

Individual

ACCOUNT APPLICATION FORM

Name of Applicant :

(also referred to herein as Applicant, I, me or my)

<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	<input type="text"/>	0 6 5 - <input type="text"/> - <input type="text"/>
<input type="checkbox"/> Securitised Trading Account- Direct	<input type="text"/>	0 6 5 - <input type="text"/> - <input type="text"/>
<input type="checkbox"/> Securitised Trading Account- Nominee	<input type="text"/>	0 6 5 - <input type="text"/> - <input type="text"/>
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 : Level 2, Menara BHL, 51 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

Internet Trading : www.itradecimb.com.my

GUIDE TO COMPLETE INDIVIDUAL ACCOUNT APPLICATION FORM

Follow these simple steps to open an Individual Trading Account with CIMB Investment Bank Berhad (also referred to herein as "CIMB", "you" or "your Company"):

1. **Complete all applicable fields of the Individual Account Application Form.**
Complete all applicable fields of the Individual 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 applicant.
2. **Other mandatory forms that must be duly completed and signed:**
 - (a) Risk Disclosure Statement for Securities
This serves to confirm that I 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 Individual (Form FMN010)
If I do not have an existing Central Depository Securities ("CDS") Account, I 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)
I shall be required to complete a separate set of application form with regard to the crediting of dividend and submit the relevant documents as stated in the Form FMN060
3. **The completed Individual Account Application Form must be returned together with the following supporting documents:**
 - (a) 5 certified true copies of
 - (i) Malaysian NRIC/Armed Forces or Police Personnel/Authority Card (both sides); or
 - (ii) Non-Malaysian Passport AND a copy of valid VISA
 - (b) 1 copy of latest Bank Statement/Payslip/EA Form/Income Tax Return Form.
 - (c) 1 copy of valid VISA for Non Malaysian is required. Please find types of VISA required as follow :

Item	Categories of Non-Malaysian	Types of VISA Required
1	Foreign Student	(a) Student Visa , AND (b) Educational Institutional Entrance /Admission Letter (The letter which will states the duration of the courses)
2	Foreign Spouse/Foreign National with family ties with a Malaysian citizen / PR of Malaysia/Ex-Malaysia)	(a) Entry Permit , AND (b) Social Visit Pass/Long Term Social Visit Pass (whenever is available)
3	Foreign Worker/Domestic Helper	(a) Visitors Pass (Working Visa) , (b) Letter of Employment in Malaysia (that stated the length of employment)

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. 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 individual Account Application Form, Form FMN010, Form FMN060 and the photocopy of documents mentioned in 3(a) and 3(b) above.
4. For transactions in Non-Ringgit securities trading through CIMB, the applicant is required to complete a W-8BEN form.

A. ACCOUNTS THAT I 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 CIMBSEC Nominees) Clicks Trader

YES, I wish to apply for the following facilities:-

Online Trading  Non-Ringggit Securities Trading (applicable for Conventional Broking only)

B. PERSONAL DETAILS

Name
(as per NRIC/Passport)

New NRIC No. - - Old NRIC /Passport No.

Gender Male Female Marital Status Single Married Others _____

Residential Status Resident Non-Resident Race Bumiputra Chinese Indian Others _____

Nationality Malaysian Others _____ Date of Birth
(dd/mm/yyyy)

For US Person, Tax ID required Tax ID _____ Visa Expiry Date
(dd/mm/yyyy)

Registered Address
(as per NRIC/Passport) Postcode

Mailing Address
(If differs from the above) Postcode

Home Telephone No. Mobile Phone No.

E-mail Address _____ Home Fax No.

C. EMPLOYMENT DETAILS

Employment Status Employed Self Employed Others _____
(For retiree, please specify the last employment prior to retirement)

Name of Employer/ Firm / Business _____

Nature of Business _____ Registration No. (If own business) _____

Designation/ Occupation _____ *Years in Employment/Business (Optional) _____

Office/Business Address Postcode

Office Telephone No. *Office Fax No. (Optional)

D. FINANCIAL INFORMATION

* Bank/Branch	Account Number	Account Type	Credit Line (If applicable)

Gross Annual Income Below RM12,000 RM12,000-RM24,000 RM24,001-RM36,000 RM36,001-RM48,000
 RM48,001-RM60,000 RM60,001-RM100,000 RM100,001-RM300,000 Above RM300,000

Estimated Net Worth Below RM50,000 RM50,000- RM100,000 RM100,001- RM200,000 RM200,001 - RM500,000
 RM500,001 - RM1,000,000 RM1,000,001 - RM2,000,000 RM2,000,001- RM3,000,000 Above RM3,000,000

Source of Wealth/Funds Savings Salary Business Income Directorship
 Rental Income Investment Income Inherited Wealth Others _____

E. PARTICULARS OF SPOUSE (IF MARRIED) (MANDATORY) OR NEXT OF KIN (IF NOT MARRIED)

Name (as per NRIC/Passport) _____ Relationship with Applicant _____

New NRIC No. _____ Old NRIC/Passport No. _____

Employment Status Employed Self Employed Others _____ Nationality Malaysian Others _____
(For retiree, please specify the last employment prior to retirement)

