

INSTRUCTIONS TO COMPLETE THIS FORM

1. Please read and understand the terms and conditions, guidelines and any supplementary terms and conditions as posted at <https://einvest.affinhwang.com> carefully before completing the form.
2. Please complete this form in **BLOCK LETTERS** and tick (✓) at the applicable boxes (☐).
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 Affin Hwang Investment Bank Berhad ("Bank")'s Privacy Notice as posted at <https://www.affinhwang.com/en/privacy-notice>.

TYPE OF APPLICATION (compulsory to complete Section "G", "H" & whichever applicable sections)

New Application Updating; Client Code: _____ OR Updating; All trading accounts maintained with the Bank, including Margin account (if any)

TYPE OF ACCOUNT AND PRODUCTS / SERVICES

	<input type="checkbox"/> Securities	<input type="checkbox"/> Derivatives (Futures)	<input type="checkbox"/> Islamic Securities
Online Trading (Local)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Online Trading (Global)	<input type="checkbox"/>		
Share Margin Financing	<input type="checkbox"/>		
Discretionary Financing ("DF")	<input type="checkbox"/>		
Intraday Short Selling ("IDSS") ^{Note 1}	<input type="checkbox"/>		
LEAP Market	<input type="checkbox"/>		
Leveraged and Inverse ETFs	<input type="checkbox"/>	<i>(mandatory to complete declaration form as a qualified Sophisticated Investor & risk disclosure statement)</i>	
Other(s) (please specify):			

Note 1: 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. Applicant must read and understand clearly the risk of undertaking IDSS trading as stated in the IDSS Risk Disclosure Statement posted on <https://einvest.affinhwang.com>.

A. INDIVIDUAL / CORPORATE PARTICULARS

Title Mr Ms Other (please specify) _____

Name* (*as per NRIC / Passport / Company or Business Registration / Other ID)

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Identification No. / Registration No.* Old IC No. / Old Registration No.*

Date of Birth / Incorporation / / Nationality / Country of Incorporation Malaysia(n) Other _____

Country of Birth / Operation Malaysia Other _____ Resident Status ^{Note 2} Resident Non-Resident

Bumi Status / Ownership Bumi Non-Bumi Non-Resident Controlled Government Controlled

Residential / Registered Address (As per NRIC / Business Registration)

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Correspondence Address (If differs from the above)

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Home / Office Tel. No. Mobile No.

E-Mail Address *(This email address will be used during my/our dealings with the Bank where applicable, such as for electronic contracts & monthly statements and shall supersede all other email address(es) provided earlier)*

Note 2: "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.

D. STANDING INSTRUCTION OF PAYMENTName of the bank _____ Joint bank account? Yes No

Account Name (full name for joint account) _____

Account Number _____

1. Please provide a copy of document showing the bank account is registered under the Applicant's name
 2. This bank account provided above shall supersede all other bank account(s) provided earlier whether in writing or in any other modes of communication and/or in any other forms of the Bank.

Payment of all sale proceeds, contra gains, excess refund and / or dividend received (Tick (√) whichever is applicable):

- Auto Trust – to be credited into Trust Account or Client's Segregated Account on due date
 Auto e-Payment – any of the above payment (including Trust Withdrawal) shall be credited into the above bank account

E. SHARE MARGIN FINANCING (for New Application only)Financing Amount Applied **RM** _____Purpose of Financing Margin ESOS IPO Other(s) _____Initial Collateral to be pledged Estimated Value of Share Collateral **RM** _____ Cash Collateral **RM** _____

List of Stocks to be Pledged _____

(please attach the share collateral form(s) if insufficient space)

F. DISCLOSURE**1 Politically Exposed Person**

1.1 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) a PEP's family member / close associate ^{Note 5?} Yes (please specify) No

Name Relationship Country of the PEP Position

1.2 Do / Did you have any business relationship with a PEP?

 Yes (please specify) No

Name Relationship Country of the PEP Position

_____**2 Domestic Ringgit Borrowing (Applicable to Applicant who is a resident of Malaysia for Investment in Foreign Currency Asset)**2.1 (a) Do you have Domestic Ringgit Borrowing ("DRB") ^{Note 6?} Yes No(b) Do you have investment in Foreign Currency Asset ("FCA") ^{Note 6?} Yes (please specify) No

(i) State the type of investment in FCA for the current calendar year: _____ ; and

(ii) State the invested amount in FCA converted from Ringgit for the current calendar year: **RM** _____

2.2 If you have DRB, you shall be subjected to the limit of converting Ringgit to foreign currency per calendar year ^{Note 7} as per the Foreign Exchange Policy Notices. 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 applicable prescribed limit.

3 Are you related ^{Note 8} to any director, staff or Dealer's Representative or Futures Broker's Representative of the Bank? Yes (please specify) No

Name Relationship

_____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 (please specify) No

Account Type Name of the entity

_____5 Do you have any related person ^{Note 8} who maintains an account with the Bank? Yes (please specify) No

Name Relationship

Note 5: "Family member" is defined as an individual who is related to a PEP either directly (consanguinity) or through marriage, includes parent, sibling, spouse, child and spouse's parent, for both biological and non-biological relationship.

