers and Secretaries (previously known as Form 49) or equivalent			
Board Resolution/Extract of Minutes: a) approved opening and operation of the account b) provided list of authorised signatories (names and specimen signatures) c) Mode of execution d) authorisation to affix common seal (if applicable)			
CTC of latest Audited Account/Annual Reports for the past 1 year (in case of private companies, if applicable)			
Letter of Guarantee (only applicable for RM2 Paid-up Share Capital)			
<b>MUST BE CERTIFIED TRUE COPY BY DEALER REPRESENTATIVE/ AMBANK OFFICER/ANY OTHER ACCEPTABLE WITNESSES BY BURSA</b>			

### TO BE COMPLETED BY ACCOUNT MANAGEMENT (VERIFICATION STAGE)

#### APPROVING AUTHORITY

**Trading Limits:**  As per recommendation  Limit: \_\_\_\_\_

#### Brokerage (if applicable):

**Equity:**  As per recommendation  Company Default Rate  ≤100k = 0.60%  
>100k = 0.30%

Other: \_\_\_\_\_

**Derivatives/Futures:**  As per recommendation  FCPO: \_\_\_\_\_ FKLI: \_\_\_\_\_ FGLD: \_\_\_\_\_

Approved  Approved with conditions  Rejected

Conditions (if any): \_\_\_\_\_

Approved by:	Signature	Date

**RISK CLASSIFICATION AFTER CTOS/KYC CHECK**

Low Risk                       Medium Risk                       High Risk

**Reason for Risk Classification due to:**

Occupation                       High Network                       PEP                       Associate to PEP                       Cash Intensive Business

Others: \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Documents/Data verified by:	Branch		HQ	
	EQUITY	DERIVATIVES	EQUITY	DERIVATIVES
Signature				
Name				
Date				

**APPROVING AUTHORITY (Risk Classification Pursuant to KYC Policy)**

Low Risk                       Medium Risk                       High Risk

Approved by:	Signature	Date

**TO BE COMPLETED BY ACCOUNT MANAGEMENT (VERIFICATION STAGE) (Continue)**

**ACCOUNT MANAGEMENT (DATA ENTRY)**

		Name	Signature	Date
<b>SECURITIES ACCOUNT</b>	Data entered by			
	Limits maintained by			
	Verified/Checked by			
<b>DERIVATIVES/ FUTURES ACCOUNT</b>	Data entered by			
	Verified by			
	Reviewed by Compliance			

# MEMORANDUM OF DEPOSIT OF SECURITIES

## (Applicable for Collateralised Securities Trading CORPORATE Applicant)

We, the applicant hereby pledge all Securities ("Securities"), has the same meaning as in the Capital Markets and Services Act, 2007 ("CMSA") as amended from time to time and shall be securities traded on the Bursa Malaysia Securities Berhad or any Malaysian stock exchange designated by Bursa Securities, which are acceptable to you and which may be held from time to time, in my/our trading account(s) which have been fully paid and/or in any of my/our account(s) (including the securities account defined by the Security Industry (Central Depository) Act, 1991) held with you directly or through your nominees (hereinafter called "the Said Securities"), whether in book entry, electronic means or otherwise, on the following terms and conditions:-

