

Corporate

ACCOUNT APPLICATION FORM

Name of Applicant : _____
 (also referred to herein as Applicant, we, us or our)

If you are an existing client of CGS-CIMB, please tick below and complete <input type="checkbox"/> Existing Client	Client Code _____ _____	CDS Account Number 0 6 5 - _____ - _____ 0 6 5 - _____ - _____
---	--------------------------------------	---

To be completed by CGS-CIMB

Type Of Account	Client Code	CDS Account Number
<input type="checkbox"/> Direct Trading Account	_____	0 6 5 - _____ - _____
<input type="checkbox"/> Securitised Trading Account – Direct	_____	0 6 5 - _____ - _____
<input type="checkbox"/> Securitised Trading Account – Nominee	_____	0 6 5 - _____ - _____
<input type="checkbox"/> Margin Trading Account	_____	0 6 5 - _____ - _____
<input type="checkbox"/> Margin Lite Trading Account	_____	0 6 5 - _____ - _____
<input type="checkbox"/> Margin Trading Account-i	_____	0 6 5 - _____ - _____
<input type="checkbox"/> Margin Lite Trading Account-i	_____	0 6 5 - _____ - _____
<input type="checkbox"/> Fixed Income Securities Account	_____	

Remarks: _____

CGS-CIMB SECURITIES SDN. BHD. (Registration No. 197901004504 (48703-W))
 (A PARTICIPATING ORGANISATION OF BURSA MALAYSIA SECURITIES BERHAD)

Correspondence / Business Address : Level 12 & 29, Menara Bumiputra-Commerce, No. 11, Jalan Raja Laut, 50350 Kuala Lumpur, Wilayah Persekutuan.
 Telephone **(603) 2635 8888** Facsimile **(603) 2602 0119**

Please refer to www.itradecimb.com.my for branches address and contact number.

Follow these steps to open a Corporate Trading Account with CGS-CIMB Securities Sdn. Bhd. (also referred to herein as “CGS-CIMB”)

1. Complete all applicable fields of the Corporate Account Application Form.

Complete all applicable fields of the Corporate Account Application Form (**Part A to N**). Please type or write using **BLOCK LETTERS**. Any amendments made must be legible and countersigned by the applicant.

2. The completed Corporate Account Application Form must be returned together with the following supporting documents:

- (a) Memorandum & Articles of Association, or Constitution (**1 CERTIFIED TRUE COPY**);
Where the company does not have a Constitution, a written confirmation duly signed by a director confirming that the company does not have a Constitution;
- (b) Latest Audited Accounts/ Financial Statements – If Applicable (**1 CERTIFIED TRUE COPY**);
- (c) Power Of Attorney – If Applicable (**3 CERTIFIED TRUE COPIES**);
- (d) Photocopy of NRIC/Passport of the Authorised Personnel as per Board Resolution and Director both sides (**1 CERTIFIED TRUE COPY**);
- (e) Bank Statement – Bank statement/confirmation letter from the bank/bank statement extracted from internet/print out from system/ passbook/ cheque book (**3 CERTIFIED TRUE COPIES**); and
- (f) Forms (**3 CERTIFIED TRUE COPIES**) of the following:

Incorporated before 2016 (Company Act 1965)	Incorporated after 2016 (Company Act 2016)
(a) 8 OR 9 Certificate of incorporation of Public Company [Form8] Certificate of incorporation of Private Company [Form9]	(a) Notice of Registration (Section 15 or 17)
(b) 24 Certificate on return of allotment of shares	(b) Application for Registration of a Company (Section 14)
(c) 44 Notice of situation of registered office and of office hours and particulars of changes	(c) Notification of appointment of the first company secretary (Section 58 and 236 (2)) and notification of change in the register of Directors, Managers and Secretaries (Section 58)
(d) 49 Latest return giving particulars in register of Directors, Managers & Secretaries changes of particulars.	(d) Return of allotment of shares (Section 78) / Annual Return
(e) 13 (if applicable) Certificate of incorporation on change of name of company	(e) Notification for change in the registered address (Section 46) or Notice of registration of new name (Section 28) (if applicable)
(f) 20 (if applicable) Certificate of incorporation on conversion to a public company	(f) Notice of conversion (Sections 40 and 41) (if applicable)
(g) Annual Return Latest Annual Return of company having a share capital	

(g) **For Shareholders Of The Company With Equity Interest Of More Than 25% (if applicable)**

- a) Individual - Photocopy Of NRIC/Passport-both sides (**1 CERTIFIED TRUE COPY**); or
- b) Company - Form 24 or the form on return for allotment of shares and the latest Form 49 or the notification of change in the register of directors, managers and secretaries (whichever is applicable) (**1 CERTIFIED TRUE COPY**).

3. Supporting document for Direct, Securitised - Direct and Nominees Trading Account:

- a) CDS Account Form (FMN070);
(Only applicable for Direct Trading Account and Securitised Trading Account - Direct)

If we do not have an existing Central Depository System (“CDS”) Account, we shall be required to open a CDS Account with Bursa Malaysia Depository Sdn Bhd by completing a separate set of application form (Form FMN070) and submitting the relevant documents as stated in the Form FMN070.

- b) CDS Board Resolution (**2 CERTIFIED TRUE COPIES**); and
(Only applicable for Direct Trading Account and Securitised Trading Account -Direct)
To open Securities Accounts with Bursa Malaysia Depository Sdn Bhd (“Bursa Depository”)
- c) Securities Trading Accounts Board Resolution (**1 CERTIFIED TRUE COPY**)
To open Securities Trading Accounts with CGS-CIMB

4. Supporting documents for Margin & Margin Lite Trading Account/Account-i

- (a) Audited accounts for past 2 years (**1 CERTIFIED TRUE COPY**);
- (b) Photocopy of NRIC/Passport of Guarantors’ (both sides) (**1 CERTIFIED TRUE COPY**);
- (c) Guarantors’ latest pay slip/ Form B/ Form BE/ EA Form/ EPF statement or its equivalent and bank statement (**1 CERTIFIED TRUE COPY**);
- (d) Latest margin account statement from your existing financier;
- (e) Board Resolution (**1 CERTIFIED TRUE COPY**); and
- (f) Shareholding Portfolio Statement.

5. Supporting documents for Fixed Income Securities Account

- (a) Completed Application and Declaration for Investment in Fixed Income Securities Form;
- (b) Completed Investor Suitability Assessment for Investment in Fixed Income Securities Form; and
- (c) Fixed Income Securities Board Resolution (**1 CERTIFIED TRUE COPY**)

6. Applicable For Non-Ringggit Securities Trading

Transactions in Non-Ringggit securities trading through CGS-CIMB, please complete **section O** – Foreign Currency Asset By Resident (Applicable to Non- Ringgit Securities Trading) and **W-8BENE** form.

