

## Corporate

### ACCOUNT APPLICATION FORM

Name of Applicant :

(also referred to herein as Applicant, we, us or our)

To be completed by CGS-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"/>
<input type="checkbox"/> Margin Trading Account	<input type="text"/>	0 6 5 - <input type="text"/> - <input type="text"/>
Remarks:		

**CGS-CIMB SECURITIES SDN BHD** (formerly known as Jupiter Securities Sdn Bhd)(48703-W)  
(A PARTICIPATING ORGANISATION OF BURSA MALAYSIA SECURITIES BERHAD)

**Correspondence / Business Address :** Level G, Tropicana City Office Tower, No. 3, Jalan SS 20/27, 47400 Petaling Jaya, Selangor Darul Ehsan, Malaysia  
Telephone (603) 2635 6666 Facsimile (603) 7710 0304

Please refer to [www.itradecimb.com.my](http://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 M). Please type or write using BLOCK LETTERS. Any amendments made must be legible and countersigned by the authorized signatory (ies).

**2 The completed CGS-CIMB Corporate Account Application form must be returned together with each of the following supporting documents:**

(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 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 FMN070) and submitting the relevant documents as stated in the Form FMN070. This CDS Account is maintained by Bursa Malaysia Depository Sdn Bhd, the depository for all securities traded on Bursa Malaysia Securities Berhad.

(b) CDS Board Resolution **(2 COPIES)**

*(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 COPY)**

To open Securities Trading Accounts with CGS-CIMB

(d) MEMORANDUM & ARTICLES OF ASSOCIATION, or CONSTITUTION, If Applicable **(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.

(e) Latest Audited Accounts/Financial Statements – If Applicable **(1 CERTIFIED TRUE COPY)**

(f) Power Of Attorney – If Applicable **(3 CERTIFIED TRUE COPIES)**

(g) Photocopy of NRIC/PASSPORT of the *Authorised Personnel* as per Board Resolution and *Director* both sides **(1 CERTIFIED TRUE COPY)**

(h) Bank Statement – Bank statement /confirmation letter from the bank/bank statement extracted from internet/print out from system/passbook/cheque book **(2 CERTIFIED TRUE COPIES)**

(i) Forms **(3 CERTIFIED TRUE COPY)**

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 / Annual Return	(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))
(d) 49 Return giving particulars in register of Directors, Managers & secretaries changes of particulars.	
(e) 13 (if applicable) Certificate of incorporation on change of name of company	
(f) 20 (if applicable) Certificate of incorporation on conversion to a public company	

(j) **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)**

b) Company

- Forms 24 and 49 or return for allotment of shares and notification of change in the register of directors, managers and secretaries (whichever is applicable) **(1 CERTIFIED TRUE COPY)**

**3 Supporting documents for Margin Trading Account :**

- (a) MEMORANDUM & ARTICLES OF ASSOCIATION, or CONSTITUTION documents, if applicable **(1 CERTIFIED TRUE COPY)**
- (b) Audited accounts for past 2 years **(1 CERTIFIED TRUE COPY)**
- (c) Form 9 (Certificate of Incorporation) for companies incorporated under Companies Act 1965), or Notice of Registration for companies incorporated under Companies Act 2016 (whichever is applicable) **(1 CERTIFIED TRUE COPY)**
- (d) Latest Form 24 of the Companies Act 1965 and/or the form on Return for Allotment of shares (whichever is applicable) **(1 CERTIFIED TRUE COPY)**
- (e) Form 44 of the Companies Act 1965 or the Application of Registration and Notification of Change in the Registered Address Form, if applicable **(1 CERTIFIED TRUE COPY)**
- (f) Latest Form 49 or the Notification of change in the Register of Directors, Managers and Secretaries Form (whichever applicable) **(1 CERTIFIED TRUE COPY)**
- (g) Photocopy of NRIC/PASSPORT of Directors and Guarantors' (both sides) **(1 CERTIFIED TRUE COPY)**
- (h) Guarantors' latest payslip/ Form B/ Form BE/ EA Form/ EPF statement and bank statement. **(1 CERTIFIED TRUE COPY)**
- (i) Latest margin account statement from your existing financier (Applicable for redemption case)
- (j) Board Resolution

