

## Corporate

### ACCOUNT APPLICATION FORM

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

<input type="checkbox"/> Non Face-To-Face Verification	Dealer Code : _____
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To be completed by CIMB																													
Type of Account	Client Code	CDS Account Number																											
<input type="checkbox"/> Direct Trading Account	<table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr> <td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td> </tr> </table>													0 6 5 - <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr> <td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td> </tr> </table> - <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr> <td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td> </tr> </table>															
<input type="checkbox"/> Securitised Trading Account- Direct	<table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr> <td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td> </tr> </table>													0 6 5 - <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr> <td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td> </tr> </table> - <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"> <tr> <td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td><td style="width: 10%;"></td> </tr> </table>															
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Remarks :																													

**CIMB INVESTMENT BANK BERHAD (18417-M)**  
(A PARTICIPATING ORGANISATION OF BURSA MALAYSIA SECURITIES BERHAD)

**Principal Office** : Level 13, Menara CIMB, Jalan Stesen Sentral 2, Kuala Lumpur Sentral, 50470 Kuala Lumpur Malaysia  
Telephone **(603) 2261 8888** Facsimile **(603) 2261 8889**

**Correspondence Address** : Level 17, Menara CIMB, Jalan Stesen Sentral 2, Kuala Lumpur Sentral, 50470 Kuala Lumpur Malaysia  
Telephone **(603) 2261 8888** Facsimile **(603) 2261 8889**

#### Branch Offices

- Petaling Jaya* : Level G & Level 1, Tropicana City Office Tower No. 3 Jalan SS20/27 47400 Petaling Jaya Selangor Malaysia  
Telephone **(603) 7717 3388** Facsimile **(603) 7717 3399**
- Penang* : Ground Floor Suite 1.01 & Suite 12A.03, Menara Boustead Penang No. 39, Jalan Sultan Ahmad Shah 10050 Penang Malaysia  
Telephone **(604) 238 5900** Facsimile **(604) 229 1616**
- Melaka* : Ground, 1st & 2nd Floor No. 191, Taman Melaka Raya Off Jalan Parameswara 75000 Melaka Malaysia  
Telephone **(606) 289 8800** Facsimile **(606) 289 8810**
- Johor* : No. 73, Ground Floor, 73A & 79A, First Floor, Jalan Kuning Dua, Taman Pelangi 80400 Johor Bahru Johor Malaysia  
Telephone **(607) 340 5888** Facsimile **(607) 335 1103**
- Kuantan* : A-27, Ground, 1st & 2nd Floor, Jalan Dato Lim Hoe Lek 25200 Kuantan Pahang Malaysia  
Telephone **(609) 5057 800** Facsimile **(609) 5144 023**
- Ipoh* : No. 8, 8A-C, Persiaran Greentown 4C, Greentown Business Centre, 30450 Ipoh Perak Malaysia  
Telephone **(605) 208 8688** Facsimile **(605) 241 0999**
- Kuching* : Aras 1 (Utara) Wisma STA No. 26, Jalan Datuk Abang Abdul Rahim 93450 Kuching Sarawak Malaysia  
Telephone **(6082) 358 688** Facsimile **(6082) 358 689**
- Sibu* : 6A Ground Floor, Jalan Bako Off Brooke Drive 96000 Sibu Sarawak Malaysia  
Telephone **(6084) 367 700** Facsimile **(6084) 336 316**
- Kota Kinabalu* : 1st, 2nd & 3rd Floor, Central Building, Jalan Sagunting 88000 Kota Kinabalu Sabah Malaysia  
Telephone **(6088) 328 878** Facsimile **(6088) 328 900**

**Website** : Group : [www.cimb.com](http://www.cimb.com) Internet Trading : [www.itradecimb.com.my](http://www.itradecimb.com.my)

## GUIDE TO COMPLETE CORPORATE ACCOUNT APPLICATION FORM

Follow these steps to open a Corporate Trading Account with CIMB Investment Bank Berhad (also referred to herein as “CIMB”, “you” or “your Company”):

