



INSTRUCTIONS TO COMPLETE THIS APPLICATION FORM

1. Please read and understand the terms and conditions, guidelines and any supplementary terms and conditions as posted at <https://invest.affinhwang.com> carefully before completing the form.
2. Complete all applicable fields on this application form and tick (✓) whichever is applicable.
3. Note that usage of correction fluid is not permitted. Any amendments made must be counter-signed by the Applicant.
4. Please take note of the Bank's Privacy Notice as posted at <https://www.affinhwang.com>.

TYPE OF TRADING ACCOUNT / PRODUCT YOU WISH TO APPLY FOR:

Securities Unit Trust / Private Retirement Scheme ^{Note 1}
 Futures Others _____

TYPE OF SERVICE YOU WISH TO SUBSCRIBE TO:

Share Margin Financing Online Trading Discretionary Financing ^{Note 2}
 Intraday Short Selling ^{Note 3} Others _____

A. INDIVIDUAL / CORPORATE PARTICULARS

Title _____ Name of Applicant * _____ * as per NRIC / Passport / Company or Business Registration / Other ID

ID No.* _____ Old IC No.* _____ E-Mail Address _____ This email address will be registered for electronic contracts & monthly statements

Date of Birth / Incorporation _____ Gender Male Female Tel. No. (Mobile) _____ Tel. No. (Home/Office) _____

Nationality / Country of Incorporation Malaysia(n) _____ Country of Birth / Operation Malaysia _____ Resident Status Resident Non-Resident Bumi Status/Ownership Bumi Non-Bumi Non-Resident Controlled Government Controlled

Residential / Business Registered Address As per NRIC / Form 44 As follows: _____ Correspondence Address (If different from Residential / Business Registered Address) _____

A1. FOR INDIVIDUAL APPLICANT ONLY

SPOUSE (Mandatory if Married) / NEXT-OF-KIN

Race Malay Chinese Indian Others _____
Marital Status Single Married Others _____
No. of Dependent(s) _____
Occupation Employed Self-Employed Others ^{Note 5} _____
Employer/Business Name _____
Nature of Business _____
Designation _____
Tel. _____ Country of Employment _____

Name of Spouse / Next-of-Kin * _____
ID No. * _____ Tel. _____
Relationship with the Applicant Spouse Others _____
Occupation Employed Self-Employed Others _____
Employer/Business Name _____
Nature of Business _____
Designation _____ Tel. _____
Year(s) in Employment of the Applicant _____

FINANCIAL & INVESTMENT (INDIVIDUAL APPLICANT)

[#] May select more than one

Estimated Net Worth	RM	Investment Experience in Equity	year(s)	Investment Experience in Derivatives	year(s)
Gross Annual Income	<input type="checkbox"/> Below RM24,000 <input type="checkbox"/> RM24,001-RM60,000 <input type="checkbox"/> RM60,001-RM100,000 <input type="checkbox"/> RM100,001-RM300,000 <input type="checkbox"/> RM300,001-RM500,000 <input type="checkbox"/> RM500,001-RM1 mil <input type="checkbox"/> Above RM1 mil	Source of Funds #	<input type="checkbox"/> Salary / Commission <input type="checkbox"/> Investment Income <input type="checkbox"/> Business Income <input type="checkbox"/> Rental Income <input type="checkbox"/> Interest Income <input type="checkbox"/> Others	Source of Wealth #	<input type="checkbox"/> Savings <input type="checkbox"/> Pension Fund / EPF <input type="checkbox"/> Sale of Real Estate <input type="checkbox"/> Inheritance <input type="checkbox"/> Gift <input type="checkbox"/> Others
Investment Objective #	<input type="checkbox"/> Capital Appreciation <input type="checkbox"/> Dividend <input type="checkbox"/> Speculation <input type="checkbox"/> Hedging <input type="checkbox"/> Arbitrage <input type="checkbox"/> Others				

Note 1: Unit Trust / Private Retirement Scheme offered by Affin Hwang Asset Management Berhad or ALLMAN Asset Management Sdn Bhd.

Note 2: Discretionary Financing ("DF") allows the eligible Applicant to extend the settlement due date of eligible purchase contracts up to the seventh market day following the contract date ("T+7").

