

## 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 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"/> Clicks Trader Trading Account	<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 simple steps to open an Individual Trading Account with CGS-CIMB Securities Sdn Bhd (also referred to herein as “CGS-CIMB”)

**1 Complete all applicable fields of the Individual Account Application Form.**

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

**2 Other mandatory form that must be duly completed and signed:**

(a) CDS Account Form – for Individual (Form FMN070)

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 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. I shall be required to complete this application form with regard to the crediting of dividend and submit the relevant documents as stated in the Form FMN070

**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's Authority Card (both sides); or

(ii) Non-Malaysian Passport

(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 , OR (b) Social Visit Pass/Long Term Social Visit Pass (whenever is available)
3	Foreign Worker	(a) Visitors Pass (Working Visa) , (b) Letter of Employment in Malaysia (that stated the length of employment)

**4 Supporting documents for Margin Trading Account**

(a) 1 certified true copies of

(i) Malaysian NRIC/Armed Forces or Police Personnel/Authority Card (both sides); or

(ii) Non-Malaysian Passport

(b) 1 copy of EA Form / Form B / Form BE; or latest EPF statement; or latest one (1) month salary slip ;

(c) Latest three (3) months savings account / latest three (3) months current account statement;

(d) Latest margin account statement from your existing financier (Applicable for redemption case)

5 For transactions in Non-Ringgit securities trading through CGS-CIMB, the applicant is required to complete a **W-8BEN** form and **Appendix 1 – Supplementary Notice on Foreign Exchange Administration Rules Form**.

6 For Non Malaysian, the applicant is required to complete a Common Reporting Standard (CRS) form.

**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 individual Account Application Form, Form FMN070, and the photocopy of documents mentioned in 3(a) and 3(b) above.

**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       Margin Trading Account (Conventional Only)

Securitised Trading Account - Nominee       Clicks Trader

Operating CASA Account No : \_\_\_\_\_

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

Online Trading  

Non-Ringgit Securities Trading. (Applicable for Conventional Broking only).  
(If Yes, please fill up Appendix 1)

**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 \_\_\_\_\_

**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**

Gross Annual Income	<input type="checkbox"/> Below RM 12,000	<input type="checkbox"/> RM 12,000 - RM 24,000	<input type="checkbox"/> RM 24,001 - RM 36,000	<input type="checkbox"/> RM 36,001 - RM 48,000
	<input type="checkbox"/> RM48,001-RM60,000	<input type="checkbox"/> RM 60,001 - RM 100,000	<input type="checkbox"/> RM 100,001 - RM 300,000	<input type="checkbox"/> Above RM 300,000
Estimated Net Worth	<input type="checkbox"/> Below RM 50,000	<input type="checkbox"/> RM 50,000 - RM 100,000	<input type="checkbox"/> RM 100,001 - RM 200,000	<input type="checkbox"/> RM 200,001 - RM 500,000
	<input type="checkbox"/> RM 500,001 - RM 1,000,000	<input type="checkbox"/> RM 1,000,001 - RM 2,000,000	<input type="checkbox"/> RM 2,000,001 - RM 3,000,000	<input type="checkbox"/> Above RM 3,000,000
Source of Wealth	<input type="checkbox"/> Savings	<input type="checkbox"/> Salary	<input type="checkbox"/> Business Income	<input type="checkbox"/> Directorship
	<input type="checkbox"/> Rental Income	<input type="checkbox"/> Investment Income	<input type="checkbox"/> Inherited Wealth	<input type="checkbox"/> Others _____

**E. PARTICULARS OF SPOUSE (IF MARRIED) 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 \_\_\_\_\_  
(For retiree, please specify the last employment prior to retirement) Nationality  Malaysian  Others \_\_\_\_\_

Name of Employer / Firm / Business \_\_\_\_\_ Designation/Occupation \_\_\_\_\_

Mobile Phone No. | | | | | | | | | | | | | | | | |

Gross Annual Income	<input type="checkbox"/> Below RM12,000	<input type="checkbox"/> RM12,000-RM24,000	<input type="checkbox"/> RM24,001-RM36,000	<input type="checkbox"/> RM36,001-RM48,000
	<input type="checkbox"/> RM48,001-RM60,000	<input type="checkbox"/> RM60,001-RM100,000	<input type="checkbox"/> RM100,001-RM300,000	<input type="checkbox"/> 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. MARGIN FACILITY LIMIT AND COLLATERAL (APPLICABLE FOR MARGIN TRADING ACCOUNT ONLY)**

Total margin facility limit applied

Collateral offered

Securities	Quantity

Securities	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)			

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 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 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**

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

be credited directly into my 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 me. Any withdrawals from my trust account shall be credited directly into my designated bank account, as specified below.

be credited directly into my 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, I hereby agree:

1. to refund to CGS-CIMB of any payments wrongly made to me 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 me in writing provided always that CGS-CIMB shall be entitled to with or without prior written notice to me and at its sole and absolute discretion vary any of the above mode or manner of payment to me.