1. **Complete all applicable fields of the Corporate Account Application Form.**  
Complete all applicable fields of the Corporate Account Application Form (Part A to H and Part J to M). Please type or write using **BLOCK LETTERS**. Any amendments made must be legible and countersigned by the authorized signatory(ies).
2. **Other mandatory forms that must be duly completed and signed:**
  - (a) Risk Disclosure Statement for Securities  
This serves to confirm that we have read and fully understood the Risk Disclosure Statement for Securities and the risks involved in investing or trading securities.
  - (b) Application for Opening Securities Account – for Corporate (Form FMN010)  
If we do not have an existing Central Depository Securities (“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 FMN010) and submitting the relevant documents as stated in the Form FMN010. This CDS Account is maintained by Bursa Malaysia Depository Sdn Bhd, the depository for all securities traded on Bursa Malaysia Securities Berhad.
  - (c) eServices Form (FMN060)  
We shall be required to complete a separate set of application form with regard to the crediting of eDividend and submit the relevant documents as stated in the Form FMN060.
3. **The completed form must be returned together with two (2) original certified true copies of each of the following supporting documents:**

Company incorporated under the Companies Act 1965	<ol style="list-style-type: none"> <li>(a) Board Resolution</li> <li>(b) Power of Attorney (if applicable)</li> <li>(c) NRIC / passport of the Authorised Signatories (both sides)</li> <li>(d) Memorandum &amp; Articles of Association</li> <li>(e) Form 8 or 9, 24 or if unavailable, the latest Annual Return, 44 and 49 (Form 13 and 20 only if applicable)</li> <li>(f) Latest audited accounts</li> </ol>
Society registered under the Societies Act 1966 or Co-operatives Act 1993	<ol style="list-style-type: none"> <li>(a) Board Resolution / Minutes of meeting</li> <li>(b) Power of Attorney (if applicable)</li> <li>(c) NRIC / passport of the Authorised Signatories (both sides)</li> <li>(d) Constitution/By-laws of the Society</li> <li>(e) Certificate of registration</li> <li>(f) Latest financial statement</li> </ol>
Corporations incorporated by an Act of Parliament or State Enactment and other Statutory Bodies	<ol style="list-style-type: none"> <li>(a) Board / Investment Panel's Resolution</li> <li>(b) Power of Attorney (if applicable)</li> <li>(c) NRIC / passport of the Authorised Signatories (both sides)</li> <li>(d) In respect of statutory body, a copy of the Act/Enactment incorporating the said body</li> <li>(e) Latest financial statement</li> </ol>
Trust Foundation	<ol style="list-style-type: none"> <li>(a) Board Resolution / Minutes of meeting</li> <li>(b) Trust Deed</li> <li>(c) Power of Attorney (if applicable)</li> <li>(d) NRIC / passport of the Authorised Signatories (both sides)</li> <li>(e) Certificate of registration</li> <li>(f) Latest financial statement</li> </ol>
Foreign incorporated companies	Foreign incorporated company's equivalent of the legal documentation to support evidence of ownership, company name, registration number, registered address, place of incorporation and financial statement.

4. **The Board Resolution must state:**
  - (a) authorisation to open and operate securities trading account and Central Depository Securities (CDS) Account (if applicable) with CIMB INVESTMENT BANK BERHAD;
  - (b) authorisation to deal in securities;
  - (c) the name, designation, NRIC / Passport number and specimen signature of persons authorised to operate the account; and
  - (d) the affixation of common seal or company rubber stamp on all documents.

## IMPORTANT NOTES:

1. Please read the general terms and conditions of CIMB (“CIMB’s General Terms and Conditions”).
2. The application herein is subject to the approval of CIMB and CIMB reserves the right to reject the application without giving any reasons.
3. For transactions in Non-Ringgit securities trading through CIMB, the applicant is required to complete a W-8BEN-E form.

**A. ACCOUNTS THAT WE NEED**

**Tick where applicable**

Type of Broking:

Conventional Broking  Islamic Broking

Type of Account:

Direct Trading Account  Securitised Trading Account - Direct  Securitised Trading Account - Nominee  
*(applicable if client wishes to apply for an account with CIMSEC Nominees)*

**YES, We wish to apply for the following facilities:-**

Online Trading **i\*Trade@CIMB**  Non-Ringgit Securities Trading *(applicable for Conventional Broking only)*

**B. CORPORATE DETAILS**

Name of Applicant

Account Qualifier (Beneficial owner)

Registration No.  Country of Incorporation  Malaysia  Others

For US Entity, Tax ID required  Tax ID

Type of Organisation  Private Company  Public Limited  Government Agency  
 Society/Association  Others (Please specify)

Nature of Business  Date of Incorporation

Registered Address (as per registration doc.)   
 Postcode

Business Address (if differs from above)   
 Postcode

Business Premise  Own Property  Mortgage  Rented

Telephone No.  Telex No.