IMPORTANT NOTES:

1. Please read the general terms and conditions of CGS-CIMB's General Terms and Conditions and Risk Disclosure Statement – Conventional Broking and/or CGS-CIMB's General Terms and Conditions and Risk Disclosure Statement – Islamic Broking (“**CGS-CIMB's General Terms and Conditions**”).
2. The application herein is subject to the approval of CGS-CIMB and CGS-CIMB reserves the right to reject the application without giving any reasons.
3. Applicant residing outside Malaysia is required to arrange for a Notary Public, or in countries that do not have a Notary Public, advocates and solicitors or officers authorised by a licensed stockbroking Company with a recognised stock exchange; or authorised officer of a Malaysian Embassy or High Commission or Consulate to authenticate the Corporate Account Application Form, Form FMN070, and the photocopy of documents mentioned in 2(a) to 2(g), 3(a) and 4(a) to 4(f) above.
4. All Board Resolution must include the following:
 - a) authorisation to open and operate the type of account currently being applied for and Central Depository System (“CDS”) Account (if applicable) with CGS-CIMB authorisation to deal in securities;
 - b) the name, designation, NRIC / Passport number and specimen signature of persons authorised to operate the account; and
 - c) the affixation of common seal (to the extent you opt to have a common seal).
5. Definition of Resident:

Resident	Non-Resident
(a) a citizen of Malaysia, excluding a citizen who has obtained permanent resident status in a country or a territory outside Malaysia and is residing outside Malaysia; (b) a non-citizen of Malaysia who has obtained permanent resident status in Malaysia and is ordinarily residing in Malaysia; (c) a body corporate incorporated or established, or registered with or approved by any authority, in Malaysia; (d) an unincorporated body registered with or approved by any authority in Malaysia; or (e) the Government or any State Government.	(a) any person other than a resident; (b) an overseas branch, a subsidiary, regional office, sales office or representative office of a resident company; (c) Embassies, Consulates, High Commissions, supranational or international organizations; or (d) a Malaysian citizen who has obtained permanent resident status of a country or territory outside Malaysia and is residing outside Malaysia.

C. FINANCIAL INFORMATION

As At (DD/MM/YYYY)

Issued Paid Up Capital

Total Tangible Assets Total Liabilities

Net Shareholders' Funds Net Current Assets

Profit After Taxation in the Preceding 4 Years

Year Year

Year Year

Source of Fund Business Income Investment / Dividend Income Rental Income

Interest Income Loan Others _____

Country/Jurisdiction of Source of Fund: Malaysia Outside Malaysia _____

Source of Wealth Business Retained Profits Sale of Real Estate Disposal of Investment

Others _____

Country/Jurisdiction of Source of Wealth: Malaysia Outside Malaysia _____

D. INVESTMENT OBJECTIVE & EXPERIENCE

Investment Objective Short Term Long Term Dividend Interest Capital Growth

Risk Tolerance Aggressive Moderate Conservative

Investment Experience (1) Equities _____ year(s) (2) Futures _____ year(s)

Expected Value of New Investment (per month) RM 0 to RM 20,000 > RM 20,000 to RM 50,000 > RM 50,000 to RM 100,000 > RM 100,000

E. CONTACT OF PERSONS AUTHORISED TO TRADE AND/OR OPERATE THE ACCOUNT AS STATED IN THE BOARD RESOLUTION

Name	Designation	Contact Phone Number	Email
1. _____	_____	_____	_____
2. _____	_____	_____	_____
3. _____	_____	_____	_____
4. _____	_____	_____	_____
5. _____	_____	_____	_____
6. _____	_____	_____	_____

(Please attach a separate sheet if the space provided is insufficient)

F. SUBSTANTIAL INDIVIDUAL SHAREHOLDERS (25% OR MORE) / BENEFICIAL OWNER

Name	NRIC / Passport Number	Date of Birth	Country of Residence	Nationality	% of shareholding
1. _____	_____	_____	_____	_____	_____
2. _____	_____	_____	_____	_____	_____
3. _____	_____	_____	_____	_____	_____
4. _____	_____	_____	_____	_____	_____

(Please attach a separate sheet if the space provided is insufficient)

Note: Any person who is deemed a Controlling Person pursuant to the Common Reporting Standards will be required to complete the Controlling Person Self Certification Form in section Q.

Refer to the definition of Controlling Person provided in page 13.

G. MARGIN FACILITY LIMIT AND COLLATERAL (APPLICABLE FOR MARGIN & MARGIN LITE TRADING ACCOUNT/ACCOUNT-i ONLY)

<p>Margin</p> <p>Margin facility limit applied <input style="width: 150px;" type="text" value="RM"/></p> <p>Collateral offered for Margin</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Securities</th> <th style="width: 50%;">Quantity</th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> </tbody> </table> <p>Cash <input style="width: 150px;" type="text" value="RM"/></p>	Securities	Quantity									<p>Margin Lite</p> <p>Margin Lite facility limit applied <input style="width: 150px;" type="text" value="RM"/></p> <p>Collateral offered for Margin Lite</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 50%;">Securities</th> <th style="width: 50%;">Quantity</th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> </tbody> </table> <p>Cash <input style="width: 150px;" type="text" value="RM"/></p>	Securities	Quantity								
Securities	Quantity																				
Securities	Quantity																				

H. PARTICULARS OF RELATED OR CONNECTED PERSONS OR ACCOUNTS

1. Does the Applicant have any trading account(s) with other brokers? Yes No
 If yes, please specify name of broker(s) _____
2. Does the Applicant have any related parties ⁽¹⁾ who maintain accounts with CGS-CIMB? Yes No
 If yes please provide the following details:

⁽¹⁾ Related parties are its Related Corporation ⁽²⁾ and its Associated Corporation ⁽³⁾ that maintains an account with us.
⁽²⁾ A corporate is deemed to be a Related Corporation to each other if it is the holding company of another corporation; it is a subsidiary of another corporation; or it is a subsidiary of the holding company of another corporation.
⁽³⁾ An Associated Corporation is a corporation that is deemed to be associated with the person by virtue of the person holding, directly or indirectly, not less than 20% and not more than 50% of the issued share capital of the corporation.

Name of Related Corporation	Registration No.
_____	_____
_____	_____
_____	_____
Name of Associated Corporation	Registration No.
_____	_____
_____	_____
_____	_____

3. Is the Applicant a guarantor for any accounts held in CGS-CIMB or other subsidiaries of CGS-CIMB? Yes No
 If yes, please provide the following details:

Account Name	Date of Guarantee	Account No.	Amount Guaranteed
_____	_____	_____	_____
_____	_____	_____	_____

I. POLITICALLY EXPOSED PERSON ("PEP") ⁽¹⁾

- Are you a PEP Related Entity ⁽¹⁾? Yes No
- If yes, please elaborate

No	Name	NRIC/Passport No.	Position & Designation	Country	Relationship with PEP ⁽²⁾ (Only applicable to PEP's Family Member ⁽³⁾ and their Close Associates ⁽⁴⁾)
1					
2					
3					

(1) PEP Related Entity is a corporation which is associated to PEP, by virtue of its beneficial owner, directors or authorized signatories being PEPs or associated to PEPs. Family members or close associates of a PEP are also deemed PEPs.