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

<input type="checkbox"/>
Tick

I hereby instruct and consent to CGS-CIMB to send my 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 me by CGS-CIMB in relation to my accounts opened from time to time via the registered email provided in Section B.

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

**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 of unsound mind or an undischarged bankrupt or I have not been adjudicated or declared a bankrupt and have not committed an act of bankruptcy and have no knowledge of any bankruptcy petition presented against me in any court of competent;
2. My signatures below shall also be the specimen signatures for all communications, instructions and transactions requiring my signature;
3. The information given in this Account Application Form is true and correct and that I have not willfully withheld any facts;
4. I shall keep CGS-CIMB informed of any change in my particulars given in this Account Application Form;
5. Under Rule 5.15 (8) and (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
6. 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;
7. I am fully aware of and understand the relevant laws, rules and regulations in relation to the trading and dealing of securities;
8. I 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 and e electronic trading facilities by CGS-CIMB to me;
9. I acknowledge and agree that CGS-CIMB may retain, for the benefit of CGS-CIMB and without any obligation to account to me, any interest/gain CGS-CIMB receives from our monies deposited in the Trust Account (the "Client's Monies"). I 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 me. I agree and acknowledge that any interest/gain paid by CGS-CIMB to me may be less than that received by CGS-CIMB.

I duly verify that this is my written direction allowing CGS-CIMB to do the above.

10. I hereby authorize you or your representative to obtain information relating to this application from any source.
11. I shall comply with CGS-CIMB's requirements in respect of my financing application and CGS-CIMB shall reserve the right to reject my financing application at its sole discretion without any reason whatsoever.
12. I confirm that the 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 to such aforesaid party(s) with the required information requested to enable the CGS-CIMB to ascertain my status and/or any other person, individual and/or entity related to and/or associated with me as may be required by the 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

**13. DISCLOSURE TO THIRD PARTIES FOR STRATEGIC ALLIANCES, MARKETING AND PROMOTIONAL PURPOSES**

I consent to my 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 me 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 me** 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 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.

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

(a) the Privacy Notice issued by CGS-CIMB (which is available at all CGS-CIMB branches as well as at the CGS-CIMB iTrade website at [www.itradecimb.com.my](http://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](http://www.bursamalaysia.com) or has otherwise been made available to me), and confirm my agreement to the same.

15.

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

I also acknowledge that I 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;

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

I hereby consent for CGS-CIMB and/or any of its Affiliates to share my information with domestic or overseas regulators or tax authorities, where necessary to establish my tax liability in any relevant jurisdiction.

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

I agree and undertake to sign and/or deliver to CGS-CIMB and/or any of its Affiliates additional information, documents and/or forms, for the purposes of CGS-CIMB and/or any of its Affiliates compliance with any tax laws and regulations.

Where required by domestic or overseas governmental, supervisory or regulatory authorities, I understand and agree that CGS-CIMB and/or its Affiliates 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 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 I have provided to CGS-CIMB as above.

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

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**Signature of Applicant**

Name:

New NRIC/Passport No./Nationality:

Date:

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

Name:

New NRIC/Passport No./Nationality:

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).

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

Currently I hereby declare that I 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 I have domestic Ringgit borrowing/financing and hereby confirm that my/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 RM10 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 I have domestic Ringgit borrowing/financing and my/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.

I 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#. I 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.

I further declare that CGS-CIMB Securities Sdn Bhd is not responsible to advise the Applicant/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.

I 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 behalf.

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

**Applicant/Customer's Authorised Signatory(ies)**  
 Name:  
 NRIC:  
 Designation:  
 Date (Mandatory):

<b>#Acknowledgement Receipt of the BNM's Approval Letter</b>
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-subsidary 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 (DR)**

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

Type Of Account	Direct Trading Account	Securitised Account - Direct	Securitised Account - Nominee	Clicks Trader
Proposed Trading Limit (RM)				

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

Additional Information (Mandatory)	
How do I know the Applicant / Name of Introducer :	_____
No. of years I know the Applicant :	_____ 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 cash trading account and/or margin 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 CGS-CIMB may vary from time to time at its absolute discretion.
- agree to allow the Applicant to use the electronic trading facilities. I confirm that the Applicant is fully aware and understands the processes, procedures and risks involved in using the services and executing transactions through the electronic trading facilities and the relevant laws, rules and regulations in relation to the trading and dealing of securities.
- undertake to indemnify CGS-CIMB against any losses, damages, debts, charges and all other costs and expenses whatsoever incurred or suffered or which CGS-CIMB may incur or suffer in relation to CGS-CIMB opening the account of this Applicant and the subsequent operation thereof and in connection with the provision of services and electronic trading facilities by CGS-CIMB to the Applicant.

**Dealer's Representative (DR)**

Name:  
NRIC No:  
Date:

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

Approval granted to open a trading account for the applicant

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

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

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

Remarks :

**Compliance**

Verified By / Date :