Fax No.  Website

Ultimate Holding Company (If applicable)

Registration No.  Country of Incorporation  Malaysia  Others

**C. FINANCIAL INFORMATION**

As At (DD/MM/YYYY)

Authorised Share Capital  Issued/Fully Paid Up Capital

Total Tangible Assets  Total Liabilities

Net Shareholders' Funds  Net Current Assets

Profit After Taxation in Preceding 4 Years

Year   Year

Year   Year

**D. BANK REFERENCE**

* Bank	Branch	Account Number	Account Type
_____	_____	_____	_____
_____	_____	_____	_____
_____	_____	_____	_____

\* Note : Foreign Bank Accounts must be supplemented with the US Global Intermediary ID

**E. 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)

**F. 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	_____	_____	_____
7	_____	_____	_____
8	_____	_____	_____

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

**G. SUBSTANTIAL INDIVIDUAL SHAREHOLDERS / BENEFICIARY OWNER (25% OR MORE) OR DIRECTORS**

Name	Passport / Identification Document	Nationality
1	_____	_____
2	_____	_____
3	_____	_____
4	_____	_____

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

Note : Foreign Nationals may be required to furnish Foreign Tax ID's or form

**H. OTHER INFORMATION**

Does the Applicant have a trading account with other brokers?    Yes    No

Does the Applicant's related companies or its associate companies have a trading account with CIMB Investment Bank Berhad? If yes, please provide the following details:    Yes    No

Name	Account No.
1	_____
2	_____
3	_____



### L3. NOMINEES SERVICES

- 3.1 In relation to Foreign Securities, CIMB will appoint foreign sub-agents as an intermediary to safe-keep our Foreign Securities or assets. We acknowledge that there may be additional risks in relation to such foreign sub-agents, including risks arising from the operation of foreign law, rules and regulations, and I agree to accept such risks.
- 3.2 We acknowledge that as a shareholder we are aware of all corporate events in regards to the Securities invested by us. CIMB will process the corporate event to the best of CIMB's ability and we agree that we are prepared to assume the risks of delayed processing due to market condition. We agree to bear any and all charges incurred due to the processing of the corporate events in regards to the Securities invested by us.

### L4. RIGHTS ISSUE, WARRANT AND OTHER OPTIONS

- 4.1 Investing in rights issues, warrants and other options (each a "Right" and collectively, "Rights") carry the following additional risks:
- (a) the Rights are wasting assets which become worthless when they expire. We run the risk of losing the entire amount paid for the Rights in a relatively short period of time. If we neither sell my Rights in the secondary market nor exercise them prior to their expiration we may lose my entire investment in the Rights;
  - (b) the fact that Rights become valueless upon expiration means that we must not only be right about the direction of an anticipated price change in the underlying interest, but must also be right about when the price change will occur;
  - (c) the more a Right is out of the money and the shorter the remaining time to expiration, the greater the risk that we will lose all or part of our investment in the Right. The greater the price movement of the underlying Securities necessary for the Right to become profitable (that is, the more the Right is out of the money when purchased and the greater the cost of the Right) and the shorter the time within which this price movement must occur, the greater the likelihood that we will incur a loss;
  - (d) the exercise provisions of a Right may create certain risks for us. If the Right does not have an automatic feature, we must, to exercise the Right, ensure that action is taken in a timely manner. Accordingly, we must give such instructions to, and where necessary make such payments in reasonably sufficient time as may be required by CIMB, for CIMB to exercise or procure the execution of such instructions. We acknowledge that failing to comply with CIMB's deadline may result in us losing our rights. On the other hand, if the Right has an automatic exercise feature such as one that will cause the Right to be automatically exercised at the expiration if it is in the money by a specified amount the Right may be exercised at a price at which we would not voluntarily choose to exercise in view of the transactions costs of exercise or other factors. The transaction costs associated with the exercise could even exceed the cash settlement amount of the Right, with the result that we would incur a net loss from the exercise; and
  - (e) in the case of Foreign Securities, the exercise of Rights may be subject to any applicable foreign rules, laws or regulations. It is possible that a court, a stock exchange or another regulatory agency having jurisdiction would impose a restriction which would have the effect of restricting the exercise of a Right. In such a case the Right would not be exercisable until the restriction was terminated. In the remote possibility that the restriction were to remain in effect until the expiration of the Right, the Right would expire worthless, and we would lose the entire amount that we paid for the option.

