

Corporate

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	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>	0 6 5 - <div><div></div><div></div><div></div></div> - <div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>
<input type="checkbox"/> Securitised Trading Account- Direct	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>	0 6 5 - <div><div></div><div></div><div></div></div> - <div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>
<input type="checkbox"/> Securitised Trading Account- Nominee	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>	0 6 5 - <div><div></div><div></div><div></div></div> - <div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>
<input type="checkbox"/> Clicks Trader	<div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>	0 6 5 - <div><div></div><div></div><div></div></div> - <div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div><div></div></div>
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 Floor, Central Building, Jalan Sagunting 88000 Kota Kinabalu Sabah Malaysia
Telephone **(6088) 328 878** Facsimile **(6088) 328 900**

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 I 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 CIMB SECURITIES Corporate Account Application form must be returned together with of 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 CIMB Investment Bank Berhad
 - (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 COPIES)**
 - (a) Forms 8, 9 or 13 or notice of registration (whichever is applicable)
 - (b) Form 24 or return for allotment of shares (whichever is applicable)
 - (c) Form 44 or application for registration and notification of change in the registered address, if any (whichever is applicable)
 - (d) Form 49 or notification of change in the register of directors, managers and secretaries (whichever is applicable)
 - (e) Form 20 or notice of conversion from a private company to a public company, if any (whichever is applicable)
 - (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. **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 (to the extent you opt to have a common seal)

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 Corporate Account Application Form, Form FMN070, and the photocopy of documents mentioned in 2(d) to 2(j) above.
4. For transactions in Non-Ringgit securities trading through 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
(applicable if client wishes to apply for an account with CIMSEC Nominees)

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

☐ Online Trading

☐ Non-Ringgit Securities Trading (applicable for Conventional Broking only)
(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 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.)

Business Address
(if differs from above)

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

Net Shareholders' Funds

Profit After Taxation in Preceding 4 Years

Year

Year

Total Liabilities

Net Current Assets

Year

Year

D. BANK REFERENCE

* Bank	Branch	Account Number	Account Type
<div></div>	<div></div>	<div></div>	<div></div>
<div></div>	<div></div>	<div></div>	<div></div>
<div></div>	<div></div>	<div></div>	<div></div>

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

E. INVESTMENT OBJECTIVE & EXPERIENCE

Investment Objective	<input type="checkbox"/> Short Term	<input type="checkbox"/> Long Term	<input type="checkbox"/> Dividend	<input type="checkbox"/> Interest	<input type="checkbox"/> Capital Growth
Risk Tolerance	<input type="checkbox"/> Aggressive	<input type="checkbox"/> Moderate	<input type="checkbox"/> Conservative		
Investment Experience	(1) Equities: <div></div> Year(s)	(2) Futures: <div></div> 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 <div></div>	<div></div>	<div></div>	<div></div>
2 <div></div>	<div></div>	<div></div>	<div></div>
3 <div></div>	<div></div>	<div></div>	<div></div>
4 <div></div>	<div></div>	<div></div>	<div></div>
5 <div></div>	<div></div>	<div></div>	<div></div>
6 <div></div>	<div></div>	<div></div>	<div></div>
7 <div></div>	<div></div>	<div></div>	<div></div>
8 <div></div>	<div></div>	<div></div>	<div></div>

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

G. SUBSTANTIAL INDIVIDUAL SHAREHOLDERS / BENEFICIARY OWNER (MORE THAN 25%)

Name	Passport / Identification Document	Nationality
1 <div></div>	<div></div>	<div></div>
2 <div></div>	<div></div>	<div></div>
3 <div></div>	<div></div>	<div></div>
4 <div></div>	<div></div>	<div></div>

(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?	<input type="checkbox"/> Yes	<input type="checkbox"/> 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:	<input type="checkbox"/> Yes	<input type="checkbox"/> No

Name	Account No.
1 <div></div>	<div></div>
2 <div></div>	<div></div>
3 <div></div>	<div></div>

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

- 1 Does the controlling shareholder and/or persons authorised to trade 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 controlling shareholder and/or persons authorised to trade 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 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. PAYMENT INSTRUCTION

We hereby request that all payments (including but not limited to sales proceeds and credits) due to us from CIMB from time to time under our trading accounts opened with you be made in the following manner:

- ☐ credit directly into our *CIMB Bank Berhad / CIMB Islamic Bank Berhad Account No / Other Bank (please specify) _____ Account No.

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(Please enclose a photocopy of the Applicant's Passbook/Latest Bank Statement for verification purposes). * Delete whichever is not applicable

- ☐ by cheque(s) and hereby authorise our Dealer's Representative/Authorised Officer of CIMB Bank Berhad to collect the said cheque(s) due to us from time to time.

- ☐ credit directly into our trust account maintained with CIMB and further agree that CIMB shall have the absolute discretion to determine whether any interest is to be paid. (Applicable for Conventional Broking only)

Mandatory for Applicant who choose payment by way of direct credit into trust account maintained by CIMB

We also hereby request for the bank account, as detailed below, to be registered with CIMB for the purpose of remittance of funds withdrawn from our trust account maintained with CIMB. We confirm that I am the beneficial owner of the bank account detailed below. I further confirm that this request shall form as a standing instructions from me to CIMB for all my future funds withdrawal which I may submit to CIMB via my Dealer's Representative/Authorised Officer of CIMB Bank Berhad.