(2) PEPs are individuals who are or have been entrusted with prominent public functions (whether in Malaysia or in a foreign country) e.g. Heads of State, Heads of Government, government ministers, senior civil or public servants (e.g Cabinet and permanent secretaries, Director Generals, head of departments and their deputies), senior judicial or military officials, senior executives of government owned corporations, senior political party officials, important political party officials, members of the legislature and senior management of statutory bodies and International Organisations (e.g. UN, IMF, World Bank, OECD, European Union, ASEAN and International Sport Organisations).

(3) Family members include the spouse; child and their spouses (including a biological and non-biological child); parents (including biological and non-biological parents); spouse's parents, siblings and their spouses (including biological and non-biological parents, commonly referred to parents in law); and siblings and their spouses (including biological and non-biological siblings).

(4) Close associates include extended family member such as relatives (biological and non-biological relationship); financially dependent individuals (e.g persons salaried by the PEPs such as drivers, bodyguards, secretaries); business partners or associates; prominent members of the same organisation as the PEP; person who is working closely with the PEPs (e.g. work colleagues); or close friends.

J. COMMON REPORTING STANDARD ("CRS") & FOREIGN ACCOUNT TAX COMPLIANCE ACT ("FATCA")

Under CRS and FATCA, CGS-CIMB is required to collect and report certain information to the local tax authority on the status of our clients. Should there is a change in circumstances relating to information, such as the Account Holder's tax status or other mandatory field information that makes this form incorrect or incomplete, please notify and submit to CGS-CIMB with an updated Self-Certification Form. Kindly consult your tax or legal adviser should you have questions on or in relation to CRS and FATCA.

References to the definitions used in this section are on page 13.

Part 1 : Identification of Account Holder

Please declare your Tax Residency status:

- Malaysian tax resident. Please proceed to complete Part 3. Malaysian and Non-Malaysian tax resident. (If multiple tax residency status) Please proceed to complete Part 2 & 3. Non-Malaysian tax resident. Please proceed to complete Part 2 & 3.

Part 2 : Tax Residence Information

Country/Jurisdiction of Tax Residence	Tax Identification Number (TIN) or equivalent	If TIN or equivalent is unavailable, please state reason (A, B, or C)
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____

For U.S Person ⁽¹⁾, please fill up W-9 Form. (⁽¹⁾ U.S Person refers to citizen or resident of the United States or holds a US green card or a U.S. passport).

Reason A – Country does not issue TIN to its residents

Reason B – No tax obligation (i.e. TIN application in progress, not required to register tax file, and others)

Reason C – No TIN is required (Note: only select this reason if the authorities of the country of residence for tax purposes selected do not require the TIN to be disclosed)

For Reason B, please explain why the Account Holder is unable to obtain a TIN or equivalent number:

- _____
- _____
- _____
- _____

Part 3 : Entity Type

Please tick the applicable type of entity either **Financial Institution ("FI")** or **Non-Financial Entity ("NFE")**

Financial Institution ("FI")

1A) Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution

1B) Other Financial Institution

Non-Financial Entity ("NFE")

- 1C) Active NFE – A corporation that is publicly traded or a related entity of such corporation
 - The Account Holder is a corporation, the stock of which is regularly traded on _____, which is an established securities market.
 - The Account Holder is a related entity of _____, a corporation, the stock of which is regularly traded on _____, which is an established securities market.
- 1D) Active NFE – A Governmental Entity
- 1E) Active NFE – A Central Bank
- 1F) Active NFE – An International Organisation
- 1G) Active NFE (e.g. active business, start-up company, charity or non-profit organization and an entity other than Entity 1C or 1F)
- 1H) Passive NFE – Not an Active NFE
(complete the Controlling Person of Entity in the Annex form on page 11)

References to the definition of this section are on page 13

K. STANDING CREDITING INSTRUCTION

We hereby request that all payments due to us, in accordance to the type of trading account(s) that we have with CGS-CIMB, be made payable to us in the following manner:

- be credited into our trust account maintained with CGS-CIMB and further agree that CGS-CIMB shall have the absolute discretion to determine whether interest, if any, (applicable for Conventional Broking only) is to be paid to us. Any withdrawals from our trust account shall be credited our designated bank account, as specified below.
- be credited directly into our designated bank account, as specified below.

Designated Bank Account (Account Holder must be the sole applicant. Joint Account is not allowed)

Bank Name _____ Savings Account Current Account

Account Number _____

In consideration of CGS-CIMB agreeing to this request, we hereby agree:

1. to refund to CGS-CIMB of any payments wrongly made to us or wrongly credited into our trust account maintained with CGS-CIMB and/or the above mentioned bank account;
2. not to hold CGS-CIMB responsible for any losses arising thereof and undertake to indemnify CGS-CIMB at all times against all claims, losses or expenses incurred by CGS-CIMB in connection with this instruction; and
3. the above payment instruction shall remain in force until further written notice is provided by us.

CGS-CIMB in its sole and absolute discretion shall be entitled to vary any of the above mode or manner of payment without prior written notice to us.

L. INSTRUCTIONS TO RECEIVE CONTRACT STATEMENTS VIA EMAIL

Email Address : _____

- We hereby consent to receive our daily and monthly statements, invoices (which may be incorporated and issued as part of the daily contract statements), or any other statements or notifications ("**statements/notifications**") that may be made available to us by CGS-CIMB in electronic form and to be delivered to our email address as provided above and which as may be updated from time to time in CGS-CIMB's record. We agree for CGS-CIMB to adopt an alternative mode of delivery as may be determined by CGS-CIMB in issuing and delivering the statements/notifications in the event of a system failure.

We also accept and assume the inherent risk associated in receiving the above statements/notifications electronically. We will not make any claims against CGS-CIMB, its affiliates, their respective directors, employees, agents or representatives or hold CGS-CIMB, its affiliates, their respective employees, agents or representatives responsible for any matters or liabilities that may arise in relation to this consent but shall instead, be entirely responsible for any liabilities or losses suffered as a result of such mode of delivery.

We further acknowledge and agree that all our liabilities (if any) with CGS-CIMB shall remain unchanged and continuous, and it shall not be affected in any way with the change in the mode of electronic delivery of statements/notifications that may be made available to us by CGS-CIMB.

In the event that we wish to discontinue receiving the statements/notifications in electronic form, we shall provide CGS-CIMB, our written to revoke our instructions with respect to the electronic delivery of statements/notifications no less than 7 working days from the intended effective date and from the effective date, will agree to receive our statements/notifications in hardcopy to the latest available correspondence address maintained in CGS-CIMB's records.