"Close associate" is defined as an individual who is closely connected to a PEP, either socially or professionally and may include PEP's extended family member such as relative (biological and non-biological relationship), financially dependent individual (e.g. driver, bodyguard, secretary), business partner or associate, prominent member of the same organisation as the PEP, individual working closely with the PEP (e.g. work colleague) and close friend.

Note 6: "Domestic Ringgit Borrowing" and "Borrowing" are defined under the Foreign Exchange Policy Notices ("FEP Notices") issued by Bank Negara Malaysia ("BNM"). Refer to <https://www.bnm.gov.my/documents/20124/60360/Preamble+and+Interpretation.pdf> for the details.

Note 7: The Ringgit conversion limit for resident individual is RM1 million per calendar year whereas for resident entity, RM50 million per calendar year as per Clause 2 (c) and 4 (c) of FEP Notice 3. Refer to <https://www.bnm.gov.my/documents/20124/60360/Notice+3+Investment+in+Foreign+Currency+Asset.pdf> for more details.

Note 8: Related person includes spouse, child, parent and sibling (for individual clients), director and any controlling person (for corporate clients).

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

This section is intended to collect 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 specify) No
- Country _____ Tax Identification No. ("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 _____ Type of Foreign Financial Institutional (refer <https://www.irs.gov/pub/irs-pdf/tw8bene.pdf> for details)
- Active Non-Financial Foreign Entity (NFFE) Passive NFFE Note 9
- 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): (select one of the follows) Passive NFE Note 9
- (a) a public listed entity (PLC) (c) a Government Entity, an International Organisation, a Central Bank or an Entity wholly owned by one or more of the foregoing
- (b) a related entity of PLC (d) other than (a) to (c)

Note 9: 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 a separate sheet. Please visit website <http://www.hasil.gov.my> for more details. (* as per NRIC / Passport / Other ID)

Name 1* _____ Name 2* _____

H. DECLARATION & AGREEMENT BY APPLICANT

I/We hereby declare that I/we have read and fully understood the terms and conditions for securities, derivatives and Islamic securities 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 / Updating 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, PART II AND PART III 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 **PART III** Terms and Conditions for Islamic Securities Trading

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

PART IV (A) – SECURITIES AND DERIVATIVES TRADING

- Acceptance of Terms and Conditions
- Appointment and Authorisation
- Consent and Authorisation pursuant to Delivery of Contract Notes and other Documents through Electronic
- Authorisation pursuant to Sections 113 and 118 of the Capital Markets and Services Act 2007 ("CMSA")
- Declaration pursuant to the Foreign Exchange Policy Notices ("FEP Notices") issued by BNM, Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standard ("CRS")
- Declaration pursuant to the Privacy Notice, Personal Data Protection Act 2010 ("PDPA") & Consent for Disclosure of Applicant's Information
(Note: If you are an existing client, your latest written instruction on opt in / out received by the Bank shall prevail (if any))
- Declaration pursuant to the Online Trading
- Declaration pursuant to the Share Margin Financing (applicable to Securities trading applicants)
- Declaration pursuant to the Contra Guidelines (applicable to Securities trading applicants)
- Declaration pursuant to the Structured Warrants Risk Disclosure Statement (applicable to Securities trading applicants)
- Declaration pursuant to the Intraday Short Selling ("IDSS") Risk Disclosure Statement and Terms and Conditions of Securities Borrowing for IDSS (applicable to Securities trading applicants)
- Declaration pursuant to the Discretionary Financing (applicable to Securities trading applicants)
- Declaration pursuant to the Risk Associated with Trading in Foreign Securities (applicable to Securities trading applicants)
- Declaration pursuant to the Futures and Options Contracts (applicable to Derivatives trading applicants)

PART IV (B) - ISLAMIC SECURITIES TRADING

- Acceptance of Terms and Conditions
- Appointment and Authorisation
- Consent and Authorisation pursuant to the Delivery of Contract Notes and other Documents through Electronic
- Consent pursuant to Sections 113 of the Capital Markets and Services Act 2007 ("CMSA")
- Declaration pursuant to the Foreign Exchange Policy Notices ("FEP Notices") issued by BNM, Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standard ("CRS")
- Declaration pursuant to the Privacy Notice, Personal Data Protection Act 2010 ("PDPA") & Consent for Disclosure of Applicant's Information
(Note: If you are an existing client, your latest written instruction on opt in / out received by the Bank shall prevail (if any))
- Declaration pursuant to the Online Trading
- Declaration pursuant to the Contra Guidelines
- Declaration pursuant to the Risk Associated with Trading in Foreign Securities

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

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 Representative) whom the Applicant's DR/FBR or the Bank deems fit.

For new application only to appoint Dealer's Representative / Futures Broker's Representative.

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 / Marketing Representative / Authorised Officer of the Bank or Affin Bank Berhad or Affin Islamic Bank Berhad / Notary Public / Advocate & Solicitor

I. 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 Other _____
- 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 / Investments Scheme, Mule Account, Digital Currency Business Yes No
- 7 The Applicant is a PEP Yes No *If the answer to 6 or 7 is 'Yes', please provide more information:*

RECOMMENDATION

- 8 Type of trading account recommended for the Applicant RTA STA CMA Derivatives Islamic Securities Other _____
- 9 Trading Limit recommended **RM** _____
- 10 Straight-Through-Process for Applicant to send orders straight to Bursa Securities without passing through me Yes, Maximum Value Per Order: **RM** _____ No
- 11 Recommend to allow 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		
Offline	%	%	RM
Online	%	%	RM
Cash Upfront	%	%	RM
Cancel Intraday: Yes / No			
Approved by			

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

DECLARATION

- 1 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 and myself is true and correct.
- 2 As a Commissioned DR/FBR, I hereby agree to indemnify the Bank against any losses, damages, debts, 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.
- 3 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).

DECLARATION (cont.)

4 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: _____

CHECKLIST- DOCUMENTS REQUIRED

Individual Applicant		Individual Applicant for Share Margin Financing	
NRIC or Passport or Authority Card		NRIC or Passport or Authority Card	
CDS Account Opening form – 2 sets if the Applicant has CDS account with other broker where the Registered Address is different from the NRIC / Passport / Authority Card		Income Tax Return Forms / Form B or B-E / Latest EA Form / Latest 3 Months Pay Slips	(Also applicable for guarantor, if any)
		Latest 3 Months Bank Statements	
Latest EA Form / Income Tax Returns Form / Latest 3 Months Pay Slips / Latest Bank Statement / Document showing employment or occupation / Documents verifying source of funds		Margin Statement from other bank / broker (for redemption purpose)	
Note:	Student applicant shall open CMA/STA. Letter of Guarantee is needed for student to open RTA.		
Note:	Copies of the documents submitted must be certified as true originals by the assigned DR / FBR / Marketing Representative / Authorised Officer of the Bank or Affin Bank Berhad or Affin Islamic Bank Berhad / Notary Public / Advocate & Solicitor		
Corporate Applicant			
CDS Account Opening form		AML Questionnaire for foreign Financial Institution	
ID (NRIC/Passport) of shareholders, directors, partners, office bearers and authorised signatories		Latest audited financial statements	
Board Resolution / Investment Panel to open the Account & person(s) authorised to open, operate and close the Account, and for the use of Online Trading (if applicable) in the prescribed format		Latest 3 months bank statements	
		Customer Due Diligence on Ultimate Beneficial Owner	
Incorporated under the Companies Act 1965		Incorporated under the Companies Act 2016	
Memorandum & Articles of Association / Constitution		Memorandum & Articles of Association / Constitution <u>OR</u> Confirmation letter to the Bank (if no M&A / Constitution)	
Form 8 or 9 - Certificate of Incorporation of Public / Private Company		Section 17 - Certificate of incorporation	
Form 13 – Certificate of Incorporation on Change of Name of Company (if applicable)		Section 28 - Change of name (if applicable)	
Form 24 - Return of Allotment of Shares		Section 78 - Return of allotment	
Form 44 - Notice of Situation of Registered Office and of Office Hours and Particulars of Changes		Section 46(3) – Notification for change in the registered address	
Form 49 - Return giving Particulars in Register of Directors, Managers and Secretaries and Changes of Particulars		Sections 57 & 58 - Register of directors, managers and secretaries, and any changes thereof	
Latest Annual Return		Section 68 – Annual return (latest)	
Co-Operative / Society Applicant			
CDS Account Opening form		List of latest Office Bearers and Committee Members	
Certificate of Registration, and Certificate of Change of Registration, where applicable		Latest audited financial statements	
Minutes of Committee or General Meeting for account opening and trading with the Bank; and using Online Trading (if applicable) in the prescribed format		Latest 3 months bank statements	
		Rules or Regulations or Constitution	
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.			

FOR OFFICE USE ONLY

Received By	Date	Limit Approved	RM / LOT (s)	Date
Signature Verified By	Date	IDSS Approved By		Date
Reviewed By	Date	Account Approved By		Date
Processed By	Date	Reviewed By Compliance Department		Date
Risk Score	Risk Category			

DF SUITABILITY EVALUATION (for Existing Client)

Legal Proceedings	<input type="checkbox"/> No	<input type="checkbox"/> Yes, please state amount: _____	RM	Reviewed By		Date
Account Suspension	<input type="checkbox"/> No	<input type="checkbox"/> Yes, reason: _____		Approved By		Date
Past Conduct of Client	<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Poor			

ONLINE TRADING REGISTRATION PROCESSING

Online Service	Client Code	Client User ID	
Processed By	Date	Activated By	Date