<input type="checkbox"/>	Bank Name	Currency	Bank Account Number	Bank Account Name

(Please enclose a photocopy of the Applicant's Passbook/Latest Bank Statement for verification purposes) * Delete whichever is not applicable

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

- to refund to CIMB of any payments wrongly made to us or wrongly credited into the above mentioned bank or trust account;
- not to hold CIMB responsible for any losses arising thereof and undertake to indemnify you at all times against all claims, losses or expenses incurred by CIMB in connection with this instruction; and
- the above payment instruction shall remain in force until further notice by us in writing provided always that 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 (MANDATORY FOR ONLINE CUSTOMER)

Tick

We hereby instruct and consent to CIMB to send our daily contract statements, tax invoices (which may be incorporated and issued as part of the daily contract statements) or any other statements that may be made available to us by CIMB in relation to the Trading Account No. via the registered mandatory email below

Email Address : _____ Signature : _____

L. RISK DISCLOSURE STATEMENT FOR SECURITIES

Unless the context otherwise requires, the words and phrases in this statement shall have the same meaning as the words and phrases in CIMB's General Terms and Conditions.

This brief statement cannot and does not disclose all of the risks and other significant aspects of investing or trading in Securities. It is recommended that:

- We seek the advice of our financial legal and other professional advisors concerning the risks associated with investing or trading in Securities.
- We undertake trading or investing in Securities only:
 - if we understand the nature of the products which we are investing or trading in and the extent of our exposure to risk; and
 - if we have carefully considered whether trading or investing is appropriate for us in light of my experience, objectives, financial and other relevant circumstances

The following specific points should be considered by us:

L1. DOCUMENTATION

To ensure that we clearly understand the legal relationship between CIMB and ourselves, we should carry out a comprehensive review of CIMB's General Terms and Conditions with our legal adviser.

L2. SECURITIES

- 2.1 Investing in Securities involves market, currency, economic, political, social, business and investment risks. The price of Securities that are quoted and listed on any securities exchange (including the securities exchanges owned, operated or maintained by Bursa Malaysia Securities Berhad ("Bursa Securities")), can and will fluctuate, and any individual security may experience upward or downward movements in its price, and may even become valueless. There is an inherent risk that losses may be incurred rather than profit made as a result of buying and selling Securities traded on the Bursa Securities and any other recognized stock exchanges including the loss of the entire principal amount invested.
- 2.2 Past performance is no guarantee of future results. Index returns shown are historical and include the change in share price, reinvestment of dividends, and capital gains. Indexes are unmanaged and do not reflect the impact of transaction costs.
- 2.3 Market conditions (e.g. illiquidity of a security) and/or the operation of the rules of certain markets (e.g. the delisting of Securities or the suspension of trading in Securities) and/or any request by a company to suspend trading of its shares (e.g. prior to major announcements) may increase the risk of loss by making it difficult or impossible to effect transactions or liquidate or offset our positions in such Securities.
- 2.4 Securities may also be compulsorily acquired in a take-over or pursuant to a scheme of arrangement.

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. DISCLOSURE TO THIRD PARTIES

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.

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): 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 our information (excluding information relating to our affairs or account) with third parties for strategic alliances, marketing and promotional purposes,

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

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

10. PERSONAL DATA NOTICE ACKNOWLEDGEMENT

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

11.

Signature	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.

12. 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 COMMON SEAL HERE

Executed on behalf of the company

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

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

*Signature Of Dealer's Representative /
Witness/Authorised Officer (AO) of CIMB Bank
Berhad** /Retail Equities Specialist (RES)
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*

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

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

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

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: (Please indicate name and staff ID if applicable)		
Event: (Please indicate event code if applicable)		

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;
- 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**/ Retail Equities Specialist (RES)

Name :

NRIC No. :

Date :

** Applicable to CIMB Bank Berhad Branch Broking Only

O. FOR OFFICE USE ONLY**Senior Management – Delegated Authority’s Approval Section for High Risk Client**

Approval granted to open a trading account for the applicant

Name : _____ Signature : _____

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

Credit Search : Yes / No

Recommended Trading Limit RM (Direct)
RM (ST)

Recommended By / Date :

Limit Updated By/Date :

Approved Trading Limit RM (Direct)
RM (ST)

Approved By / Date :

Limit Checked By/Date :

Remarks:

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/financingⁱ.

For an investment abroadⁱⁱ and investment in foreign currency asset onshore^{iv} 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 ^v individual, a sole proprietor or a general partnership	For a resident entity
Source of the fund for 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	<p>(1) Up to RM10 million equivalent of foreign currency borrowing from a licensed onshore bank or a non-resident</p> <p>(2) Up to RM1 million equivalent[@] in aggregate per calendar year using funds from:</p> <ul style="list-style-type: none"> · Conversion of ringgit · Swapping of financial assets · Transfer from Trade FCA <p>[@] This is applicable to resident individual, sole proprietor or general partnership with domestic ringgit borrowing only.</p>	<p>(1) Up to the amount of</p> <ul style="list-style-type: none"> · approved foreign currency borrowing from non-resident · foreign currency sourced from Initial Public Offering on the Main Market of Bursa Malaysia <p>(2) Up to RM50 million equivalent[%] in aggregate, per calendar year on a corporate group basis from:</p> <ul style="list-style-type: none"> · Conversion of ringgit · Foreign currency borrowing from a licensed onshore bank for purposes other than direct investment abroadⁱⁱⁱ · Swapping of financial assets · Transfer from Trade FCA <p>[%] This is applicable to resident entities with domestic ringgit borrowing only.</p>

☐

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 CIMB Bank Bhd / CIMB Investment Bank Bhd / CIMB Futures Sdn Bhd ("CIMB Entity") 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 CIMB Entity 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 the CIMB Entity 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 CIMB Entity immediately in writing of any changes in the declaration given herein.

[#]Acknowledgement Receipt of the BNM's Approval Letter

Officer / Relationship Manager
Date:

Customer's Authorised Signatory(ies)

Name:
NRIC:
Designation:
Company Seal / Stamp
Date (mandatory):

- 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-subsidiary 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.