M. CONSENT REQUIRED RELATING TO YOUR SECURITIES ACCOUNT INFORMATION

Tick	Signature		

- a) We hereby give our consent to the disclosure by Bursa Malaysia Depository Sdn. Bhd. ("**Bursa Depository**") to CGS-CIMB and to such agents, service providers and sub-contractors of CGS-CIMB, as notified by CGS-CIMB to Bursa Depository from time to time, any and all information or documents relating to ourselves and our affairs and in particular, relating to our securities account(s). This consent shall be valid and will remain in full force unless it has been subsequently revoked in writing by us. We release Bursa Depository from any loss or liability we may suffer as a result of any act, statement or omission that was done in good faith by Bursa Depository.
- b) If the data provided by Bursa Depository differs from any existing data retained by CGS-CIMB, we hereby consent for CGS-CIMB to update the existing information relating to us and our Account.

N. DECLARATION BY APPLICANT

By signing this Account Application Form, we hereby declare/agree/undertake that we have read and fully understood the full contents of this Account Application Form and that:

- 1. We are not insolvent, under any winding up proceedings or placed under any receiver or manager;
- 2. For conventional accounts, we hereby acknowledge and agree that CGS-CIMB may retain, for the benefit of CGS-CIMB and without any obligation to account to us, any interest/gain CGS-CIMB receives from our monies deposited in the Trust Account (the "**Client's Monies**"). We further consent to CGS-CIMB withdrawing the Client's Monies and any interest/gain received on the Client's Monies from the Trust Account, to the extent permitted by applicable laws, including but not limited to paying out such interest/gain. CGS-CIMB may in its sole and absolute discretion, taking into account any withholding tax and any administrative expenses incurred by CGS-CIMB in maintaining the Trust Account, pay any interest/gain received on the Client's Monies to us. We agree and acknowledge that any interest/gain paid by CGS-CIMB to us may be less than that received by CGS-CIMB;

We duly verify that this is our written direction to do the above

- 3. Pursuant to Rule 5.15 (8) & Rule 5.15 (9) of the Rules of Bursa Securities, we do solemnly declare that the dealings in securities in respect of our trading account are/shall be carried out :

for us as principal

for and on behalf of another party(ies) from whom, through whom or on whose behalf the securities are to be dealt with

Applicant may be required to execute additional documents in accordance to the Rules of Bursa Securities;

Particulars

Name of party(ies) concerned : _____
 Company / NRIC No. / Passport No / Nationality : _____
 Address / Registered Address : _____

- 4. We are fully aware of and understand the processes, procedures and risks involved in using the services and executing transactions through the electronic trading facilities;
- 5. We are fully aware of and understand the relevant laws, rules and regulations relating to the services provided by CGS-CIMB to us under the General Terms and Conditions, including those on trading and dealing of securities;
- 6. We hereby authorize you or your representative to obtain information relating to this application from any source;
- 7. We confirm that CGS-CIMB is authorized to verify any information and/or make any checks and/or obtain any information and/or confirmation at any time and from time to time now and /or in the future, with or from any credit reference/reporting agencies, including but not limited to and/or any other agencies and/or from any financial institution and/or any other source(s) that CGS-CIMB may in its sole discretion deem appropriate and to provide such aforesaid party(s) with the required information requested to enable CGS-CIMB to ascertain our status and/or any of its directors, individual shareholders, officers, personnel, individual guarantor, security provider and/or other person, individual, and/or entity related to and/or associated with us as maybe required by CGS-CIMB for the purpose of the consideration of this application and thereafter if this application is approved for the purposes of the grant and/or continued maintenance of the facility/account; and/or recovery of debts due and payable under the facility/account; and/or any purpose related to or in connection with the facility/account applied for; and/or for any other purpose, that is required or permitted by any law, regulations, guidelines and/or relevant regulatory authorities;
- 8. We shall comply with CGS-CIMB's requirements in respect of our account application and CGS-CIMB shall reserve the right to reject our account application at its sole discretion without any reason whatsoever;
- 9. **DISCLOSURE TO THIRD PARTIES FOR STRATEGIC ALLIANCES, MARKETING AND PROMOTIONAL PURPOSES**

We consent to our personal data and/or any of our directors, individual shareholders, officers, personnel, individual guarantor, security provider and/or other person, individual, and/or entity related to and/or associated with us to be collected, used, disclosed and/or processed by CGS-CIMB in accordance with the General Terms and Conditions, provided always that disclosure for cross selling purposes shall not be effected if such disclosure is objected by us by writing to CGS-CIMB at the following address (which may be changed by CGS-CIMB from time to time by notice to us): Level 12, Menara Bumiputra-Commerce, No. 11, Jalan Raja Laut, 50350 Kuala Lumpur, Wilayah Persekutuan. (Attention to Client Account Management).

Further, where CGS-CIMB intends to share our information (excluding information relating to our affairs or account) with third parties for strategic alliances, marketing and promotional purposes;

We hereby give our consent to the above disclosure to third parties.

We do not consent to the giving of the above disclosure to third parties.

10. PERSONAL DATA NOTICE ACKNOWLEDGEMENT

We agree to notify our individual shareholders, directors, officers, individual guarantors and security providers in writing of:

- (a) the Privacy Notice issued by CGS-CIMB (which is available at all CGS-CIMB branches as well as at the CGS-CIMB iTrade website at www.itradecimb.com.my or has otherwise been made available to us); and
- (b) the Personal Data Notice issued by Bursa Malaysia Berhad ("**Bursa Malaysia**"), (which is available at Bursa Malaysia's website at www.bursamalaysia.com or has otherwise been made available to us); and confirm their agreement to the same.

- 11. We hereby undertake to continue to be bound by the terms and conditions stated in this application form executed by us for our account(s) including any additions or amendments that may be made by CGS-CIMB from time to time;
- 12. We also acknowledge that we have received, read, understood the contents of CGS-CIMB's General Terms & Conditions and Risk Disclosure Statement for Securities, and agree to be bound by them or such additional amendments or terms and conditions as may be made from time to time.
- 13. Prior to the trading of any Foreign Securities, we agree to provide CGS-CIMB a list of Foreign Securities which has been approved by our Shariah Advisory Board ("Shariah Compliant Securities List"). We acknowledge CGS-CIMB shall not be obligated or responsible to verify, monitor or confirm the compliance or conformity of any securities listed on such Shariah Compliant Securities List with any Shariah principles and such decision should be solely the responsibility of our Shariah Advisory Board.

We agree to promptly update CGS-CIMB should any changes be made to the Shariah Compliant Securities List.

- 14. We understand that the information supplied by us is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with CGS-CIMB and its related and associated corporations (collectively "CGS-CIMB Group") setting out how CGS-CIMB Group may use and share the information supplied by us.