1. We confirm that I am/we are the legal and beneficial owner of the Said Securities and that I am/we are entitled to pledge the Said Securities to you.
2. The Said Securities will be a continuing security to you for the general balance of my/our debts to you, which includes but is not limited to any moneys now and hereafter due under any of my/our account(s).
3. In the event that any debt remains outstanding for more than twenty one (21) calendar days or any other period of time as may be prescribed by you (in your absolute discretion at any time and from time to time) by written notice to me/us, you may at your sole discretion and at any time thereafter, without giving me/us any notice, sell the Said Securities to settle such debts, in which event we shall have no recourse against you or your nominee or your agents in respect of any loss that we may suffer arising out of or in relation to or connected with such sale or this memorandum.
4. The Said Securities may be registered by you in your name or in the name of your nominee. If any of the Said Securities are held in a securities account registered in my/our name, you shall be empowered in accordance with Section 40 of the Securities Industry (Central Depositories) Act 1991, to request the central depository to transfer such securities into your securities account or your nominee's securities account. Notwithstanding the aforesaid, neither you nor your nominee shall be answerable or responsible for any diminution in value of any of the Said Securities, however arising, while the same are in the custody, possession or control of yourself or your nominee. Further, while the Said Securities are in the custody, possession or control of yourself or your nominee, you shall not be responsible to ensure that any options, calls, rights issue, bonus issue, dividends and/or any other allotments, accretions and rights whatsoever accrued, attached and/or declared in respect of the Said Securities are subscribed, exercised, taken up, received or collected by you.
5. If so required by you, we shall execute such forms of transfer of securities and/or assignments as are necessary to enable the effectual transfer of the Said Securities. In the event that further documents are necessary to effectively transfer the Said Securities, we shall immediately upon your demand execute such documents.
6. We hereby irrevocably authorise you to make enquiries and/or to request and to receive statement of account of any of my/our aforementioned securities account(s) as and when you shall see fit and/or deemed necessary by you in your absolute discretion without the need to seek my/our consent. We hereby further agree that you shall not be held liable for any claims, actions and/or proceedings of any kind and nature howsoever arising and We hereby undertake to indemnify you for any losses of any kind and any nature which are incurred or suffered by you in respect thereof in connection with or as a result of your exercise of your right under this paragraph 6 and/or any other right pursuant to this memorandum.
7. We hereby appoint you or any of your Attorneys and in my/our name or in the name of yourself or your Attorney, as the case may be, to, in the event any debt remains outstanding for more than twenty one (21) calendar days or any other period of time as may be prescribed by you in your absolute discretion at any time and from time to time by written notice to me/us, deal with the Said Securities in any manner whatsoever and to do all other things as fully and effectively as we could do in connection therewith and in particular but without prejudice to the generality of the foregoing to transfer, assign, charge or sell the Said Securities or any part thereof and to do all whatsoever acts and execute all whatsoever documents to give effect to such transfer assignment charge or sale, Provided Always, that you shall not deal with the balance of the Said Securities (if any) once all the debts remaining outstanding as aforesaid has been paid/repaid in full to you.
8. We hereby acknowledge that you will not be liable for any loss or damage of the securities deposited into any securities account(s) registered in my/our name and/or securities account(s) registered in the name of your nominees for and on my/our behalf unless due to your negligence or willful default. In respect of such loss or damage (should there be any), your liability will be limited to the incidental replacement costs which are confined to cost of advertisement, scrip fees and any other reasonable costs related to the replacement of the physical share certificates only.
9. Any notice or demand required to be made or given to me/us hereunder may be sent by registered post to my/our last known address and shall be deemed to have been received by me/us within three (3) days after the date of posting notwithstanding, that the letter may be returned in the post.
10. We hereby acknowledge that you will not be liable for any failure in performing any of your obligations under this memorandum or any claim in respect of any loss, expense, costs, injury, damages or liabilities which are directly or indirectly caused by or results from or arises from or out of or contributed by such failure to perform, if such non-performance arises from or is attributable to acts, events, omissions or accidents beyond your reasonable control and without limiting the generality thereof, including:-
  - strikes, lockouts or other industrial actions;
  - civil, commotion, riot, invasion, war threat or preparation of war;
  - fire explosion, storm, flood, earthquake, subsidence, epidemic or other natural physical disaster;
  - impossibility of the use of railways, shipping, aircraft, motor transport or other means of public or private transport; and
  - political or government interference or actions with the normal operations.
11. We hereby authorise you to disclose any and all information [(including without limitation particulars of securities held) in relation to my/our account(s) and/or securities account(s) registered in my/our name/s and/or securities account(s) registered in the name of nominees for and on my/our behalf] to any of your employee, Capital Markets Services Representative's Licence Holders, agents, related companies, subsidiaries, affiliates and/or any other parties assigned to handle my/our account and/or securities account(s) and agree that you will not be liable for any claims, actions, and proceedings and losses of whatsoever nature which may be incurred as a result of this authorisation.

### SUBSCRIBED AND SOLEMNLY

Declared by / for and on behalf of the applicant

Signature of Authorised Signatory(ies)\*\* by for and on behalf of the applicant  
(Affixed Company rubber stamp or common seal where applicable)

Name: 


Date: 


Signature of Witness\*

Name: 


New NRIC/Passport: 


Profession/Designation: \_\_\_\_\_

**Note\*\*:** To deleted whichever is not applicable. If this document is executed by a body corporate, note that one of the signatory must be a director of the party.  
**Note\*:** Insert name, NRIC/Passport no., profession/designation and address of the witness who must be an Authorised Officer of AmInvestment Bank Berhad or AmBank Group or AmInvestment Bank Berhad's Commissioned Capital Markets Services Representative's Licence Holder or AmInvestment Bank Berhad's Salaried Capital Markets Services Representative's Licence Holder or any other Capital Markets Services Representative's Licence Holder as approved by the Bank or a Notary Public or the Officer(s) of the Malaysian Embassy or High Commission/Consulate of the jurisdiction where the form is signed.

### For Office Use Only

Keyed-in by: \_\_\_\_\_ Checked by: \_\_\_\_\_

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