### L5. STRUCTURED WARRANTS

- 5.1 We understand and accept the following relating to structured warrants:
- (a) the purchaser of a structured warrant is subject to the risk of losing the full purchase price of the structured warrants and all transaction costs;
  - (b) in order to realise any value from a structured warrant, it is necessary to sell the structured warrants or exercise the structured warrants on or before their expiry date;
  - (c) under certain conditions, it may become difficult to sell the structured warrants;
  - (d) upon exercise of the structured warrants, the issuer may settle its obligations via actual delivery of the underlying assets, in cash or a combination of both depending on the terms of the issue of the structured warrants;
  - (e) the placing of contingent orders, such as "stop-loss" or "stop limit" orders, will not necessarily limit my losses to the intended amount. Market conditions may not make it possible to execute such orders;
  - (f) the high degree of leverage that is obtainable from structured warrants because of the small initial outlay, can work against me as well as in my favour. The use of the leverage can lead to large losses as well as gain; and
  - (g) this brief statement cannot disclose all risks associated with trading in structured warrants.

**Structured warrants:** means individually or collectively as the context may require, call warrants, put warrants, basket warrants, bull equity-linked structures or such other structures that may be specified by Bursa Securities from time to time.

### L6. OTHER RISKS

- 6.1 We should familiarise myself with the protection accorded to any money or other property which we deposit for domestic and foreign transactions, particularly in the event of insolvency or bankruptcy. The extent to which we may recover my money or property may be governed by specific legislation or local rules. In some jurisdictions, property which had been specifically identifiable as my own will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall.
- 6.2 Before we begin to trade, we should know all commissions, fees and other charges for which we will be liable. These charges will affect our net profit (if any) or increase my loss.
- 6.3 Transactions on markets in other jurisdictions, including markets formally linked to a domestic market, may expose us to additional risks such as different or diminished investor protection. Before we trade, we should enquire about any rules relevant to my particular transactions. Our local regulatory authority will be unable to compel the enforcement of the rules of the regulatory authorities or markets in other jurisdictions where my transactions have been effected. We should know and understand the types of redress available in both our home jurisdiction and other relevant jurisdictions before we start to trade.
- 6.4 The profit or loss in transactions in foreign currency-denominated Securities (whether they are traded in our own or another jurisdiction) will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

- 6.5 Most open-outcry and electronic trading facilities are supported by computer-based component systems for the order-routing, execution, matching, registration or clearing of trades. As with all facilities and systems, they are vulnerable to temporary disruption or failure. Our ability to recover certain losses may be subject to limits on liability imposed by the system provider, the market, the clearing house and/or member firms. Such limits may vary. We should know and understand such risks before we start to trade.
- 6.6 Trading on an electronic trading system may differ not only from trading in an open-outcry market but also from trading on other electronic trading systems. If we undertake transactions on an electronic trading system, we will be exposed to risks associated with the system including the failure of hardware and software. The result of any system failure may be that our order is either not executed according to our instructions or not executed at all.
- 6.7 For off-exchange transactions, it may be difficult or impossible to liquidate an existing position, to assess the value, to determine a fair price or to assess the exposure to risk. For these reasons, these transactions may involve increased risks. Off-exchange transactions may be less regulated or subject to a separate regulatory regime. Before we undertake such transactions, we should familiarise ourselves with the applicable rules and attendant risks.
- 6.8 We acknowledge that as a shareholder we are aware of all corporate events in regards to the Securities invested by us. CIMB will process the corporate event to the best of CIMB's ability and we agree that we are prepared to assume the risks of delayed processing due to market condition. We agree to bear any and all charges incurred due to the processing of the corporate events in regards to the Securities invested by us.