We acknowledge and consent for CGS-CIMB and/or any of its Affiliates to directly or indirectly share or provide any information contained herein (including information on directors, or shareholders or owners or beneficial owners), our information and any Reportable Account(s)(as defined in Section R) with any domestic or overseas regulators or tax authorities, including but not limited to those in the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the Account Holder may be resident for tax purposes or where necessary to establish the tax liability of any mentioned parties in any relevant jurisdiction.

"Affiliates" shall carry the meaning as defined in the General Terms and Conditions.

In this respect, we confirm that we have obtained the respective consent of directors or shareholders or owners or beneficial owners that are U.S. Persons, for their information to be provided to CGS-CIMB and its Affiliates to share such information with domestic or overseas regulators or tax authorities, where necessary to establish the tax liability of any of the above mentioned parties in any relevant jurisdiction.

- 15. We hereby confirm the information provided in this application and in relation to this application is true, accurate and complete and that we have not willfully withheld any facts;

We certify that we are authorized to sign on behalf of the Account Holder (as defined in Section R) in respect of all the account(s) to which this form relates and we declare that all statements made in this declaration are to the best of our knowledge and belief, correct and complete;.

We agree and undertake to deliver to CGS-CIMB and its Affiliates additional information, documents and/or forms, which our authorised signatory or director(s) will sign for the purposes of CGS-CIMB and its Affiliates' compliance with any tax laws and regulations.

Where required by domestic or overseas governmental, supervisory or regulatory authorities, we understand and agree that CGS-CIMB and/or its Affiliates may withhold, and pay out, from any of our account(s) such amounts as may be required according to applicable laws, regulations, directives, guidelines and/or agreements with and/or from domestic or overseas governmental, supervisory or regulatory authorities.

- 16. If there is a change in any circumstances affecting the tax residence of the Applicant or change in information provided herein or which we have provided to CGS-CIMB in relation to this application, we agree and undertake to notify CGS-CIMB of such changes in a timely manner (which in any case, within 30 calendar days of any its occurrence) and provide any information or suitably updated self-certification requested by CGS-CIMB.

AFFIX COMMON SEAL / RUBBER STAMP HERE

Executed on behalf of the company

Authorised Signatory
Name:
New NRIC/Passport No./Nationality:
Designation:
Date:

Authorised Signatory
Name:
New NRIC/Passport No./Nationality:
Designation:
Date:

***Signature of Dealer's Representative / Witness / Notary Public**
Name:
New NRIC/Passport No./Nationality:
Designation:
Date:

O. FOREIGN CURRENCY ASSET BY RESIDENT

(This Declaration by Resident is mandatory and must be completed for foreign currency asset under the Foreign Exchange Notices as set out below).

We hereby declare that for foreign exchange notices purposes:

Tick	Signature

Currently we do NOT have any domestic Ringgit Borrowing/Financingⁱ.
 *However, in the event of any margin application has been approved and accepted by us, we would be deemed to have domestic Ringgit Borrowing/Financing by virtue of maintaining a margin financing account

Tick	Signature

Currently we have domestic Ringgit Borrowing/Financing and hereby confirm that our total foreign currency asset offshoreⁱⁱ and foreign currency asset onshore^{iv} including Demand Draft (“DD”) /Telegraphic Transfer (“TT”) / Dual Currency Investment (“DCI”) / Foreign Currency Account (“FCA”) / Foreign Currency (“FC”) Fixed Deposit/ FC denominated Structured Investment/ any FC denominated deposits or investments application complies with the following thresholds:

	Applicable Threshold
	For a resident^v entity
Source of the fund for foreign currency asset including DD/ TT/ DCI/ FCA/ FC Fixed Deposit/ FC denominated Structured Investment/ any FC denominated deposits or investments	Up to RM50 million equivalent [%] per calendar year using funds sourced from the aggregate of : <ul style="list-style-type: none"> ▪ conversion of Ringgit into Foreign Currency; ▪ Trade FCA; ▪ a Borrowing/Financing in Foreign Currency from a Licensed Onshore Bank (“LOB”) for purposes other than Direct Investment Abroadⁱⁱⁱ; and ▪ swapping of a Ringgit-denominated financial asset in Malaysia for a financial asset in Labuan Entity or outside Malaysia. <p><small>[%] Computed in aggregate based on the Resident Entity and other Resident Entity with Parent- Subsidiary Relationship’s investment in Foreign Currency Asset.</small></p>

Tick	Signature

Currently we have domestic Ringgit Borrowing/Financing and our total foreign currency asset (including DD/TT/ DCI/ FCA/ FC Fixed Deposit/ FC denominated Structured Investment/any FC denominated deposits or investments application) exceeds the above applicable threshold.

We hereby provide you with the relevant approval letter from Bank Negara Malaysia (“**BNM**”) to effect the DD/TT/ DCI/ FCA/ FC Fixed Deposit/ FC denominated Structured Investment/ any FC denominated deposits or investments application[#]. We understand that CGS-CIMB Securities Sdn Bhd may decline or delay any foreign currency asset that does not fulfil any conditions set in BNM’s approval letter.

We further undertake to seek specific approval from BNM in the event our foreign currency asset offshore exceed the limits set out above and we further undertake to promptly deliver to CGS-CIMB Securities Sdn. Bhd. a copy of the specific approval duly granted to us by BNM.

We further declare that CGS-CIMB Securities Sdn. Bhd. is not responsible to advise the Applicant of:

- Any exchange control or similar restriction which may be imposed by the local laws or regulations in the country in which payment is to be effected and shall not be liable for any loss or delay as a result of the payment being subject to such control and restriction. Applicant is strongly advised to make his own inquiries.
- Any charges which may be imposed by overseas bank and shall not liable if such information cannot be provided.

We make this declaration in full knowledge and awareness of reliance placed by CGS-CIMB Securities Sdn. Bhd. on such declaration as a basis to undertake any foreign currency asset on our behalf.

We undertake to notify CGS-CIMB Securities Sdn. Bhd. immediately in writing of any changes in the declaration given herein.

Applicant / Authorised Signatory(ies)
 Name:
 NRIC/Passport No.:
 Designation:
 Company Seal / Stamp:
 Date:

#Acknowledgement Receipt of the BNM’s Approval Letter
Officer / Relationship Manager Date:

P. DEFINITION FOR FOREIGN CURRENCY ASSET BY RESIDENT

i. "Domestic Ringgit Borrowing/Financing" means:

- (a) any Borrowing/Financing in Ringgit obtained by a Resident from another Resident; or
- (b) any obligation considered or deemed as Domestic Ringgit Borrowing/Financing under any of the FE Notices.

Note:

For purposes of determining the Domestic Ringgit Borrowing/Financing status of a Resident Entity—

- (a) the Resident Entity is deemed to have a Domestic Ringgit Borrowing/Financing when another Resident Entity with Parent-Subsidiary Relationship has a Domestic Ringgit Borrowing/Financing; and
 - (b) the following shall not be considered as Domestic Ringgit Borrowing/Financing—
 - (i) a Borrowing/Financing obtained from another Resident Entity with Parent-Subsidiary Relationship;
 - (ii) a Borrowing/Financing obtained from its Direct Shareholder; or
 - (iii) any facility including credit facility or financing facility which is used for Sundry Expenses or Employees' Expenses only.
- "Sundry Expenses" refers to small and infrequent expenses for office supplies (e.g. stationaries), ancillary services (e.g. software and online subscription) and other minor expenses to facilitate daily business operation.
 - "Employees' Expenses" refers to business-related expenses which may include, but not limited to, travel (e.g. lodging and transportation), entertainment, health, insurance, takaful and other employees' expenses, excluding investment.
 - "Borrowing/Financing" refers to the definition of "Borrowing/Financing" below.

"Borrowing/Financing" means

- (a) any utilised or unutilised credit facility or financing facility;
- (b) any utilised or unutilised trade financing facility, including but not limited to, trade guarantee or guarantee for payment of goods;
- (c) redeemable preference share or Islamic redeemable preference share; or
- (d) Corporate Bond or Sukuk.

Notwithstanding the above, the following are excluded from the definition of Borrowing/Financing—

- (i) a trade credit term extended by a supplier for any goods or services;
- (ii) a credit limit that a LOB apportions for its client to undertake a Forward Basis transaction, excluding a transaction that involves—
 - (A) exchanging or swapping of Ringgit or Foreign Currency debt for another Foreign Currency debt; or
 - (B) exchanging of Foreign Currency debt for a Ringgit debt;
- (iii) a Financial Guarantee or Non-Financial Guarantee;
- (iv) an operational leasing facility;
- (v) a factoring facility without recourse;
- (vi) a credit card or charge card facility obtained by an Individual from a Resident and used for payment for retail goods or services only; or
- (vii) a credit facility or financing facility obtained by a Resident Individual from a Resident to purchase one (1) residential property and one (1) vehicle.

Note: For clarity purposes, the transactions in paragraphs (ii)(A) and (ii)(B) shall be considered as Borrowing/Financing.

ii. "Foreign Currency Asset Offshore" means –

- (a) a financial asset in Malaysia swapped for a financial asset in a Labuan Entity or outside Malaysia;
- (b) Foreign Currency Borrowing/Financing given to a Non-Resident;
- (c) working capital arising from the set up of any business arrangement outside Malaysia (including a joint venture project where no Entity is created or established);
- (d) deposit in a Foreign Currency Account maintained with a Labuan Entity or outside Malaysia excluding reasonable amount of deposit for education, employment or migration outside Malaysia; or
- (e) Foreign Currency-denominated—
 - (i) asset (tangible or intangible) offered by a Non-Resident or any person whose residency cannot be determined;
 - (ii) asset (tangible or intangible) in or maintained with a Labuan Entity, or outside Malaysia;
 - (iii) Financial Instrument or Islamic Financial Instrument (excluding Exchange Rate Derivatives) without Firm Commitment offered on a Specified Exchange under the CMSA outside Malaysia undertaken by a Resident through a Resident futures broker; or
 - (iv) Financial Instrument or Islamic Financial Instrument (excluding Exchange Rate Derivatives) without Firm Commitment issued or offered by a Non-Resident.

iii. "Direct Investment Abroad" means –

- (a) an investment in Foreign Currency Asset Offshore by a Resident resulting in at least 10% equity ownership or control of a Non-Resident Entity outside Malaysia or a Labuan Entity;
- (b) an inter-company lending by a Resident Entity to a Non-Resident Entity within the Resident Entity's Group where the Non-Resident Entity is outside Malaysia or a Labuan Entity; or
- (c) a capital expenditure by a Resident investor in an unincorporated Entity outside Malaysia or a project outside Malaysia by an agreement with no establishment created, where the Resident investor—
 - (i) contributes capital of at least 10% of the cost of the project;
 - (ii) is entitled to at least 10% of profits from the unincorporated Entity or project; or
 - (iii) has management control of the unincorporated Entity or project.

iv. "Foreign currency asset onshore" means

- (a) Foreign Currency-denominated securities or Islamic securities offered in Malaysia by a Resident as approved in writing by the Bank;
- (b) Foreign Currency-denominated Financial Instrument or Islamic Financial Instrument offered in Malaysia by a Resident as approved in writing by the Bank excluding a derivative or Islamic derivative transaction entered with Firm Commitment;
- (c) Deposit in Investment FCA with a LOB or an approved Financial Institution as specified in Notice 3; or
- (d) Any instrument offered by a LOB with Foreign Currency delivery at maturity².

² Such as dual-currency investment.

- v. "Resident" means –
- (a) a citizen of Malaysia, excluding a citizen who has obtained permanent resident status in a country or a territory outside Malaysia and is residing outside Malaysia;
 - (b) a non-citizen of Malaysia who has obtained permanent resident status in Malaysia and is ordinarily residing in Malaysia;
 - (c) a body corporate incorporated or established, or registered with or approved by any authority, in Malaysia;
 - (d) an unincorporated body registered with or approved by any authority in Malaysia; or
 - (e) The Government or any state Government.
- vi. "Foreign Currency Asset" means Foreign Currency Asset Offshore and Foreign Currency Asset Onshore.

Q. CONTROLLING PERSON SELF-CERTIFICATION FORM (ANNEX FORM)

Note: To be completed by each Controlling Person(s), if applicable. Please make another copy of this section if the controlling person is more than 2.

References to the definition of this section are on page 13

Part 1 : Identification of Controlling Person(s)

Controlling Person 1	Controlling Person 2
Full Name:	Full Name:
Current Residence Address:	Current Residence Address:
Postal Code/Zip Code & Country:	Postal Code/Zip Code & Country:
Mailing Address (if different):	Mailing Address (if different):
Postal Code/Zip Code & Country:	Postal Code/Zip Code & Country:
Date of Birth:	Date of Birth:

Part 2 : Tax Residence information

	Controlling Person 1	Controlling Person 2
Country/Jurisdiction of Tax Residence		
Tax Identification Number (TIN) or equivalent		
If TIN or equivalent is unavailable, please state reason (A, B, or C)		

For U.S Person ⁽¹⁾, please fill up W-9 Form. ⁽¹⁾U.S Person refers to citizen or resident of the United States or holds a US green card or a U.S. passport).

Reason A – Country does not issue TIN to its residents

Reason B – No tax obligation (i.e. TIN application in progress, not required to register tax file, and others)

Reason C – No TIN is required (Note: only select this reason if the authorities of the country of residence for tax purposes selected do not require the TIN to be disclosed)

For Reason B, please explain why the Account Holder is unable to obtain a TIN or equivalent number:

No.	Reasons	Controlling Person 1	Controlling Person 2
1.			
2.			
3.			