Note 3: Intraday Short Selling ("IDSS") allows eligible investors to sell a list of eligible securities approved by Bursa Malaysia Securities Berhad without owning the securities, but must buy back the securities within the same trading day. Approved investors shall comply strictly the IDSS rules and conditions when undertaking IDSS such as cut-off time to execute IDSS and buy back to square off the IDSS short position. Applicant must read and understand clearly the risk of undertaking IDSS trading as stated in the IDSS Risk Disclosure Statement posted on <https://invest.affinhwang.com>.

Note 4: "RESIDENT" as defined under the Financial Services Act 2013 means: (For Individual) A citizen of Malaysia, excluding a citizen who has obtained permanent resident status in a country or territory outside Malaysia **and** is residing outside Malaysia; or A non-citizen of Malaysia who has obtained permanent resident status in Malaysia **and** is ordinarily residing in Malaysia. (For Corporate) A body corporate incorporated or established, or registered with or approved by any authority, in Malaysia; or an unincorporated body registered with or approved by any authority in Malaysia.

Note 5: If you are a **retiree** or **not working**, please provide your last Employer/Business Name, Designation, Estimated Net Worth, Source of Funds, Source of Wealth in the fields above and year of last employment herein. Year of Last Employment (to be declared by Applicant who is a retiree / not working) _____

A2. FOR CORPORATE APPLICANT ONLY

May select more than one

Nature of Business			Authorised Share Capital	RM	Paid Up Capital	RM
Latest Annual Sales / Turnover	RM	Total Net Assets	RM	No. of Full-time Employees		
Source of Funds #	<input type="checkbox"/> Business Income	<input type="checkbox"/> Investment / Dividend Income	<input type="checkbox"/> Rental Income	<input type="checkbox"/> Interest Income	<input type="checkbox"/> Loan	<input type="checkbox"/> Others
Source of Wealth #	<input type="checkbox"/> Business Retained Profit	<input type="checkbox"/> Sale of Real Estate	<input type="checkbox"/> Disposal of Investment	<input type="checkbox"/> Others		
Investment Objective #	<input type="checkbox"/> Capital Appreciation	<input type="checkbox"/> Dividend	<input type="checkbox"/> Speculation	<input type="checkbox"/> Hedging	<input type="checkbox"/> Arbitrage	<input type="checkbox"/> Others

B. STANDING INSTRUCTION OF PAYMENT

All sale proceeds, contra gain, excess refund and/or dividend received will be credited into your Trust Account (for Equity trading account and Share Margin Financing account) or Client's Segregated Account (for Derivatives trading account) on due date.

For withdrawal of money from Trust Account or Client's Segregated Account, the payment to you shall be by way of crediting the money into your following bank account:

Name of the bank		Joint bank account?	<input type="checkbox"/> Yes* <input type="checkbox"/> No
Bank account no.		* Please provide a copy of document showing the bank account is registered under the Applicant's name	

C. SHARE MARGIN FINANCING

Financing Amount Applied for	RM	Purpose of Financing	<input type="checkbox"/> Margin <input type="checkbox"/> ESOS <input type="checkbox"/> IPO <input type="checkbox"/> Others
Initial Collateral to be pledged	Share Collateral	RM	Cash Collateral
			RM
List of stocks pledged			
Estimated Assets Value	Property	Shares	Unit Trust
	RM	RM	RM
	Others	RM	

D. DISCLOSURE

1 Politically Exposed Person

Are/Were you (i) entrusted with any prominent public function such as head of state or government, senior politicians, senior government officials, judicial or military officials, senior executive of state owned corporations and important political party officials in Malaysia or any other country; or (ii) entrusted with a prominent function by an international organisation which refers to members of senior management e.g. directors, deputy directors and members of the board or equivalent function ("PEP") or (iii) having any business relationship with a PEP or a PEP's family member/close associate ^{Note 6} ?

Yes. Name and relationship: _____ No

Country of the PEP _____

Position Held _____

2 Domestic Ringgit Borrowing (Applicable to Applicant who is resident of Malaysia for Investment in Foreign Currency Asset)

2.1 Do you have Domestic Ringgit Borrowing ^{Note 7} ? Yes No

2.2 If you have Domestic Ringgit Borrowing, you shall be subject to the limit of converting Ringgit to foreign currency per calendar year ^{Note 8}, and further declaration as per item 5 of Section F of this form. The limit applies to all the Ringgit conversions undertaken by you including currency exchange converted outside the Bank. The Bank may suspend your trading account(s) from trading in securities and/or trade in derivatives quoted in foreign currency without further notice given to you should the accumulated conversion amount in the Bank's record exceed the annual limit.