#### L7. NON-ADVISORY NATURE OF RELATIONSHIP

Unless we have a specific agreement with CIMB for the provision of financial advisory services we should note and accept that CIMB's relationship with us in relation to our securities and securities related transactions is purely as execution broker/dealer only or as counterparty to us. Any answers provided by CIMB or its employees or representatives to answer our queries should not be assumed to be backed by any prior reasonable due diligence or research or specifically suitable for reliance by ourselves without us first independently confirming that the answer is intended as specific advice to and is suitable for or to our specific investment objectives, financial situation and particular needs or us verifying the same with our independent advisers on its specific suitability for our specific investment objectives, financial situation and particular needs.

#### M. DECLARATION BY APPLICANT

By signing this Account Application Form, we hereby declare/agree/undertake that:

1. We are not insolvent, under any winding up proceedings or placed under any receiver or manager;
2. The information given in this Account Application Form is true and correct and that we have not willfully withheld any facts;
3. We shall keep you informed of any change in our particulars given in this Account Application Form; or complete any necessary forms within 30 days;
4. We authorise you to verify any information given by us from any sources that you may in your sole discretion deem appropriate; or complete any necessary forms within 30 days
5. 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;
6. We are fully aware of and understand the relevant laws, rules and regulations in relation to the trading and dealing of securities;
7. We shall indemnify CIMB against any losses, damages, debts, charges, taxes and all other costs and expenses whatsoever incurred, withheld or suffered or which CIMB may incur or suffer by reason of or in relation to or arising from or in connection with the provision of services and electronic trading facilities by CIMB to us;
8. Under Rule 5.15 (8) & (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 : \_\_\_\_\_

9. \*Applicable for resident corporate of Malaysia which opts for Non-Ringgit Securities Trading only (Please tick where applicable)

We do not have domestic ringgit borrowing as defined under the Foreign Exchange Administration Rules of Bank Negara Malaysia (BNM).

We have domestic ringgit borrowing as defined under the Foreign Exchange Administration Rules of BNM and we further declare that we am fully aware of the exchange control regulations imposed by BNM and agree that it is our responsibility to ensure that our investments abroad at all times shall be within the limit(s) imposed by BNM from time to time.

10. Subject to the provisions below which (i) prohibit disclosure of information to companies within the group of CIMB as well as companies within the group of CIMB Group Holdings Berhad, CIMB's ultimate holding company ("the Group Companies") if objected to by us; and (ii) require our express consent for disclosure of information to third parties for the stated purposes, we hereby agree and authorise CIMB to disclose to any of its regulators, agents, service providers, auditors, legal counsel, professional advisors, security providers and guarantors in or outside Malaysia and to the Group Companies whether such Group Companies are residing, situated, carrying on business, incorporated or constituted within or outside Malaysia any information relating to us, our affairs and/or any accounts maintained by us with CIMB for facilitating the business, operations, facilities and services of or granted or provided by CIMB and/or the Group Companies to their customers and any of such information to the extent required by any applicable law, rules, regulation, order of a court of competent jurisdiction or any government, supervisory or regulatory authority.

**M. DECLARATION BY APPLICANT (CON'T)**

Disclosure to Group Companies shall be for facilitating the operations, businesses, cross-selling and other purposes of CIMB and/or the Group Companies provided always that **disclosure for cross selling purposes shall not be effected if such disclosure is objected by us** by writing to CIMB at the following address (which may be changed by CIMB from time to time by notice to us): 17<sup>th</sup> Floor, Menara CIMB, Jalan Stesen Sentral 2, Kuala Lumpur Sentral, 50470 Kuala Lumpur (Attention to CMRM - Data Management)

Further, where 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.

**11. PERSONAL DATA NOTICE ACKNOWLEDGEMENT**

We agree to notify our individual shareholders, directors, officers, individual guarantors and security providers in writing of the Personal Data Notice issued by Bursa Malaysia, which is available at Bursa Malaysia's website at [www.bursamalaysia.com](http://www.bursamalaysia.com) or has otherwise been made available to us.

12. 