Name of Employer/ Firm / Business _____ Designation/Occupation _____

Office/Business _____

Address _____

 _____ Postcode _____

Telephone No. _____ Mobile Phone No. _____

Gross Annual Income Below RM12,000 RM12,000-RM24,000 RM24,001-RM36,000 RM36,001-RM48,000
 RM48,001-RM60,000 RM60,001-RM100,000 RM100,001-RM300,000 Above RM300,000

F. 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)

G. PARTICULARS OF RELATED OR CONNECTED PERSONS OR ACCOUNTS

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

If yes, please specify Name of Broker _____

Is the Applicant related to any Staff / Director / Dealer's Representative of CIMB Investment Bank Berhad / CIMB Bank Berhad / CIMB Islamic Bank Berhad? Yes No

If yes, please provide the following details:

Name	Designation	Relationship
_____	_____	_____

Are there any trading accounts maintained with CIMB Investment Bank Bhd which are held by persons related to or connected with the Applicant (including but not limited to the spouse of the Applicant, partner (s) of the Applicant or the Applicant's spouse and companies or firms controlled by the Applicant and or the Applicant's spouse)? Yes No

If yes, please provide the following details:

Name	Designation	Relationship
_____	_____	_____

H. POLITICALLY EXPOSED PERSON ('PEP')⁽¹⁾

1. Does the Applicant hold, or has previously held or is actively seeking a position or is being considered for a prominent public position? Yes No

If yes, please elaborate Position Held : _____ No. of Years : _____

2. Does any of the Applicant's immediate family member(s) hold, or has previously held or is actively seeking a position or is being considered for a prominent public position? Yes No

If yes, please elaborate Name of immediate family member(s) : _____

Relationship : _____ NRIC/Passport No.: _____ Position Held: _____

(1) PEPs including their immediate family, relatives and close associates (RCA), are individuals who are or have been entrusted with prominent public functions e.g. Heads of State, Heads of Government, senior politicians, senior government, judicial or military officials, senior executives of state owned corporations and important political party officials and International Organisations (e.g. UN, IMF, World Bank)

K4. 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. I run the risk of losing the entire amount paid for the Rights in a relatively short period of time. If I neither sell my Rights in the secondary market nor exercise them prior to their expiration I may lose my entire investment in the Rights;
 - (b) the fact that Rights become valueless upon expiration means that I 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 I will lose all or part of my 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 I will incur a loss;
 - (d) the exercise provisions of a Right may create certain risks for me. If the Right does not have an automatic feature, I must, to exercise the Right, ensure that action is taken in a timely manner. Accordingly, I 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. I acknowledge that failing to comply with CIMB’s deadline may result in me losing my 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 I 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 I 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 I would lose the entire amount that I paid for the option.

K5. STRUCTURED WARRANTS

- 5.1 I 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.

K6. OTHER RISKS

- 6.1 I should familiarise myself with the protection accorded to any money or other property which I deposit for domestic and foreign transactions, particularly in the event of insolvency or bankruptcy. The extent to which I 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 I begin to trade, I should know all commissions, fees and other charges for which I will be liable. These charges will affect my 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 me to additional risks such as different or diminished investor protection. Before I trade, I should enquire about any rules relevant to my particular transactions. My 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. I should know and understand the types of redress available in both my home jurisdiction and other relevant jurisdictions before I start to trade.
- 6.4 The profit or loss in transactions in foreign currency-denominated Securities (whether they are traded in my 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. My 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. I should know and understand such risks before I 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 I undertake transactions on an electronic trading system, I 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 my order is either not executed according to my 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 I undertake such transactions, I should familiarise myself with the applicable rules and attendant risks.
- 6.8 I acknowledge that as a shareholder I am aware of all corporate events in regards to the Securities invested by me. CIMB will process the corporate event to the best of CIMB's ability and I agree that I am prepared to assume the risks of delayed processing due to market condition. I agree to bear any and all charges incurred due to the processing of the corporate events in regards to the Securities invested by me.

K7. NON-ADVISORY NATURE OF RELATIONSHIP

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

L. DECLARATION BY APPLICANT

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

1. I am not under eighteen (18) years of age or an undischarged bankrupt or of unsound mind;
2. I am not in the employment of another Participating Organisation of Bursa Malaysia Securities Berhad;
3. the signatures below shall also be the specimen signatures for all communications, instructions and transactions requiring my signature;
4. The information given in this Account Application Form is true and correct and that I have not willfully withheld any facts;
5. I shall keep CIMB informed of any change in my particulars given in this Account Application Form; or complete any necessary forms within 30 days;
6. I authorise CIMB to verify any information given by me from any sources that CIMB may in its sole discretion deem appropriate;
7. Under Rule 5.15 (8) & (9) of the Rules of Bursa Malaysia Securities Berhad, I do solemnly declare that the dealings in securities in respect of my trading account are/shall be carried out for me as principal;
8. I am fully aware of and understand the processes, procedures and risks involved in using the services and executing transactions through the electronic trading facilities;
9. I am fully aware of and understand the relevant laws, rules and regulations in relation to the trading and dealing of securities;
10. I 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 me;
11. Applicable for resident individual of Malaysia who opts for Non-Ringgit Securities Trading only (Please tick where applicable)
 - I do not have domestic ringgit borrowing as defined under the Foreign Exchange Administration Rules of Bank Negara Malaysia (BNM).
 - I have domestic ringgit borrowing as defined under the Foreign Exchange Administration Rules of BNM and I further declare that I am fully aware of the exchange control regulations imposed by BNM and agree that it is my responsibility to ensure that my investments abroad at all times shall be within the limit(s) imposed by BNM from time to time.
12. 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 me; and (ii) require my express consent for disclosure of information to third parties for the stated purposes, I 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 me, my affairs and/or any accounts maintained by me 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.

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 me** by writing to CIMB at the following address (which may be changed by CIMB from time to time by notice to me): 17th Floor, Menara CIMB, Jalan Stesen Sentral 2, Kuala Lumpur Sentral, 50470 Kuala Lumpur (Attention to CMRM - Data Management)

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

- I hereby give my consent to the above disclosure to third parties.
- I do not consent to the giving of the above disclosure to third parties

13. **PRIVACY NOTICE ACKNOWLEDGMENT**

I hereby acknowledge that I have accessed and/or read:

(a) the Privacy Notice issued by CIMB Group (which is available at all CIMB branches as well as at the i*Trade@CIMB website at www.itradecimb.com.my or has otherwise been made available to me); 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 me), and confirm my agreement to the same.

14.

Initial	Tick

 I also acknowledge that I 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;

15. I hereby confirm the information provided above is true, accurate and complete.

I hereby consent for CIMB and its related and associated corporations (collectively "**CIMB Group**") to share my information with domestic or overseas regulators or tax authorities, where necessary to establish my tax liability in any relevant jurisdiction.

I agree and undertake to sign and/or deliver to any member of the CIMB Group additional information, documents and/or forms, 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, I understand and agree that CIMB and/or CIMB Group may withhold, and pay out, from any of my 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.

I 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 I have provided to CIMB as above.

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

Signature Of Applicant

Name:

New NRIC/Passport No.:

Date:

* Delete whichever is not applicable

*Signature Of Dealer's Representative / Witness / Notary Public

Name:

New NRIC/Passport No.:

Date:

Staff ID & Branch Code :

Affixation of Bank's Rubber Stamp
(For Use of CIMB Bank Berhad Only)

M1. TO BE COMPLETED BY DEALER'S REPRESENTATIVE (DR) /AUTHORISED OFFICER (AO) 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>		

M2. TO BE COMPLETED BY RETAIL EQUITIES SPECIALIST (RES) FOR CLICKS TRADER PRODUCT ONLY

Account Parking Branch	Branch Name :	Branch Code :
Retail Equities Specialist (RES) <i>(Please indicate RES details if applicable)</i>	Staff ID : <input type="text"/>	Dealer Code : RES Branch Code :
Authorised Officer (AO)** <i>(Please indicate AO details if applicable)</i>	Staff ID : <input type="text"/>	Staff Name :
CIMB Bank Staff Referral <i>(Please indicate staff referral details if applicable)</i>	Staff ID : <input type="text"/>	Referral Branch Name : Referral Bank Branch Code :
Central Dealing Team	Dealer Code : <input type="text"/>	Dealer Code : <input type="text"/>
Event Code <i>(Please indicate event code if applicable)</i>		Product Code <i>(Please indicate product code if applicable)</i>

N. TO BE COMPLETED BY DEALER'S REPRESENTATIVE (DR) /AUTHORISED OFFICER (AO) OF CIMB BANK BERHAD / RETAIL EQUITIES SPECIALIST (RES) FOR CLICKS TRADER PRODUCT ONLY

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	:
Estimated 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; 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 6 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 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 (DR) /Authorised Officer (AO) of CIMB Bank Berhad** /Retail Equities Specialist (RES)

Name :

NRIC No. :

Date :

** Applicable to CIMB Bank Berhad Branch Broking Only

O. FOR OFFICE USE ONLY

Retail Equities	Date Received :
BrokerLink Code:	Checked By /Date:

Data Management		
Checklist		✓
Application Form duly completed and duly signed by client & Dealer's Representative (DR) / Authorised Officer of CIMB Bank Berhad (AO)		
Personal Data		
Employment Data		
Rule 5.15 (8) & (9) - Client's Disclosure		
NRIC/Passport/Authority Card duly certified by DR / AO of CIMB Bank Berhad / Notary Public / etc		
Proof of Income (if any)		
Client's Address Verified Against Address of DR / AO		
VISA for Foreigner		
Negative List : Yes / No	Dealer Code :	
AML / CFT Watch List : Yes / No	Auto Averaging : Yes / No	
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 :	

Risk Monitoring – Credit Assessment [Based on information provided by Applicant]					
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:					

Group Compliance	
Verified By / Date :	