AFFIN HWANG INVESTMENT BANK

UPDATING FORM

Affin Hwang Investment Bank Berhad 197301000792 (14389-U)
www.affinhwang.com

AH/TRD/003/R06/22

Branch
DR/FBR Code
Client Code
CIF Number

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://einvest.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.

APPLICATION TO UPDATE PARTICULARS FOR THE FOLLOWING TRADING ACCOUNT(S):

☐ **Client Code** _____ ☐ **All trading accounts maintained with the Bank, including Margin Account (if any)**

A. PLEASE COMPLETE THE FOLLOWING INFORMATION:

Name _____ **CDS No.** **068-** _____

New NRIC No. _____ **Old IC/Authority Card/Passport/Registration No.** _____

B. UPDATING OF PARTICULARS

Please complete pertaining to the required changes only. For item with *, please attach supporting document(s)

Title _____

Name* *(Applicant must present in person at the Bank's office with the new NRIC / Authority Card / Passport / Company or Business Registration)* _____

ID / Registration No.* _____

Contacts: **Email 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.

Telephone No. Mobile _____ Home / Office _____

Resident Status *Note 1*
☐ Resident of Malaysia
☐ Non-Resident of Malaysia

Nationality* ☐ Malaysian ☐ Others: _____

Address ☐ Residential ☐ Correspondence ☐ Registered Address *

_____
_____
_____

FOR INDIVIDUAL APPLICANT ONLY *# May select more than one*

Occupation ☐ Employed ☐ Self-Employed ☐ Others _____ *Note2*

Marital Status ☐ Single ☐ Married ☐ Others _____

Employer / Business Name _____ **Nature of Business** _____

Designation _____ **Tel.** _____ **Country of Employment** _____ **Year(s) in Employment** _____

Estimated Net Worth RM _____ **Investment Experience** in Equity _____ year(s) in Derivatives _____ year(s)

Gross Annual Income ☐ Below RM24,000 ☐ RM24,001-RM60,000 ☐ RM60,001-RM100,000 ☐ RM100,001-RM300,000 ☐ RM300,001-RM500,000 ☐ RM500,001-RM1 mil ☐ Above RM1 mil

Source of Funds # ☐ Salary / Commission ☐ Investment Income ☐ Business Income ☐ Rental Income ☐ Interest Income ☐ Others _____

Source of Wealth # ☐ Savings ☐ Pension Fund / EPF ☐ Sale of Real Estate ☐ Inheritance ☐ Gift ☐ Others _____

Note 1: "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 2: 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) _____

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 # ☐ Business Income ☐ Investment / Dividend Income ☐ Rental Income ☐ Interest Income ☐ Loan ☐ Others _____

Source of Wealth # ☐ Business Retained Profit ☐ Sale of Real Estate ☐ Disposal of Investment ☐ Others _____

UPDATE OF OTHER PARTICULARS ***(please specify and attach supporting document(s), where applicable)***

_____

C. UPDATING OF THE DECLARATION ON DOMESTIC RINGGIT BORROWING

"Domestic Ringgit Borrowing" and "Borrowing" are defined under the Foreign Exchange Notices ("FE Notices") issued by Bank Negara Malaysia ("BNM"). Refer to https://www.bnm.gov.my/documents/20124/60360/Preamble+and+Interpretation.pdf for the details.
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 FE Notice 3. Visit this link https://www.bnm.gov.my/documents/20124/60360/Notice+3_Investment+in+Foreign+Currency+Asset.pdf for more details.

☐ I/We have Domestic Ringgit Borrowing

If you have Domestic Ringgit Borrowing, you shall be subject to the limit of converting Ringgit to foreign currency per calendar year, and further declaration as per item 5 of Section D 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.

☐ I/We do not have Domestic Ringgit Borrowing

D. DECLARATION & AGREEMENT BY APPLICANT

I/We solemnly declare that the information given in this form is true and correct and that I/we have not withheld any material facts.
I/We further 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://einvest.affinhwang.com (which shall include any amendment, variation, modification, supplement, substitution and replacement made by the Bank from time to time), along with this 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://einvest.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://einvest.affinhwang.com)
(applicable to all applicants, unless otherwise stated)

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

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

E. DECLARATION & AGREEMENT BY DEALER'S REPRESENTATIVE / FUTURES BROKER'S REPRESENTATIVE

1 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). To the best of my knowledge and belief, all information given by the Applicant is true and correct and the Applicant has not withheld any material facts.

2 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		Processed By		Date	
Signature Verified By		Date		Approved By		Date	
Reviewed By		Date		Reviewed By Compliance Dept		Date	