3 Are you related ^{Note 9} to any director, staff or Dealer's Representative or Futures Broker's Representative of the Bank?

Yes. Name and relationship: _____ No

4 Are you a guarantor of any account held in the Bank, subsidiary(ies) of the Bank, Affin Bank Berhad or Affin Islamic Bank Berhad?

Yes. Account Type: _____ No

Name of the company: _____

5 Do you have any related person ^{Note 9} who maintains account with the Bank?

Yes. Name and relationship: _____ No

Note 6: "Family member" is defined as the PEP's parent (includes step-parent), spouse, child (includes adopted and step-child) and sibling (includes adopted, step and half sibling) and spouse's parent. "Close associate" is defined as closely connected to a PEP, either socially or professionally and may include PEP's business partner or associate, extended family member such as relative (biological and non-biological relationship), close friend and financially dependent individual (e.g. driver, bodyguard, secretary).

Note 7: "Domestic Ringgit Borrowing" and "Borrowing" are defined under the Notices on Foreign Exchange Administration Rules ("FEA Rules") issued by Bank Negara Malaysia ("BNM"). Refer to http://www.bnm.gov.my/files/notices/Definition_and_declaration.pdf for the details.

Note 8: The Ringgit conversion limit for resident individual is RM1 million per calendar year whereas for resident entity, RM50 million per calendar year. Visit http://www.bnm.gov.my/files/notices/Notice_3.pdf for more details. **Note 9:** Related person includes spouse, child, parent and sibling.

E. FOREIGN ACCOUNT TAX COMPLIANCE ACT ("FATCA") & COMMON REPORTING STANDARD ("CRS") SELF-CERTIFICATION

This section is intended to collect certain information pursuant to the requirements of FATCA of the United States of America ("U.S.") and Organisation for Economic Co-operation and Development ("OECD"). For more information on FATCA, please visit <http://www.irs.gov>. For more information on CRS, please visit <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/>

Please complete the relevant sections below and provide any additional information as may be required. In certain circumstances, there may be a requirement for the Bank to share this information with relevant authorities.

- 1 Are you a U.S. Person for tax purpose under U.S. IRS regulation? Yes. Please complete form W-9 issued by IRS No
- 2 Are you a tax resident in Malaysia? Yes No
- 3 Do you have tax residency outside Malaysia? Yes. Please state the country and Tax Identification No. ("TIN") No
- Country TIN Reason if without TIN

CORPORATE APPLICANT to complete this section in addition to the declarations above

- 4 We understand the FATCA requirements and declare that we are a/an: Please provide Global Intermediary Identification Number, where applicable
- Foreign Financial Institution: _____ Active Non-Financial Foreign Entity (NFFE) Passive NFFE ^{Note 10}
- Type of Foreign Financial Institutional (refer <https://www.irs.gov/pub/irs-pdf/fw8ben.pdf> for details)

- 5 We understand the CRS requirements and declare that we are a/an:
- Financial Institution: _____ Type of Financial Institutional as per OECD
- Active Non-Financial Entity (NFE): _____ Passive NFE ^{Note 10}

Note 10: Please indicate the name(s) of Controlling Person(s) in the following section and each Controlling Person shall complete FATCA & CRS Self Certification for Controlling Person in separate sheet. Please visit website <http://www.hasil.gov.my> for more details. (* as per NRIC / Passport / Company or Business Registration / Other ID)

Name 1* Name 2*

F. DECLARATION & AGREEMENT BY APPLICANT

I/We hereby declare that I/we have read and fully understood the terms and conditions for securities and derivatives trading, declarations, guidelines, supplementary terms and conditions as posted at <https://invest.affinhwang.com> (which shall include any amendment, variation, modification, supplement, substitution and replacement made by the Bank from time to time), along with this Account Application Form, collectively referred to as "Agreement", as prescribed below. I/We confirm that I/we shall be bound by the terms of the Agreement, where applicable.

Terms and Conditions Applicable to Applicant (PART I AND PART II of the Agreement as posted at <https://invest.affinhwang.com>)

PART I: Terms and Conditions for Securities Trading **PART II:** Terms and Conditions for Derivatives Trading

Declaration by Applicant (PART IV(A) of the Agreement as posted at <https://invest.affinhwang.com>) (applicable to all applicants, unless otherwise stated)

- | | |
|--|---|
| 1 Acceptance of Terms and Conditions for Securities and Derivatives Trading | 8 Declaration pursuant to the Share Margin Financing (applicable to Securities trading applicants) |
| 2 Appointment and Authorisation | 9 Declaration pursuant to Contra Guidelines (applicable to Securities trading applicants) |
| 3 Consent and Authorisation Pursuant to the Delivery of Contract Notes and Other Statements through Electronic | 10 Declaration pursuant to the Structured Warrants Risk Disclosure Statement (applicable to Securities trading applicants) |
| 4 Authorisation pursuant to Sections 113 and 118 of the Capital Markets and Services Act 2007 | 11 Declaration pursuant to the Intraday Short Selling Risk Disclosure Statement and Terms and Conditions of Securities Borrowing for IDSS (applicable to Securities trading applicants) |
| 5 Declaration pursuant to the Foreign Exchange Administration Rules issued by Bank Negara Malaysia, Foreign Account Tax Compliance Act and Common Reporting Standard | 12 Declaration pursuant to the Discretionary Financing (applicable to Securities trading applicants) |
| 6 Declaration pursuant to the Privacy Notice, PDPA & Consent for Disclosure of Applicant's Information | 13 Declaration pursuant to the Risk Associated with Trading in Foreign Securities (applicable to Securities trading applicants) |
| 7 Declaration pursuant to the Online Trading | 14 Declaration pursuant to the Futures and Options Contracts (applicable to Derivatives trading applicants) |

I/We hereby appoint to act as my/our Dealer's Representative/Futures Broker's Representative ("DR/FBR") and/or such other DR/FBR (and/or other Registered Representatives) whom the Applicant's DR/FBR or the Bank deems fit.

Signature of Applicant (Individual)
Date:

Authorised Signatory(ies) (Corporate)
Name:
NRIC / Passport No.:
Date

Signature of witness *
Date:

Please affix company's common seal/rubber stamp

* Witness must be the assigned DR/FBR/ Authorised Officer of the Bank / Notary Public / Advocate & Solicitor

Documents Required to be Submitted (Individual Applicant)

Student applicant shall open CMA/STA account. Letter of Guarantee is needed if opening RTA account for student

- NRIC or Passport or Authority Card CDS Account Opening form – 2 sets if the Applicants has CDS account with other broker where the Registered Address is different from the NRIC/Passport/Authority Card Latest EA Form / Income Tax Returns Form / Latest 3 Months Pay Slips / Latest Bank Statement / Document showing employment or occupation / Documents verifying source of fund

Documents Required to be Submitted (Individual Applicant for Share Margin Financing)

- NRIC or Passport or Authority Card Income Tax Returns Form. e.g. Form B or B-E (Also applicable for guarantor, if any) Latest EA Form / Latest 3 Months Pay Slips (Also applicable for guarantor, if any) Latest 3 months bank statements (Also applicable for guarantor, if any)
- Declaration of Non-infringement and Connected Party Margin Statement from other bank/broker (for redemption purpose)

Note: Copies of the documents submitted must be certified as true originals by the assigned DR/FBR/authorised officer of the Bank/Notary Public/Advocate & Solicitor

Documents Required to be Submitted (Corporate Applicant)

- CDS Account Opening form
- Certificate of Incorporation (Form 9) & Certificate of Incorporation on Change of Name of Company (Form 13) where relevant (2 copies each)
- ID (NRIC/Passport) of shareholders, directors, partners, office bearers and authorised signatories
- Resolution of Board of Directors / Investment Panel to open the Account & person(s) authorised to open, operate the Account, and for the use of Online Trading (if applicable) in the prescribed format (2 copies)
- Memorandum & Articles of Association
- Return of Allotment of Shares (Form 24)
- Notice of Situation of Registered Office and of Office Hours and Particulars of Changes (Form 44)
- Return giving Particulars in Register of Directors, Managers and Secretaries and Changes of Particulars (Form 49)
- Latest Annual Returns
- Latest audited financial statements
- Latest 3 months bank statements
- AML Questionnaire for foreign Financial Institution

Documents Required to be Submitted (Co-Operative / Society Applicant)

- CDS Account Opening form
- Certificate of Registration, and Certificate of Change of Registration, where applicable
- Minutes of Committee or General Meeting for account opening and trading with the Bank; and using Online Trading (if applicable) in the prescribed format
- Rules or Regulations or Constitution
- List of latest Office Bearers and Committee Members
- Latest audited financial statements
- Latest 3 months bank statements

Note: Corporate documents shall be certified true copies by its Company Secretary/director/Notary Public. For foreign incorporated companies, equivalent of legal documents to support evidence of ownership, company name, registration number, registered address, place of incorporation and financial statement. Where a supporting document is in a language other than Bahasa Malaysia or English, it must be accompanied with an English translated copy. Both copies of the documents must be certified as true copies.

G. DECLARATION / RECOMMENDATION BY DEALER'S REPRESENTATIVE / FUTURES BROKER'S REPRESENTATIVE

KNOW YOUR CLIENT

- 1 The Applicant is my relative my friend a walk-in client introduced by a friend/relative/client others
- 2 I have known the Applicant for < 1 year 1-5 years 5-10 years >10 years
- 3 I have sighted the original NRIC/Passport of the Applicant Yes No
- 4 Previous trading experience with the Applicant Yes No
- 5 The Applicant has sound financial viability and credibility Yes No
- 6 The Applicant is involved in Illegal Financial/Investment Scheme, Mule Account, Digital Currency Business Yes No
- 7 The Applicant is a PEP Yes No
- If the answer to G6 or G7 is 'Yes', please provide more information

RECOMMENDATION

- 8 Type of trading account recommended for the Applicant RTA STA CMA Derivatives Others
- 9 Trading Limit recommended **RM**
- 10 Straight-Through-Process for Applicant to send orders straight to Bursa Securities without passing through me No Yes
- 11 Recommend to have DF, if the Applicant applies for DF Yes No
- 12 Recommend to trade IDSS, if the Applicant applies for IDSS Yes No

Proposed Brokerage for Equity Account			
	Up to RM100,000	Above RM100,000	Minimum Brokerage
	<input type="checkbox"/> As per my default rate		
Online	%	%	RM
Cash Upfront	%	%	RM
Approved by			

Proposed Brokerage for Derivatives Products			
Type of Product	Outright (per lot)	Intraday (per lot)	Spread (per lot)
Approved by			

DECLARATION

- I have been appointed and authorised by the Applicant to act as the Applicant's DR/FBR. Having assessed the Applicant's financial position, experience in trading and investment objectives, I hereby request the Bank to approve this application and to authorise me to act as the DR/FBR for the Applicant. I hereby confirm that the information given herein by the Applicant is true and correct.
- As a Commissioned DR/FBR, I hereby agree to indemnify the Bank against any losses, damages, debts, interest, charges and/or all other costs and expenses incurred or suffered by the Bank in relation to or in connection with the Account and/or CDS Account of the Applicant or in relation to any services subscribed by the Applicant in relation thereto.
- I declare that I have explained to the Applicant and the Applicant has understood the terms and conditions herein, the contents of the Agreement (where applicable) and the risks and obligations associated with the trading in securities and/or derivatives contracts and the usage of (including the terms for) the Online Trading (where applicable).
- I hereby accept and acknowledge that I am responsible for taking and executing the instructions of the Applicant and I am also responsible for ensuring that any execution related advice that may be provided are, where relevant, suitable for such Applicant taking into the account the financial background, investment experience and investment objectives of such Applicant. Any representation, trading advice, recommendation or information furnished by me shall be regarded as having been made in my own personal capacity.

Signature

DR/FBR Name and Code:

Date:

FOR OFFICE USE ONLY

Received By	Date	Limit Approved	RM	Date
Signature Verified By	Date	IDSS Approved By		Date
Reviewed By	Date	Account Approved By		Date
Processed By	Date	CLCS Reviewed By		Date

ONLINE TRADING REGISTRATION PROCESSING

Client Name	Client Code	DR Code	Branch
Online Service	Submitted to PG by		Date
Client User ID	Processed by (Online Trading)		Date
Activated By			Date