

**ACCOUNT APPLICATION FORM
(ISLAMIC SECURITIES)**

Affin Hwang Investment Bank Berhad (14389-U)
www.affinhwang.com

AH/TRD/007/R0319

Branch _____
DR Code _____
Client Code _____
CIF Number _____
CDS Number 068- _____

INSTRUCTIONS TO COMPLETE THIS APPLICATION FORM

- 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.
- Complete all applicable fields on this application form and tick (✓) whichever is applicable.
- Note that usage of correction fluid is not permitted. Any amendments made must be counter-signed by the Applicant.
- 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}

TYPE OF SERVICE YOU WISH TO SUBSCRIBE TO:

Online Trading Others _____

A. INDIVIDUAL / CORPORATE PARTICULARS

Title	Name of Applicant *		* as per NRIC / Passport / Company or Business Registration / Other ID	
<input type="text"/>	<input type="text"/>		<input type="text"/>	
ID No.*	<input type="text"/>	Old IC No.*	<input type="text"/>	
Date of Birth / Incorporation	<input type="text"/>	Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	E-Mail Address <small>This email address will be registered for electronic contracts & monthly statements</small>
Nationality / Country of Incorporation	<input type="checkbox"/> Malaysia(n) <input type="checkbox"/> _____	Country of Birth / Operation	<input type="checkbox"/> Malaysia <input type="checkbox"/> _____	Tel. No. (Mobile) <input type="text"/> Tel. No. (Home/Office) <input type="text"/>
Residential / Business Registered Address	<input type="checkbox"/> As per NRIC / Form 44 <input type="checkbox"/> As follows:	Resident Status	<input type="checkbox"/> Resident <input type="checkbox"/> Non-Resident	Bumi Status/ Ownership
<input type="text"/>	<input type="text"/>			<input type="checkbox"/> Bumi <input type="checkbox"/> Non-Bumi <input type="checkbox"/> Non-Resident Controlled <input type="checkbox"/> Government Controlled
				Correspondence Address (If different from Residential / Business Registered Address)
				<input type="text"/>
				<input type="text"/>
				<input type="text"/>

A1. FOR INDIVIDUAL APPLICANT ONLY

Race Malay Chinese Indian Others _____

Marital Status Single Married Others _____

No. of Dependent(s)

Occupation Employed Self-Employed Others ^{Note 3}

Employer/Business Name

Nature of Business

Designation

Tel. Country of Employment

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

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 <input type="text"/>	Investment Experience in Equity	<input type="text"/> 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"/> Bank Hibah / Profit <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 AILMAN Asset Management Sdn Bhd.

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.

Note 3: 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"/> Bank Hibah / Profit	<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 on due date.

For withdrawal of money from Trust 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? Yes* No

Bank account no.

** Please provide a copy of document showing the Islamic bank account is registered under the Applicant's name*

C. 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 4} ?

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 5} ? 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 6}, and further declaration as per item 5 of Section E 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 7} 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 7} who maintains account with the Bank? Yes. Name and relationship: _____ No

Note 4: "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 5: "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 6: 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 7:** Related person includes spouse, child, parent and sibling.

D. 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 8}
 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 8}

Note 8: 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*

E. DECLARATION & AGREEMENT BY APPLICANT

I/We hereby declare that I/we have read and fully understood the terms and conditions for Islamic Securities Trading Account 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 for Islamic Securities Trading Account Applicable to Applicant (PART III of the Agreement as posted at <https://invest.affinhwang.com>)

Declaration by Applicant (PART IV(B) of the Agreement as posted at <https://invest.affinhwang.com>)

- | | |
|--|--|
| 1 Acceptance of Terms and Conditions | 6 Declaration pursuant to the Privacy Notice, PDPA & Consent for Disclosure of Applicant's Information |
| 2 Appointment and Authorisation | 7 Declaration pursuant to the Online Trading |
| 3 Consent and Authorisation Pursuant to the Delivery of Contract Notes and Other Statements through Electronic | 8 Declaration pursuant to Contra Guidelines |
| 4 Consent pursuant to Section 113 of the Capital Markets and Services Act 2007 | 9 Declaration pursuant to the Risk Associated with Trading in Foreign Securities |
| 5 Declaration pursuant to the Foreign Exchange Administration Rules issued by Bank Negara Malaysia, Foreign Account Tax Compliance Act and Common Reporting Standard | |

I/We hereby appoint to act as my/our Dealer's Representative ("DR") and/or such other DR (and/or other Registered Representatives) whom the Applicant's DR 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/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

- | | | |
|---|--|--|
| <input type="checkbox"/> NRIC or Passport or Authority Card | <input type="checkbox"/> 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 | <input type="checkbox"/> 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 |
|---|--|--|

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

Documents Required to be Submitted (Corporate Applicant)

- | | | | |
|---|---|---|---|
| <input type="checkbox"/> CDS Account Opening form | <input type="checkbox"/> Certificate of Incorporation (Form 9) & Certificate of Incorporation on Change of Name of Company (Form 13) where relevant (2 copies each) | <input type="checkbox"/> ID (NRIC/Passport) of shareholders, directors, partners, office bearers and authorised signatories | <input type="checkbox"/> 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) |
| <input type="checkbox"/> Memorandum & Articles of Association | <input type="checkbox"/> Return of Allotment of Shares (Form 24) | <input type="checkbox"/> Notice of Situation of Registered Office and of Office Hours and Particulars of Changes (Form 44) | <input type="checkbox"/> Return giving Particulars in Register of Directors, Managers and Secretaries and Changes of Particulars (Form 49) |
| <input type="checkbox"/> Latest Annual Returns | <input type="checkbox"/> Latest audited financial statements | <input type="checkbox"/> Latest 3 months bank statements | <input type="checkbox"/> AML Questionnaire for foreign Financial Institution |

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

- | | | |
|---|---|---|
| <input type="checkbox"/> CDS Account Opening form | <input type="checkbox"/> Certificate of Registration, and Certificate of Change of Registration, where applicable | <input type="checkbox"/> Minutes of Committee or General Meeting for account opening and trading with the Bank; and using Online Trading (if applicable) in the prescribed format |
| <input type="checkbox"/> Rules or Regulations or Constitution | <input type="checkbox"/> List of latest Office Bearers and Committee Members | <input type="checkbox"/> Latest audited financial statements <input type="checkbox"/> 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.

F. DECLARATION / RECOMMENDATION BY DEALER'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 < 1year 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 F6 or F7 is 'Yes', please provide more information

RECOMMENDATION

8 Straight-Through-Process for Applicant to send orders straight to Bursa Securities without passing through me No Yes

9 Trading Limit recommended

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

DECLARATION

- I have been appointed and authorised by the Applicant to act as the Applicant's DR. 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 for the Applicant. I hereby confirm that the information given herein by the Applicant is true and correct.
- As a Commissioned DR, I hereby agree to indemnify the Bank against any losses, damages, debts, compensation, 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 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 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 Name and Code:

Date:

FOR OFFICE USE ONLY

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