**4 The Board Resolution must state:**

- (a) authorisation to open and operate securities trading account and Central Depository Securities (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)

**IMPORTANT NOTES:**

- 1 Please read the general terms and conditions of CGS-CIMB ("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(d) to 2(j) above.
- 4 For transactions in Non-Ringggit securities trading through CGS-CIMB, the applicant is required to complete a **W-8BEN-E** form and **Appendix 1 – Supplementary Notice on Foreign Exchange Administration Rules Form**.
- 5 For Non Malaysian the applicant is required to complete a Common Reporting Standard (CRS) 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

Margin Trading Account (Conventional Only)

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

Online Trading  **CGS-CIMB** |  **iTrade**

Non-Ringggit Securities Trading *(applicable for Conventional Broking only)*  
*(If Yes, please fill up Appendix 1)*

**B. CORPORATE DETAILS**

Name of Applicant 

--

Account Qualifier 

--

(Beneficial Owner) 

--

Registration No. 

--

 Country of Incorporation  Malaysia  Others \_\_\_\_\_

For US Entity,  Tax ID \_\_\_\_\_  
Tax ID required

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) 

--

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. 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)

**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 / BENEFICIARY OWNER (25% OR MORE)**

Name	Passport / Identification Document	Nationality	% of shareholding
1	_____	_____	_____
2	_____	_____	_____
3	_____	_____	_____
4	_____	_____	_____

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

Note : Foreign Nationals are required to furnish their Tax ID via completion of the Common Reporting Standard ["CRS"] form.

**G. MARGIN FACILITY LIMIT AND COLLATERAL (APPLICABLE FOR MARGIN TRADING ACCOUNT ONLY)**

Total margin facility limit applied

Collateral offered	Securities		Securities	
	Quantity	Quantity	Quantity	Quantity

Cash / Fixed Deposit  Others, please specify \_\_\_\_\_

**H. PARTICULARS OF RELATED OR CONNECTED PERSONS OR ACCOUNTS**

1. Does the Applicant have trading accounts with other brokers?  Yes  No

If yes, please specify Name of Broker \_\_\_\_\_

2. Are you related to any staff/director/dealer or remiser of CGS-CIMB Securities Sdn Bhd? If yes, please provide the following details:  Yes  No

Name	Designation	Relationship
_____	_____	_____
_____	_____	_____

3. Do any parties related\* to you maintain accounts with CGS-CIMB Sdn Bhd. If yes please provide the following details :  Yes  No

\* Related parties include spouse, partner, partnership, partner's spouse and corporations over which you exercise control.

You are deemed to exercise "control" over a company / corporation if you or your spouse severally or jointly :

- a) hold, directly or indirectly, more than 50% of the shares of the corporation;
- b) have the power to appoint, or cause to be appointed , a majority of the directors of the corporation; or
- c) has the power to make, or cause to be made, decisions in respect of the business or administration of the corporation and to give effect to such decisions or cause such decisions to be effected.

Name of Person	Relationship	NRIC
_____	_____	_____
_____	_____	_____

Name of Corporation	Name of person having controlling interest	% of Shareholding	Board Representation	Position Held
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

( Please attach details if space is insufficient)

4. Are you a guarantor for any accounts held in CGS-CIMB Securities Sdn Bhd or other subsidiaries of CGS-CIMB Securities Sdn Bhd. If yes, please provide the following details  Yes  No

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

**I. POLITICALLY EXPOSED PERSON ('PEP')<sup>(1)</sup>**

1. Does the controlling shareholder and/or persons authorised to trade hold, or have 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 controlling shareholder and/or person authorised to trade immediate family member(s) hold, or have 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 members (FM), close associates (CA), are individuals who are or have been entrusted with prominent public functions (whether in the domestic / host country or a foreign country) e.g. Heads of State, Heads of Government, government ministers, senior civil or public servants (eg 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, 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)*

**J. 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 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 the above mentioned bank or trust 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 notice by us in writing provided always that CGS-CIMB shall be entitled to with or without prior written notice to us and at its sole and absolute discretion vary any of the above mode or manner of payment to us.

**K. INSTRUCTIONS TO RECEIVE CONTRACT STATEMENTS VIA EMAIL**

<input type="checkbox"/>
<b>Tick</b>

We hereby instruct and consent to CGS-CIMB to send our daily contract statements, invoices (which may be incorporated and issued as part of the daily contract statements), margin call notice or any other statements or notices that may be made available to us by CGS-CIMB in relation our accounts opened from time to time via the registered email below :-

Email : \_\_\_\_\_

Signature : \_\_\_\_\_

**L. 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;
- 4. CGS-CIMB shall have the right to reject the Applicant's financing/loan application at your sole discretion without any reason whatsoever.
- 5. 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.
- 6. 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;
- 7. 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;
- 8. We shall indemnify CGS-CIMB against any losses, damages, debts, charges, taxes and all other costs and expenses whatsoever incurred, withheld or suffered or which CGS-CIMB may incur or suffer by reason of or in relation to or arising from or in connection with the provision of services by CGS-CIMB to us under the General Terms and Conditions;
- 9. 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. 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 the Client. The Client agrees and acknowledges that any interest/gain paid by CGS-CIMB to the Client may be less than that received by CGS-CIMB

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

10. 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 : \_\_\_\_\_

**11. 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 G, Tropicana City Office Tower, No. 3, Jalan SS 20/27, 47400 Petaling Jaya, Selangor (Attention to GO-Equities & Futures Data 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.



**12. 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 or has otherwise been made available to us.

13				
	<b>Signature</b>			<b>Tick</b>

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.

14. We hereby consent for CGS- CIMB and its Affiliates 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 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.

"Affiliates" shall carry the meaning as defined in CGS-CIMB's General Terms and Conditions.

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.

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

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

**AFFIX COMMON SEAL / RUBBER STAMP HERE**

Executed on behalf of the company

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**Authorised Signatory**

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

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**Authorised Signatory**

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

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**\*Signature of Dealer's Representative**

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

**DECLARATION BY RESIDENT ON INVESTMENT ABROAD AND INVESTMENT IN FOREIGN CURRENCY ASSET ONSHORE**

(This Declaration is mandatory and must be completed for investment abroad and investment in foreign currency asset onshore under the Foreign Exchange Administration Rules as set out below).

We hereby declare that for foreign exchange administration purposes [To initial on the relevant box as declaration]:-

Currently we hereby declare that we do not have any domestic Ringgit borrowing/financing <sup>i</sup>.  
 \*For an investment abroad <sup>ii</sup> and investment in foreign currency asset onshore <sup>iv</sup> out of a joint account opened/maintained by two or more individuals, the applicant/customer is required to declare for or on behalf of other joint account holder(s). The applicant/customer is required to declare its compliance with the applicable threshold below in the event any one of the joint account holders has domestic Ringgit borrowing/financing.

Currently we have domestic Ringgit borrowing/financing and hereby confirm that our total investment abroad and investment in foreign currency asset onshore 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 <sup>v</sup> individual, a sole proprietor or a general partnership	For a resident entity
<b>Source of the fund for <u>investment abroad and investment in foreign currency asset onshore including DD/TT/ DCI/ FCA/ FC Fixed Deposit/ FC denominated Structured Investment/any FC denominated deposits or investments</u></b>	(1) Up to RM10 million equivalent of foreign currency borrowing from a licensed onshore bank or a non-resident  (2) Up to RM1 million equivalent <sup>@</sup> in aggregate per calendar year using funds from: • Conversion of ringgit • Swapping of financial assets • Transfer from Trade FCA  @ This is applicable to resident individual, sole proprietor or general partnership with domestic ringgit borrowing only	(1) Up to the amount of • approved foreign currency borrowing from non-resident • foreign currency sourced from Initial Public Offering on the Main Market of Bursa Malaysia  (2) Up to RM50 million equivalent <sup>%</sup> in aggregate, per calendar year on a corporate group basis from: • Conversion of ringgit • Foreign currency borrowing from a licensed onshore bank for purposes other than direct investment abroad <sup>iii</sup> • Swapping of financial assets • Transfer from Trade FCA  % This is applicable to resident entities with domestic ringgit borrowing only.

Currently we have domestic Ringgit borrowing/financing and our total investment abroad and investment in foreign currency asset onshore (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 the CGS-CIMB Securities Sdn Bhd may decline or delay any investment abroad and investment in foreign currency asset onshore that does not fulfil any conditions set in BNM's approval letter.

We further declare that CGS-CIMB Securities Sdn Bhd is not responsible to advise the Customer 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/Customer 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 investment abroad and investment in foreign currency asset onshore on my /our behalf.

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

**Customer's Authorised Signatory(ies)**

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

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

## Notes For Appendix 1:

i. "Domestic Ringgit Borrowing/financing" means borrowing/financing in Ringgit obtained by a resident from another resident. For a resident entity, the borrowing/financing shall exclude borrowing/financing from another resident entity within its group of entities with parent-subsiary relationship. Borrowing/financing means any credit facility, financing facility, trade guarantee or guarantee for payment of goods, redeemable preference share, Islamic redeemable preference share, private debt security or Islamic debt security other than:-

- (a) trade credit terms extended by a supplier for all types of good or services;
- (b) forward contract with a licensed onshore bank excluding a contract that involves the exchanging or swapping of Ringgit or foreign currency debt obligation with another foreign currency debt obligation or the exchanging or swapping of foreign currency debt obligation with a Ringgit debt obligation;
- (c) performance guarantee or financial guarantee;
- (d) operational leasing facility;
- (e) factoring facility without recourse;
- (f) a credit facility or financing facility obtained by a resident individual from a resident to purchase one residential property and one vehicle;
- (g) Credit card and charge card facility obtained by a resident individual from a resident.

ii. "Investment Abroad" means –

- (a) making of any payment for
  - (i) purchase of foreign currency-denominated asset in Malaysia offered by a non-resident, including Labuan entity;
  - (ii) purchase of foreign currency-denominated asset offered outside Malaysia;
  - (iii) lending/financing in foreign currency to a non-resident;
  - (iv) administrative expenses, working capital arising from the set up of any business arrangement, including a joint venture project where no entity is created or established, outside Malaysia;
  - (v) purchase of foreign currency-denominated financial instrument or Islamic financial instrument without firm commitment, other than exchange rate derivative, offered on an overseas Specified Exchange under the Capital Markets and Services Act 2007 (Act 671) undertaken by a resident through a resident futures broker; or
  - (vi) placement into foreign currency account overseas other than for education or employment abroad; or
- (b) Swapping of a financial asset in Malaysia for a financial asset outside Malaysia.

iii. "Direct Investment Abroad" means –

- (a) investment abroad resulting in at least 10% equity ownership or control of a non-resident entity;
- (b) inter-company lending to a non-resident entity within its group of entities; or
- (c) capital expenditure in unincorporated entities or projects by agreement with no establishment created, where a resident investor –
  - (i) contributes capital of at least 10% of project cost;
  - (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. "Investment in foreign currency asset onshore" means making of any payment in Malaysia for-

- (a) purchase of foreign currency denominated security or Islamic security offered in Malaysia by a resident as approved by the Bank;
- (b) purchase of foreign currency-denominated financial instrument or Islamic financial instrument offered in Malaysia by a resident as approved by the Bank; or
- (c) Placement into foreign currency account with a licensed onshore bank other than placement for investment abroad.

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.

**N. TO BE COMPLETED BY DEALER'S REPRESENTATIVE**

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

Type of Trading Account	Direct Trading Account	Securitized Account - Direct	Securitized Account - Nominee
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	: _____ Years
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 trading accounts 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 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**

Name:  
New NRIC:  
Date:

**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**

Recommended Trading Limit	RM	(Direct)	Recommended 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 :