Part 3 : Type of Controlling Person

Controlling Person of a Legal Person	Controlling Person 1	Controlling Person 2
<input type="checkbox"/> Control by ownership (direct or indirect)		
<input type="checkbox"/> Control by other means		
<input type="checkbox"/> Senior managing official		

Controlling Person of a Trust	Controlling Person 1	Controlling Person 2
<input type="checkbox"/> Settlor		
<input type="checkbox"/> Trustee		
<input type="checkbox"/> Protector		
<input type="checkbox"/> Beneficiary		
<input type="checkbox"/> Other: Please specify type		

Controlling Person of a Legal Arrangement (Non-Trust)		Controlling Person 1	Controlling Person 2
<input type="checkbox"/>	Settlor-equivalent		
<input type="checkbox"/>	Trustee-equivalent		
<input type="checkbox"/>	Protector-equivalent		
<input type="checkbox"/>	Beneficiary-equivalent		
<input type="checkbox"/>	Other-equivalent: Please specify type		

Part 4 : Declaration

I understand that the information supplied by me is subject to the terms and conditions governing the Account Holder's relationship with CGS-CIMB Securities Sdn. Bhd. ("CGS-CIMB") and its related and associated corporations (collectively "CGS-CIMB Group") setting out how CGS-CIMB Group may use and share the information supplied by me.

I acknowledge that the information contained in this declaration and information regarding the Controlling Person and any Reportable Account(s) may be provided directly or indirectly to any relevant tax authority, including of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the Account Holder may be resident for tax purposes pursuant to agreements between competent authorities to exchange financial account information.

I certify that I am the Controlling Person or I am authorized to sign for the Controlling Person** of the Account Holder to which this form relates. I declare that all statements made in this declaration are to the best of my knowledge and belief, correct and complete.

If there is a change in circumstances that affects the tax residence of the Account Holder or causes the information contained herein to become incorrect or incomplete, I understand that I am obligated to inform CGS-CIMB Group of the change in circumstances within 30 days of its occurrence and to provide a suitably updated self-certification.

Controlling Person 1

Controlling Person 2

Signatory

Name:

New NRIC/Passport No.:

Passport Expiry Date:

Date:

Signatory

Name:

New NRIC/Passport No.:

Passport Expiry Date:

Date:

**Delete whichever is not applicable*

*** Authorisation on behalf of the Controlling Person must be accompanied with Power of Attorney or equivalent recognized document of the country*

1. ACCOUNT HOLDER

Means the person or legal entity listed or identified as the holder of a Financial Account by the Financial Institution that maintains the account. A person, other than a Financial Institution, holding a Financial Account for the benefit of another person as an agent, a custodian, a nominee, a signatory, an investment advisor, an intermediary, or as a legal guardian, is not treated as the Account Holder. With respect to a jointly held account, each joint holder is treated as an Account Holder.

2. ACTIVE NFE

Means any Non- Financial Entity that meets any of the following criteria:

- a) less than 50% of the NFE’s gross income for the preceding calendar year or other appropriate reporting period is passive income and less than 50% of the assets held by the NFE during the preceding calendar year or other appropriate reporting period are assets that produce or are held for the production of passive income;
- b) the stock of the NFE is regularly traded on an established securities market or the NFE is a Related Entity of an Entity the stock of which is regularly traded on an established securities market;
- c) the NFE is a Governmental Entity, an International Organisation, a Central Bank, or an Entity wholly owned by one or more of the foregoing;
- d) substantially all of the activities of the NFE consist of holding (in whole or in part) the outstanding stock of, or providing financing and services to, one or more subsidiaries that engage in trades or businesses other than the business of a Financial Institution, except that an Entity does not qualify for this status if the Entity functions (or holds itself out) as an investment fund, such as a private equity fund, venture capital fund, leveraged buyout fund, or any investment vehicle whose purpose is to acquire or fund companies and then hold interests in those companies as capital assets for investment purposes;
- e) the NFE is not yet operating a business and has no prior operating history, (a “ start-up NFE”) but is investing capital into assets with the intent to operate a business other than that of a Financial Institution, provided that the NFE does not qualify for this exception after the date that is 24 months after the date of the initial organisation of the NFE;
- f) the NFE was not a Financial Institution in the past five years, and is in the process of liquidating its assets or is reorganising with the intent to continue or recommence operations in a business other than that of a Financial Institution;
- g) the NFE primarily engages in financing and hedging transactions with, or for, Related Entities that are not Financial Institutions and does not provide financing or hedging services to any Entity that is not a Related Entity, provided that the group of any such Related Entities is primarily engaged in a business other than that of a Financial institutions;
- h) the NFE meets all of the following requirements:
 - i) it is established and operated in its jurisdiction of residence exclusively for religious, charitable, scientific, artistic, cultural, athletic, or educational purposes; or it is established and operated in its jurisdiction of residence and it is a professional organisation, business league, chamber of commerce, labour organisation, agricultural or horticultural organisation, civic league or an organisation operated exclusively for the promotion of social welfare;
 - ii) it is exempt from income tax in its jurisdiction of residence;
 - iii) it has no shareholders or members who have a proprietary or beneficial interest in its income or assets;
 - iv) the applicable laws of the NFE’s jurisdiction of residence or the NFE’s formation documents do not permit any income or assets of the NFE to be distributed to, or applied for the benefit of, a private person or non-charitable Entity other than pursuant to the conduct of the NFE’s charitable activities, or as payment of reasonable compensation for services rendered, or as payment representing the fair market value of property which the NFE has purchased; and
 - v) the applicable laws of the NFE’s jurisdiction of residence or the NFE’s formation documents require that, upon the NFE’s liquidation or dissolution, all of its assets be distributed to a Governmental Entity or other non-profit organization, or escheat to the government of the NFE’s jurisdiction of residence or any political subdivision thereof.

3. CONTROLLING PERSON

Means the natural persons who exercise control over an entity or any shareholder with interest of more than 25% shares or threshold set by the local authority. In the case of a trust, such term means the settlor, the trustee, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions, The term ‘Controlling Persons’ must be interpreted in a manner consistent with the FATF recommendations or by the local regulations governing non-individual entities. If the account is maintained for an entity of which the individual is a Controlling Person, then the ‘Controlling Person tax residency Self-Certification’ form should be completed instead of this form.

4. CUSTODIAL INSTITUTION

Means any Entity that holds, as a substantial portion of its business, Financial Assets for the account of others. This is where the Entity’s gross income attributable to the holding of Financial Assets and related financial services equals or exceeds 20% of the Entity’s gross income during the shorter of: (i) the three-year period that ends on 31 December (or the final day of a non-calendar year accounting period) prior to the year in which the determination is being made; or (ii) the period during which the Entity has been in existence.

5. DEPOSITORY INSTITUTION

Means any Entity that accepts deposits in the ordinary course of a banking or similar business.

6. ENTITY

Means a legal person or a legal arrangement, such as a corporation, partnership, trust or foundation.

7. FATCA

FATCA stands for the U.S. provisions commonly known as the Foreign Account Tax Compliance Act, which were enacted into U.S. law as part of the Hiring Incentives to Restore Employment (HIRE) Act on March 18, 2010. FATCA creates a new information reporting and withholding regime for payments made to certain non-U.S. financial institutions and other non-U.S. entities.

8. FINANCIAL ACCOUNT

Means an account maintained by a Financial Institution, and includes depository accounts, custodial accounts, equity and debt interest in certain investment entities; cash value insurance contracts and annuity contracts.

9. FINANCIAL INSTITUTION

A financial institution generally means an entity that is a depository institution, custodial institution, investment entity, or an insurance company (or holding company of an insurance company) that issues cash value insurance or annuity contracts.

10. INVESTMENT ENTITY

The term "Investment Entity" includes two types of Entities:

- i) an Entity that primarily conducts as a business one or more of the following activities or operations for or on behalf of a client:
 - Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;
 - Individual and collective portfolio management; or
 - Otherwise investing, administering, or managing Financial Assets or money on behalf of other persons.

Such activities or operations do not include rendering non-binding investment advice to a client.

- ii) "The second type of "Investment Entity" ("Investment Entity managed by another Financial Institution") is any Entity the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets where the Entity is managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or the first type of Investment Entity

11. NFE

Means any Entity that is not a Financial Institution.

12. PARTICIPATING JURISDICTION

Means a jurisdiction with which an agreement is in place pursuant to which it will provide the information set out in the CRS.

13. PASSIVE NFE

Means any:

- i) NFE that is not an Active NFE;
- ii) Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution; and
- iii) Refers to entities, organisations, companies or special purpose vehicles of private equity funds with non-active trading or business activities. It derives its income from passive assets and more than 50% of the entity's gross income are passive income. Examples of passive income are interests, dividends, royalties and rental income.

14. RELATED ENTITY

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.

15. REPORTABLE ACCOUNT

Means an account held by one or more Reportable Persons or by a Passive NFE with one or more Controlling Persons that is a Reportable Person.

16. REPORTABLE JURISDICTION

A Reportable Jurisdiction is a jurisdiction with which an obligation to provide financial account information is in place and that is identified in a published list.

17. REPORTABLE PERSON

Means reportable person other than:

- i) a corporation the stock of which is regularly traded on one or more established securities markets;
- ii) any corporation that is a Related Entity of a corporation
- iii) a Governmental Entity;
- iv) an International Organisation;
- v) a Central Bank; or
- vi) a Financial Institution

18. TAX RESIDENT

A Tax Resident/Resident (for tax purposes) is an individual or an entity who is resident under the tax laws of a jurisdiction.

19. TIN

Means Taxpayer Identification Number or functional equivalent in the absence of a Taxpayer Identification Number. Further details of acceptable TINs can be found at: <https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>

20. U.S. PERSON OR UNITED STATES PERSON

The term U.S. person or United States person means a person described in section 7701(a) (30) of the Internal Revenue Code:

- (a) a citizen or resident of the United States;
- (b) a United States partnership;
- (c) a United States corporation;
- (d) any estate (other than an estate the income of which, from sources without the United States which is not effectively connected with the conduct of a trade or business within the United States, is not includible in gross income under the Internal Revenue Code); and
- (e) any trust if:
 - (i) a court within the United States is able to exercise primary supervision over the administration of the trust; and
 - (ii) one or more United States persons have the authority to control all substantial decisions of the trust.

DISCLAIMER:

The above are selected definitions to assist you with the completion of this Form. Should you have any questions, please consult your tax or legal adviser on or in relation to CRS and FATCA.

S. TO BE COMPLETED BY DEALER'S REPRESENTATIVE (DR)

Name of DR :	Date Received :
BrokerLink Code :	Checked By /Date :

Type Of Account	Direct Trading Account	Securitized Account – Direct	Securitized Account – Nominee	Clicks Trader
Proposed Trading Limit (RM)				

Sales Person :	Day Trade Facility : Yes / No <i>*Please circle where applicable</i>	Phone Rate : Online Rate :
Staff Referral : <i>(Please indicate name and staff ID if applicable)</i>		
Event : <i>(Please indicate event code if applicable)</i>		

Additional Information (Mandatory)	
How do I know the Applicant / Name of Introducer :	_____
No. of years I know the Applicant :	_____ year(s)
Existing trading limit with other broker, if applicable :	RM _____ Name of Broker : _____
Trading experience with client :	_____
Other relevant information to justify the proposed limit :	_____
Estimated value of cash / shares to be deposited :	Cash : RM _____ Shares : RM _____
Please provide counter & quantity if any :	_____

I hereby;

- request CGS-CIMB to allow the Applicant to open a cash trading account and/or margin trading account/account-i and/or margin lite trading account/account-i with the Company.
- confirm that the information given by me above is true and I have not withheld any information which might prejudice this application; where the Applicant is unable to read and understand the provisions (including the rights, covenants, undertakings and obligations of the Applicant) as contained in the application form, I have distinctly, clearly and audibly translated the same for the Applicant into the..... language / dialect which is the language / dialect understood by the Applicant, and the Applicant has appeared to clearly understand the same.
- confirm that signature on page 7 is that of the Applicant and I am aware that the Applicant is required to comply with all the terms and conditions accompanying this application form which CGS-CIMB may vary from time to time at its absolute discretion.
- agree to allow the Applicant to use the electronic trading facilities. I confirm that the Applicant is fully aware and understands the processes, procedures and risks involved in using the services and executing transactions through the electronic trading facilities and the relevant laws, rules and regulations in relation to the trading and dealing of securities.
- undertake to indemnify CGS-CIMB against any losses, damages, debts, charges and all other costs and expenses whatsoever incurred or suffered or which CGS-CIMB may incur or suffer in relation to CGS-CIMB opening the account of this Applicant and the subsequent operation thereof and in connection with the provision of services and electronic trading facilities by CGS-CIMB to the Applicant.

Dealer's Representative (DR)

Name:

NRIC No.:

Date:

T. FOR OFFICE USE ONLY

Senior Management - Delegated Authority's Approval Section for High Risk Client

Approval granted to open a trading account for the applicant

Name : _____ Signature : _____

Credit Control – Credit Assessment [Based on information provided by Applicant]

Recommended Trading Limit	RM	(Direct)	Approved Trading Limit	RM	(Direct)
	RM	(ST)		RM	(ST)
Recommended By / Date	:		Approved By / Date	:	
Limit Updated By / Date	:		Limit Checked By/Date	:	

Remarks :

Compliance

Verified By / Date :