Initial	Tick

 We also acknowledge that we have received, read, understood the contents of 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. We hereby consent for CIMB and its related and associated corporations (collectively "**CIMB Group**") to share our information as above, including information on directors, or shareholders or owners or beneficial owners that are U.S. Persons, 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. 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 CIMB Group and for CIMB Group 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.

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

Where required by domestic or overseas governmental, supervisory or regulatory authorities, we understand and agree that CIMB and/or CIMB Group 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.

We also agree and undertake to notify CIMB in a timely manner (which in any case, within 30 calendar days), and provide the information if requested by CIMB, if there is a change in any information which we have provided to CIMB as above.

And we make this solemn declaration conscientiously believing the same to be true.

**AFFIX COMPANY STAMP / SEAL HERE**

\_\_\_\_\_  
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  
Name:  
New NRIC/Passport No.:  
Date:

Staff ID & Branch Code :  
Affixation of Bank's Rubber Stamp  
(For Use of CIMB Bank Berhad Only)

\* Delete whichever is not applicable



**N. TO BE COMPLETED BY DEALER'S REPRESENTATIVE/AUTHORISED OFFICER OF CIMB BANK BERHAD**

Proposed Trading Limit (RM)	Direct Trading Account	Securitized Account - Direct	Securitized Account - Nominee

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 :	_____ Years
Existing trading limit with other broker, if applicable :	RM _____ Name of Broker: _____
CIMB Preferred Membership :	<input type="checkbox"/> Yes <input type="checkbox"/> No
Trading experience with client :	_____
Other relevant information to justify the proposed limit :	_____
Estimate value of cash / shares to be deposited	Cash: RM _____ Shares: RM _____
Please provide counter & quantity if any :	_____

I hereby

- request CIMB to allow the Applicant to open a trading account 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;
- declare I am aware that the Applicant is required to comply with all the terms and conditions accompanying this application form which 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 CIMB against any losses, damages, debts, charges and all other costs and expenses whatsoever incurred or suffered or which CIMB may incur or suffer in relation to 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 CIMB to the Applicant.

Dealer's Representative/ Authorised Officer of CIMB Bank Berhad\*\*

Name :

NRIC No. :

Date :

\*\* Applicable to CIMB Bank Berhad Branch Broking Only

**O. FOR OFFICE USE ONLY**

<b>Retail Equities</b>	Date Received :
BrokerLink Code:	Checked By /Date:

<b>Data Management</b>	
<b>Checklist</b>	✓
Application Form duly completed and signed by the authorized persons in accordance to the Board Resolution & DR / authorised officer of CIMB Bank (AO)	
Rule 5.15 (8) & (9) - Client's Disclosure	
Board Resolution and signatory list with specimen signatures	
Memorandum & Articles of Association / Constitution / By-Laws	
Certificate of Incorporation and Change in Names, if any (Form 8/9/13) / Certificate of Registration	
Return of Allotment of Shares/ Annual Return (Form 24)	
Notice of Situation of Registered Office (Form 44)	
Certificate of Board of Directors and Company Secretary (Form 49)	
Audited Accounts / Financial Statement	
Solvency Declaration and Appointment of Stockbroker (applicable for share-buy back)	
Client's address verified against address of DR / AO	
Negative List : Yes / No	Dealer Code :
AML / CFT Watch List : Yes / No	Dir Code for Clearing A/C :
Auto Averaging : Yes / No	Clearing A/C Type :
Client Risk Profile : High / Medium / Low	
Foreigner <input type="checkbox"/>	PEP <input type="checkbox"/>
High Net Worth <input type="checkbox"/>	Others <input type="checkbox"/> _____
Occupation <input type="checkbox"/>	
Remarks:	
Parent Code :	Classification :
Client Code : (Direct)	OMS Account Type : (Direct)
: (ST)	: (ST)
Sales Person :	Initial Trading Limit :
Verified By / Date :	Approved By / Date :
Data Entry By / Date :	Checked By / Date :

<b>Risk Monitoring – Credit Assessment</b>					
Credit Search	:	Yes / No			
Recommended Trading Limit	RM	(Direct)	Approved Trading Limit	RM	(Direct)
	RM	(ST)		RM	(ST)
Recommended By / Date	:		Approved By / Date	:	
Remarks:					

<b>Group Compliance</b>	
Verified By / Date	: