



**PUBLIC**

# INDIVIDUAL TRADING ACCOUNT APPLICATION FORM

## BRANCH

☒ Kuala Lumpur    ☐ Ipoh    ☐ Klang    ☐ Mutiara Damansara    ☐ Seremban  
☐ Penang    ☐ Others: \_\_\_\_\_

## FOR CDS DEPARTMENT USE ONLY

[illegible]

## FOR CREDIT MANAGEMENT USE ONLY

Dealer / Remisier Code **R 9 0 4**      Introducer       Date   

Applicant's Name : MUHAMAD FAIZAL BIN MUSTAPA

### TRADING ACCOUNT

### CONVENTIONAL

- Collateralised Direct
- Collateralised Nominees
- Cash Account
- Foreign Trade Account
- Margin Account
- Short-term Account

## ISLAMIC

Collateralised Direct

Collateralised Nominees

Margin (Maybank Invest-I) Account

## DLR/REM CODE

## CLIENT CODE

☐ SBR ☐ FIC ☐ CIF ENTRY ☐ PDPA ☐ FATCA

**Maybank Investment Bank Berhad (197301002412)**  
(A Participating Organisation of Bursa Malaysia Securities Berhad)

## INDIVIDUAL - TRADING ACCOUNT

### INSTRUCTIONS

1. Please provide all information in full.
2. Please complete using block letters.
3. Please tick the correct box wherever appearing.
4. Please provide certified true copies of the following documents.

- ☐ Identity card or passport (for non-Malaysian)  
☐ Proof of address (e.g utility bills)  
☐ Proof of income (e.g EA form, salary slip, income tax filings)

### PRODUCTS **KINDLY TICK EITHER CONVENTIONAL ACCOUNT OR ISLAMIC ACCOUNT**

#### CONVENTIONAL PRODUCTS:

- ☐ Collateralised Direct ☐ Collateralised Nominees ☐ Cash  
☐ Foreign Trade (Please Complete Appendix B & C)  
☐ Margin (MTF) amount required: RM \_\_\_\_\_  
☐ Short Term (STF) STF amount required: RM \_\_\_\_\_

#### ISLAMIC PRODUCTS:

- ☒ Collateralised Direct ☐ Collateralised Nominees  
☐ Margin (Maybank Invest-I) Margin amount required: RM \_\_\_\_\_

### INTERNET **KINDLY TICK M2U IF YOU HAVE M2U ACCOUNT**

- ☒ M2U Online  
Please login to Maybank2u ([www.maybank2u.com](http://www.maybank2u.com)) for registration  
☐ Power Broking  
Please complete Appendix A

### CUSTOMER INFORMATION

Title

- ☒ Mr ☐ Ms ☐ Others (please specify): \_\_\_\_\_

Name (as per identity card/passport)

M U H A M A D F A I Z A L B I N M U S T A P A

Form of Identification

- ☒ Identity card ☐ Passport ☐ Birth certificate ☐ Army/Police identity card ☐ Others: \_\_\_\_\_

Identification number (identity card (old), birth certificate, army identification, police identification or passport)

Malaysian only - new identity card number

8 4 0 9 1 2 - X X - X X X X

Residential address (if different from that on identification card, please provide proof e.g utility bills, bank statement) **ADDRESS EXACTLY AS PER IC**

B L O K J N O 9 2 2 4  
R U M A H A N A M , D U R I A N T U N G G A L  
M E L A K A Postcode 7 6 1 0 0

Non-Malaysian only - country of permanent residence

Mailing address (if different from residential address. Please provide proof of address e.g utility bills) **CURRENT MAILING ADDRESS**

1 2 / 1 0 P A N G S A P U R I S R I H A R M O N I S  
J A L A N G O M B A K 6 3 / 4 , G O M B A K  
K U A L A L U M P U R Postcode 5 3 1 0 0

Telephone No (Hse)

Mobile No

0 1 8 - 3 9 2 X X X X

Telephone No (Office)

Fax No

E-mail (this field is mandatory for E-Statement purpose. Please enter a valid email address)

F A I Z A L 1 2 3 @ G M A I L . C O M

The mandatory email address is part of Maybank Investment Bank's continuous effort to improve our service to Clients and to promote an environmental friendly practice.

Race

- ☒ Malay ☐ Chinese ☐ Indian ☐ Native ☐ Others: \_\_\_\_\_

Gender

Citizenship

Date of birth

- ☒ Male ☒ Malaysian  
☐ Female ☐ Others: \_\_\_\_\_

1 2 0 9 1 9 8 4

## OCCUPATION

☒ Employed☐ Self-employed☐ Pensioner (please specify position last held):

Name of organisation

A M B A N K B H D

Designation

EXECUTIVE

Business Activities: BANKING

If self-employed, please provide your business/company's registration number

Address of organisation

L E V E L 1 0 W I S M A A M B A N K ,  
N O 1 1 3 J A L A N P U D U ,  
K U A L A L U M P U R

Postcode 5 5 1 0 0

Organisation phone number

Organisation fax number

## BANK PARTICULARS

☒ Maybank account holder

Current account number

Savings account number

1 6 4 8 0 9 9 6 X X X X

☐ Non-Maybank account holder. Please provide details:

Account number

Name of bank:

## SPOUSE / NEXT OF KIN WIFE, PARENTS OR SIBLINGS

Name

S I T I S U Z A N N A B I N T I S U L A I M A N

Gender

☐ Male ☒ Female

Date of Birth

2 0 0 5 1 9 8 5

Relationship

SPOUSE

Identification number / (identity card (old), birth certificate, army identification, police identification or passport)

Malaysian only - new Identity card number

8 5 0 5 2 0 - X X - X X X X

Contact number

0 1 2 - 1 5 9 X X X X

If employed, please provide name of employer:

OFFICER

If self-employed, provide details:

Designation:

CIMB BANK

If pensioner, position last held:

## POLITICALLY EXPOSED PERSONS (FOREIGN &amp; DOMESTIC)

Please provide details (name, relationship, designation and employer/country) if you, your immediate family member(s) or associate(s) is entrusted with prominent public functions, such as heads of state or government, senior politicians, senior government officials, judicial or military officials and senior executives of public organisations:

## INVESTMENT OBJECTIVES

Investment period

☐ Long term (>1 year)☐ Medium term (3 months - 1 year)☐ Short term (< 3 months)

Investment type

☐ Capital appreciation☐ Income☐ Others (please specify)

If non-Malaysian, length of investment experience in Malaysian securities:

☐ < 1 year☐ 1-3 years☐ > 3 years

## ADDITIONAL INFORMATION

### Marital Status

- ☐ Single  
☒ Married  
☐ Others: \_\_\_\_\_

### Children (please specify number):

- ☐ 0 to 12 years  
☐ 2 13 to 18 years  
☐ > 12 to 18 years

### Preferred Language

- ☒ Bahasa Melayu  
☐ English  
☐ Chinese

### Education

- ☐ Below Secondary  
☐ Secondary  
☐ Diploma  
☒ Bachelor  
☐ Masters  
☐ Doctorate  
☐ Professional  
☐ Others: \_\_\_\_\_

### Religion

- ☒ Islam  
☐ Buddhist  
☐ Christian  
☐ Hindu  
☐ Sikh  
☐ Others: \_\_\_\_\_

### Occupation

- ☐ Beautician/Stylist  
☐ CEO/Director/Senior Mgmt  
☐ Chef/Cook/F&B Serve Team  
☐ Clerical/Secretary/Receptionist  
☐ Designer/Artist  
☐ Farmer  
☐ Fisherman  
☐ Housewife  
☐ Lecturer/Teacher/Trainer  
☐ Manager/Senior Executive  
☐ Mechanics/Machinist  
☐ Nurse/Clinical Assttstnt  
☒ Officer/Executive  
☐ Operation/Production Personnel  
☐ Own Business/Self Employed  
☐ Police/Army/Enforce/Safety/Security  
☐ Professional  
☐ Programmer/Analyst/Admin-IT  
☐ Retiree/Pensioner  
☐ Sales Exec/Telemarketer/Agents/Promoter  
☐ Student  
☐ Supervisor/Foreman  
☐ Technician/Chargeman/Draughtsman  
☐ Others (please specify): \_\_\_\_\_

### Business Sector

- ☐ Agriculture, Forestry and Fishing  
☐ Wholesale and Retail Trade; Repair of Motor Vehicles and Motorcycles  
☐ Transportation and Storage  
☐ Arts, Entertainment and Recreation  
☐ Professional, Scientific and Technical Activities  
☐ Public Administration and Defence; Compulsory Social Security  
☐ Education  
☒ Financial and Insurance/ Takaful Activities  
☐ Human Health and Social Work Activities  
☐ Manufacturing  
☐ Mining and Quarrying  
☐ Water Supply; Sewerage, Waste Management and Remediation Actv  
☐ Administrative and Support Service Activities  
☐ Information and Communication  
☐ Electricity, Gas, Steam and Air Conditioning Supply  
☐ Accommodation and Food Service Activities  
☐ Construction  
☐ Real Estate Activities  
☐ Activities of Extraterritorial Organisations and Bodies  
☐ Other Service Activities: \_\_\_\_\_  
☐ Activities of Households as Employers; Undifferentiated Goods and  
☐ Services Producing Activities of Households for Own Use

### Monthly Income

- ☐ Up to RM999  
☐ RM1,000 to RM1,999  
☐ RM2,000 to RM2,999  
☐ RM3,000 to RM3,999  
☒ RM4,000 to RM4,999  
☐ RM5,000 to RM5,999  
☐ RM6,000 to RM6,999  
☐ RM7,000 to RM7,999  
☐ RM8,000 to RM8,999  
☐ RM9,000 to RM9,999  
☐ RM10,000 to RM10,999  
☐ RM11,000 to RM14,999  
☐ RM15,000 to RM20,000  
☐ Above RM20,000

Other Income (please provide details and documentary evidence):

### Interest / Lifestyle

- ☐ Antique collection  
☐ Art/Theater  
☐ Club membership/Golf  
☐ Computers  
☐ Fashion  
☐ Fine dining  
☐ Health  
☐ Home decor  
☐ Automobile  
☒ Music  
☐ Outdoors/Travel  
☒ Sports  
☐ Others (please specify): \_\_\_\_\_

### What financial products/services would you require in the near future?

- ☐ Credit card  
☐ Home financing  
☐ Car financing  
☐ Share trading  
☐ Insurance (General)  
☐ Insurance (Life)  
☒ Unit trust/Investment  
☐ Others (please specify): \_\_\_\_\_

## TERMS AND CONDITIONS FOR SECURITIES TRADING

I acknowledge that these Terms and Conditions are effective from the date of approval and shall continue in force until terminated in accordance with these Terms and Conditions.

### 1. TRADING ACCOUNT

I hereby apply to open a Trading Account in my name for the purpose of trading in securities. I agree that Maybank-IB has the absolute right and discretion to approve or reject my application and may impose such additional terms and conditions as it deems fit.

### 2. VERIFICATION OF INFORMATION

I declare that the information provided to Maybank-IB in this application form is true and correct and that I have not withheld nor omitted any material fact or information and undertake to notify Maybank-IB immediately in writing of any change to any such information. In this regard, I hereby authorise Maybank-IB to verify with any third party, and in any manner, information furnished herein or from time to time and I further undertake to furnish such additional information that Maybank-IB may require from time to time.

I agree that in compliance with applicable laws currently in force, Maybank-IB may at its sole and absolute discretion: (i) refrain from acting until such information as required is furnished to it; (ii) verify such information received to its satisfaction; and (iii) refrain from doing anything as a result of such information, which would or might in its opinion, be contrary to any relevant law, directive or regulation, and may do anything, in its opinion, necessary to ensure compliance with such law, directive or regulation.

I acknowledge and agree that Maybank-IB shall not be liable for any loss or consequences of whatsoever nature arising from or due to events described in this clause.

I further agree and authorise Maybank-IB to make the relevant credit references with external parties, including but not limited to Central Credit Reference Information System, Central Credit Bureau (or other similar unit or bureau or entity in its place established by Bank Negara Malaysia) or such other authority or body established by Bank Negara Malaysia, any governmental agency and any other credit reference agencies, and that in so doing, Maybank-IB shall be entitled to disclose any documents, records or information provided by me to Maybank-IB as may be necessary in order for the external parties to provide Maybank-IB with the references or confirmation sought. I acknowledge and agree that the permission given hereunder is for the purposes of Section 143(1) of the Financial Services Act 2013 and Section 146(1) of the Islamic Financial Services Act 2013 (as the case may be) and that no further consent from me is required for the purposes of these sections.

### 3. NOMINEES SECURITIES ACCOUNT

I agree to submit an application to open a Client's securities account in the prescribed form created and maintained by Maybank IB or its nominees under the Securities Industry (Central Depositories) Act 1991 ("SICDA") whether or not such account is a Pledged Securities Account designated under Section 40 of SICDA ("CDS Account") with Bursa Malaysia Depository Sdn Bhd ("Bursa Depository")

I represent and warrant that the securities in the CDS Account are and at all times will remain free from any restriction on transfer and from any prior mortgage, lien, security or other encumbrance whatsoever. For the avoidance of doubt and in amplification of and not in derogation of the provisions herein

I further represent and warrant that the securities sold by me or on my behalf are not stolen, forged or been misappropriated by any party howsoever.

I agree that in the event of my default in the due and punctual payment of any sum owing by me to Maybank-IB, Maybank-IB shall be entitled to exercise at its discretion and without notice to me, all voting rights in respect of all securities held in the name of Maybank-IB or its nominee.

### 4. COMPLIANCE

I agree to abide by these Terms and Conditions, all laws, rules, regulations, bye-laws, orders, directives prescribed by the Securities Commission, Bursa Malaysia Securities Berhad ("Bursa Securities"), Bursa Depository and other regulatory authorities governing operation of the Trading Account and the Client's trading in securities listed on Bursa Securities.

I agree to comply with all policies, procedures, guidelines, rules, directives and/or instructions of whatsoever nature presently and from time to time issued, given, made or established by Maybank-IB.

### 5. COLLATERAL

I undertake to deposit cash or securities or both as collateral that may be required by Maybank-IB before the execution of any transaction in connection with my Trading Account.

I agree that any and all securities, documents and/or other property hereafter deposited with Maybank-IB whether held by Maybank-IB or its agents are at my sole risk as regards loss, destruction or damage.

### 6. OPERATION OF ACCOUNT

I agree that the Trading Account shall be subject to conditions imposed by Maybank-IB including without limitation credit limits imposed on my trading activities and/or the dealers' representative assigned to me. In the event that the outstanding position or sums owed by me to Maybank-IB exceeds the trading credit limit imposed by Maybank-IB, I will not dispute the same and shall accept the indulgence granted by Maybank-IB to me.

I hereby authorise and empower the dealer's representative assigned to handle my Trading Account, agent and/or representative ("authorised representative") to carry out the following functions in my name and on my behalf:

- i) to collect cheques, monies and any other form of payment in respect of monies payable by Maybank-IB to me;
- ii) to hand over cheques issued to Maybank-IB in respect of securities purchased by me through Maybank-IB; and
- iii) to carry out all and any other acts permissible under Maybank-IB's internal rules and procedures, securities laws, rules and regulations, relating to the Trading Account upon receipt of my written instructions as addressed to Maybank-IB.

In consideration of Maybank-IB acknowledging this authorisation as given by me, I hereby agree:

- i) to be fully responsible and absolve Maybank-IB of all claims and liabilities for any loss, damage, demand and proceedings arising from any negligence, commission, omission, misuse, fraud or action in any manner of the authorised representative in executing such acts under the authorisation given in clause 6;
- ii) at all times to fully and effectively indemnify Maybank-IB on demand and keep Maybank-IB fully and effectively indemnified at all times from and against any and all acts, proceedings, claims, demands, liabilities, losses, damages, judgments, charges, costs and expenses which may be imposed on, instituted against, suffered or incurred by Maybank-IB arising out of or incidental to the authorisation in clause 6;
- iii) that this authorisation shall bind my successors in title and personal representatives and shall be valid until written revocation in the prescribed format is given by me and duly acknowledged by an authorised officer of Maybank-IB.

### 7. INVIOABILITY OF CONTRACTS

I hereby authorise Maybank-IB to act on all instructions and orders given or made by me and/or my agents or representatives through whatever means of communication and once executed shall be legal and binding on me and Maybank-IB. I agree that Maybank-IB shall have the absolute right to accept or reject such orders and limit the purchases or sales requested or ordered by me.

I acknowledge and agree that all transactions, shall be evidenced by contract notes issued by Maybank-IB and all contract notes and statement of accounts issued by Maybank-IB shall be conclusive and legally binding on me if not objected by me in writing within three (3) days after the same is deemed to have been received by me.

### 8. SETTLEMENT

I hereby undertake to make payment to Maybank-IB for purchase of securities (regardless of whether these securities are suspended from trading after purchase) and to deliver securities to Maybank-IB for the sale of securities, respectively by the due dates fixed for settlement under the Bursa Securities Fixed Delivery and Settlement System. Acceptance of payment by Maybank-IB after the due date prescribed under the Bursa Securities Fixed Delivery and Settlement System shall not constitute compliance by me.

I shall pay to Maybank-IB all contra losses or any outstanding amount howsoever arising in my Trading Account on demand or within the period specified by Maybank-IB.

I shall undertake to ensure that all payments in the form of cheques are made payable to Maybank-IB crossed "A/C Payee Only", bearing full particulars of my name, Trading Account number and nature of the payment e.g. contract number, quantity, name of securities, contra loss reference and such particulars as may be necessary for Maybank-IB to identify the purpose for which payment is made, on the reverse side of the cheques.

I agree that Maybank-IB shall not be liable for any loss arising from any non-compliance by me with such procedures or for any cheques that may be lost, misplaced or misappropriated if such cheque had been given by me to any employee, officer, dealer's representative or agent of Maybank-IB. In the event that

I fail to provide adequate and clear particulars with regard to the nature and purpose of any payment referred to above, I agree that Maybank-IB shall be absolutely entitled to apply the payments in such manner as Maybank-IB may in its absolute discretion deem fit.

#### 9. LIENS, SET OFF AND POWER TO SELL

I agree that Maybank-IB shall have a lien on all my monies and/or securities in accounts (including my CDS Account) opened and maintained with Maybank-IB and other property of mine in Maybank-IB's custody or control from time to time ("Client's Property") for the discharge of all or any indebtedness and other my obligations to Maybank-IB.

I hereby authorise Maybank-IB at any time to use, retain, apply or set-off any amounts due to or held for me to meet any liabilities incurred by me to Maybank-IB herein and/or pursuant to or in connection with or for any purposes herein or for any purposes of the trading, margin or other accounts of mine including without limitation any indemnity and losses arising from selling-out or closing-out transactions.

I agree that any money and/or proceeds received by virtue of this application may at Maybank-IB's absolute discretion, be placed and kept to the credit of a suspense account for so long as Maybank-IB thinks fit without any obligation in the meantime to apply the same or any part thereof in or towards discharge of any money or liabilities due or incurred by me to Maybank-IB.

I agree that Maybank-IB shall be entitled at any time after giving seven (7) days notice to me, to sell or dispose of at its absolute discretion, all or any part of the Client's Property and apply the proceeds thereof in or towards the discharge of all sums which may from time to time become due from or owing or payable by me to Maybank-IB herein and/or pursuant to or in connection with or for any purposes herein or for any purposes of trading, margin or other accounts of mine.

I agree to indemnify Maybank-IB against all losses arising from such sale immediately or within the period specified by Maybank-IB.

I agree that Maybank-IB shall be under no duty to me as to the price obtained or any losses or liabilities incurred or arising in respect of any such sale or disposal.

#### 10. CLIENT'S MONIES

I agree and acknowledge that Maybank-IB may retain, for the benefit of the Company and without any obligation to account to me, any interest the Company receives from the monies received from or held on my behalf for the purpose of trading which are deposited in a trust account maintained by Maybank-IB in accordance with CMSA ("Client's Monies"). Subject to the foregoing, Maybank-IB may, at its sole and absolute discretion and from time to time, pay such interest as it may determine to me in relation to such Client's Monies after taking into account any applicable taxes and fees and charges (as set out in clause 20) incurred by Maybank-IB in maintaining the trust account and I agree and acknowledge that any interest paid by Maybank-IB to me may be less than that received by Maybank-IB. Subject to all applicable laws, I agree that Maybank-IB shall be entitled to retain all of the interest/returns earned from the maintenance or investments of any monies standing to the credit of the trust account or any of the accounts opened and maintained with Maybank-IB (including the Client's Monies) as may be necessary and expedient for the services rendered by Maybank-IB to me and I agree that Maybank-IB shall be entitled to retain all of the interest/returns from such monies received on the said accounts for the said services.

#### 11. NO WAIVER AND LIMITATION OF LIABILITY

I agree that a failure or delay by Maybank-IB to exercise or any partial exercise of any rights, power or remedy under these Terms and Conditions upon any default on my part shall not constitute or be construed as a waiver of such rights, powers or remedy accruing to Maybank-IB.

I agree that Maybank-IB or its directors, employees or servants shall not be liable for any losses, claims, damages, costs and expenses suffered or incurred by me whatsoever or howsoever caused including but without limitation to:

- (i) any failure, downtime, crash, breakdown, or malfunction, bugs or glitches in any software, computer system or electronic equipment of Maybank-IB, Bursa Securities, clearing house, Bursa Depository or any internet service provider;
- (ii) any delay in the execution of my instructions or orders due to any reason whatsoever;
- (iii) any action by the regulatory authorities in the exercise of their regulatory or supervisory functions over Maybank-IB;
- (iv) any and all decisions made by me in respect of the purchase or sale of securities; or
- (v) any loss resulting from a cause beyond Maybank-IB's control including a force majeure event.

#### 12. ADMISSION OF LIABILITY

I agree not to procure directly or indirectly by whatever means or accept an admission of liability or responsibility for losses or unauthorised or fraudulent transacts from the dealer's representative acting on my behalf. I acknowledge and agree that Maybank-IB shall not be held liable or responsible to me for any loss or damage howsoever and whatsoever as a result of any act, neglect, omission or negligence of the dealer's representative nor shall it be obliged to accept or be bound by any such admission which is deemed a private arrangement between me and the dealer's representative.

#### 13. INDEMNITY

I hereby irrevocably and unconditionally agree on demand to fully indemnify and save harmless Maybank-IB at all times from and against any or all actions, proceedings, claims, demands, damages, losses, liabilities, costs (on a solicitor and client basis), fees and expenses howsoever incurred by Maybank-IB in connection with the opening and operation of the Trading Account, any default by me in the due and punctual payment of any sum owing or payable by me to Maybank-IB pursuant to the Trading Account and any matter whatsoever arising from these Terms and Conditions.

#### 14. DISCLOSURE OF INFORMATION

(i) I hereby authorise Maybank-IB to disclose information given in the application form and received under these Terms and Conditions to the Maybank Group of Companies, regulatory authorities having jurisdiction over Maybank-IB including but without limitation, Bursa Securities, Bursa Depository, the Securities Commission Malaysia, Bank Negara Malaysia or as may be required by law, applicable rules and regulations or the internal compliance and risk management requirements of the Maybank Group of Companies. In discharging Maybank-IB's functions hereunder or pursuant to relevant laws and regulations, I hereby acknowledge that Maybank-IB will engage service providers or such other persons via an outsourcing or any other arrangement to provide services to Maybank-IB (including mailing services, information technology services, data processing and other services determined from time to time). I acknowledge that in the course of providing these services to Maybank-IB such persons may have access to certain information and documents relating to my securities and Trading Account and I hereby agree to such disclosure.

(ii) a) I hereby agree that Maybank-IB shall deal with my personal data in accordance with Maybank Group's Privacy Notice ("Privacy Notice") as may be amended or supplemented from time to time. I hereby confirm that I have read and understood the Privacy Notice and accept the terms and conditions therein. (\* A copy of the Privacy Notice is available on request. For the most current version of the Privacy Notice at all material times, please refer to the posting on Maybank-IB's website).

b) I agree to promptly notify Maybank-IB in writing should any of my third parties' consent be withdrawn in respect of the third parties' personal data. Upon Maybank-IB's receipt of the said notification, Maybank-IB will have the right to discontinue or not provide any of its services that are linked to such personal information. I shall also update Maybank-IB in writing should there be any changes to the personal information of the said third parties in a timely manner in which event the confirmation and consent in respect of such persons are accordingly provided by me as set out above.

#### 15. TELEPHONE RECORDING

In order to assist Maybank-IB in monitoring compliance with relevant laws, rules of conduct and permissible practices and to avoid any disputes, I hereby agree that Maybank-IB may make and keep a sound recording of telephone conversations between me and the dealer's representatives and/or any employee of Maybank-IB.

I agree that the sound recordings shall remain the sole property of Maybank-IB and shall be accepted by me as conclusive evidence of orders, instructions or conversations so recorded.

#### 16. TERMINATION

I agree that notwithstanding any other Terms and Conditions herein contained, Maybank-IB has the absolute right to suspend or close my Trading Account at any time without assigning any reasons. In the event of closure, I shall forthwith settle all outstanding transactions by delivery and/or pay all outstanding amounts due to Maybank-IB. I agree that these Terms and Conditions are terminated upon closure of the Trading Account but will not affect any legal rights or obligations, which may have arisen or may arise from the settlement or fulfilment of any outstanding transactions.

#### 17. GOVERNING LAW AND JURISDICTION

I agree that these Terms and Conditions are governed by and shall be construed in accordance with the laws of Malaysia and submit to the exclusive jurisdiction of the Courts in Malaysia.

## 18. NOTICES

I agree and acknowledge that any notices or communication including contract notes/statements, contra statements, statement of accounts and notices shall be given in writing to my address as set out in the application form or as last notified in writing to Maybank-IB and shall be deemed to have been duly served upon and received by me:

- (i) if delivered by hand or courier, at the time of delivery;
- (ii) if sent by ordinary post, on the third business day after the date of posting notwithstanding that the same may be subsequently returned undelivered by the postal authorities;
- (iii) if sent by facsimile, on the next business day after date of such transmission; or
- (iv) if sent by electronic means on the next business day after date of such transmission.

I agree that general notices are deemed to be received by me upon posting on Maybank-IB's notice boards or communicated through the dealer's representative acting on my behalf.

I agree that any error or discrepancy in the information contained in any notice or communication served on me must be notified to Maybank-IB in writing within three (3) days after the same is deemed to have been received, ailing which such notice or communication shall be deemed to be correct and legally binding on me.

I agree that if I fail to notify Maybank-IB or Maybank-IB fails to receive my notification, any notice or communication issued by Maybank-IB to my last known address, facsimile number and/or electronic address shall be deemed to be properly sent, delivered, transmitted or served by Maybank-IB.

## 19. MISCELLANEOUS

**19.1 ASSIGNMENT:** I agree not to assign or transfer my rights, interests and obligations under these Terms and Conditions without the prior written consent of Maybank-IB.

**19.2 VARIATIONS AND AMENDMENTS:** I agree that Maybank-IB may vary or amend these Terms and Conditions and any supplementary agreements made hereunder by sending a written notice to me or the dealer's representative acting on my behalf describing the relevant variation or changes. Such variation and/or amendments shall become effective from the date specified in the notice. No amendment will affect any outstanding orders or transactions or legal rights or obligations, which may already have arisen. I further agree to be bound by these Terms and Conditions as varied and/or amended from time to time.

**19.3 SEVERABILITY:** I agree that any Term or Condition that may subsequently be held to be invalid, unenforceable or illegal by a court of competent jurisdiction or regulatory authority shall not invalidate or render illegal or unenforceable the remaining Terms and Conditions.

**19.4 SUCCESSORS BOUND:** I agree that these Terms and Conditions shall bind my successors in title, personal representatives and permitted assigns and the successors and assigns of Maybank-IB.

**19.5 CERTIFICATE OF INDEBTEDNESS:** I agree that a statement or certificate by Maybank-IB as to the amount due or owing or payable by me to Maybank-IB shall, in the absence of manifest error, be conclusive evidence that such amount is in fact due and payable.

**19.6 DEFINITIONS:** In these Terms and Conditions, unless there is something in the context inconsistent with such construction or unless it is expressly provided:-

- (i) words denoting one gender include all other genders and words denoting the singular include the plural and vice versa;
- (ii) words and phrases defined in the Capital Markets and Services Act 2007, the Companies Act 1965 and the Rules of Bursa Securities shall have the same meanings thereby attributed to them;
- (iii) any reference to statutes and rules includes any modification, amendment, consolidation, replacement or re-enactment for the time being in force and all rules, regulations, statutory instruments or orders made pursuant to it;
- (iv) any reference to a business day is to a market day as defined in the Rules of Bursa Securities;
- (v) any reference to Maybank-IB shall also include its branches.

## 20. INTEREST, FEES & CHARGES

Except as otherwise provided in these Terms and Conditions, I agree to pay interest to Maybank-IB on all outstanding amounts due in my Trading Account at the rate of 1.5% per month on a daily basis (as well as before and after judgment) or such other rates as may be varied by Maybank-IB in its absolute discretion and notified to me from time to time.

I agree to pay Maybank-IB such fees and other proper charges at such rates as may be determined and notified to me by Maybank-IB from time to time for services rendered to me including but not limited to stamp duty (including any penalties for late payment thereof), clearing fees, brokerage charges, legal fees incurred by Maybank-IB on a solicitor and client basis in the enforcement of any of Maybank-IB's rights hereunder and/or any other costs and expenses incurred by Maybank-IB or its agents with respect of my transaction in securities.

## 21. FOREIGN ACCOUNT TAX COMPLIANCE ACT 2010 ("FATCA")

I represent and declare that the information provided in relation to FATCA declaration is true, accurate and complete.

I hereby consent for Maybank-IB to report its information to any regulatory authorities in accordance with the requirements of FATCA as may be stipulated by applicable laws, regulations, agreements or regulatory guidelines or directives of any jurisdiction. I hereby consent that Maybank-IB may withhold from its account(s) such amounts in accordance with the requirements of FATCA as may be stipulated by applicable laws, regulations, agreement or regulatory guidelines or directives and further consent that I may be classified by Maybank-IB as a recalcitrant account holder or non-participating foreign financial institution ("NPFFI") and/or suspend, recall or terminate my account(s) and/or facilities granted to me, in the event I fail to provide accurate and complete information and/or documentation as Maybank-IB may require, I undertake to notify Maybank-IB in writing within thirty (30) calendar days if there is a change in any information which I have provided to Maybank-IB.

## 22. SALES AND SERVICE TAX ("SST")

If any provision of goods or services made under these terms and conditions is a taxable good or service to which SST would apply, then Maybank-IB reserves its right to levy such SST at the relevant prescribed rate under such legislative regime governing SST and I, as the recipient of such taxable goods or services shall pay the amount of such SST, as well as all relevant taxes at the applicable rate(s) as may be levied from time to time. For the avoidance of doubt, "SST" refers to the consumption tax imposed on goods and services supplied in any relevant country governed by its respective SST legislation or its equivalent.

## DAYTRADE FACILITY

The terms in this section will additionally apply to you if you have applied for Daytrade Facility.

### 1. Brokerage and Other Charges

1.1 Subject always to Maybank-IB's right to revise the brokerage charges at its sole and absolute discretion at any time, the brokerage charges shall be 0.15% of the contract value.

The expression "contract value" shall bear the same meaning as in the Rules of Bursa Malaysia Securities Berhad (Rule 1000.1).

### 2. Clearance by End of Trading Day

2.1 All purchases must be cleared by the end of each trading day failing which Maybank-IB shall be entitled to force-sell any and all outstanding purchases on the next trading day (T + 1) without any further reference to the Client or its remisier/dealer's representative.

2.2 The Company shall be entitled to withdraw its approval for the operation of intraday trading and shall, at its sole discretion, convert the Daytrade Account into a normal trading account if the clearance requirement in clause 2.1 above is not complied with and/or is breached 3 times or more within any period of 6 months.



## CASH ACCOUNT FACILITY

The terms in this section will additionally apply to you if you have applied for Cash Account Facility.

### 1. Brokerage and Other Charges

- 1.1 Subject always to Maybank-IB's right to revise the brokerage charges at its sole and absolute discretion at any time, the brokerage charges shall be a fully negotiable percentage of the contract value.

The expression "contract value" shall bear the same meaning as in the Rules of Bursa Malaysia Securities Berhad (Rule 1000.1).

### 1.2 You shall also bear the cost of and pay to Maybank-IB the following:-

- i) all relevant stamp duty; and
- ii) clearing fee of 0.03% of the contract value of all trades

## TRADING IN FOREIGN SECURITIES

The terms in this section will additionally apply to you if you have applied to Trade in Foreign Securities.

### 1. Correspondent Brokers

- 1.1 Maybank-IB is entitled to delegate the execution of your orders for the securities to a correspondent broker of Maybank-IB's choice (the "Correspondent Broker"). As between the Correspondent Broker and Maybank-IB, Maybank-IB may be obliged to regard itself as being primarily responsible for the execution of your orders. In this connection, you recognize that Maybank-IB may, but is not obliged, to take such measures (including effecting payment and settlement in respect of your orders which have been executed) as may be necessary to ensure non-default of Maybank-IB's own primary responsibility as aforesaid (notwithstanding that as between you and Maybank-IB, you are or has notified Maybank-IB that you will be in default).

### 2. Information and Execution Delay

- 2.1 Maybank-IB acknowledges that in trading in securities on foreign exchanges there may be delays in stocks quotes and execution of orders via the Correspondent Broker. While Maybank-IB will take reasonable care to mitigate any such delay, you agree that neither Maybank-IB nor any of its officers, agents or employees shall be liable for the accuracy, completeness and timeliness of the information or execution or for any decision made or action taken by you in reliance upon the information provided or for any interruption of any data or information unless it is caused by fraud, gross negligence or wilful default of Maybank-IB.

### 3. Currency and Foreign Exchange Risks

- 3.1 You agree and understand that all transactions and monetary obligations relating to the Trading Account shall be settled in Ringgit Malaysia unless otherwise agreed with Maybank-IB. Any and all accruals, if received in a foreign currency shall be converted at such rate of exchange as may be decided by Maybank-IB and credited into the Trading Account in Ringgit Malaysia. At your request and subject to the consent of Maybank-IB being obtained, transactions may be settled in a currency other than Ringgit Malaysia but at a rate of exchange determined by Maybank-IB in its sole discretion. You shall be fully responsible for any losses, damages, costs and expenses which may result from any currency conversion effected as aforesaid and Maybank-IB shall not be liable in any respect whatsoever.
- 3.2 You agree that in the event that you instruct Maybank-IB to carry out any transactions on your behalf on an exchange or other market on which such transaction is effected in a foreign currency all such transactions shall, unless otherwise agreed to with Maybank-IB at the time such instructions are given, be settled in Ringgit Malaysia at a rate of exchange determined by Maybank-IB in its sole discretion on the basis of the prevailing exchange rates between such currencies.

### 4. Settlement Date

- 4.1 Delivery and settlement in respect of transactions in the securities shall be effected not later than the scheduled settlement date of the relevant exchange. Where the scheduled settlement date falls on a public holiday in Malaysia, settlement will be effected on the following market day for Malaysia.

### 5. Contra

- 5.1 Contra deal(s) in respect of earlier purchase contracts shall only be allowed at the absolute discretion of Maybank-IB and subject to the laws, regulations and rules of the relevant exchange. Maybank-IB shall not be liable for any loss, claim, damage, cost or expense suffered or incurred by you, or profit or advantage of which you may be deprived, which arises from Maybank-IB's refusal to allow you to conduct contra deal(s) regardless of whether such contra deal(s) are permitted under the rules of the relevant exchange.

### 6. Restricted Trading Days

- 6.1 Your ability to trade in securities may be restricted to days when the Malaysian Stock Exchange, Bursa Malaysia ("Bursa Malaysia"), is open for trading. This means that you may be unable to trade in securities when Bursa Malaysia is closed for trading notwithstanding that the relevant exchange on which you wish to trade on may be open for trading. Maybank-IB may at its absolute discretion (but is not obliged to) increase the trading days from time to time. Maybank-IB shall not be liable for any loss, claim, damage, cost or expense suffered or incurred by you, or profit or advantage of which you may be deprived, which arises from the restricted trading days of Maybank-IB and

your inability to trade in securities when Maybank-IB is not open for trading notwithstanding that the relevant exchange may be open for trading.

### 7. Acknowledgment of Risk

You acknowledge and agree that there are risks associated with dealing in securities in multiple markets in the manner contemplated herein. You further confirm that Maybank-IB shall not be responsible for the decision taken by you to deal in securities.

### 8. Nominee/Custodian

- 8.1 Maybank-IB may on the terms set out below hold all securities purchased for you either directly or through a Nominee or Custodian (who may effect such holding through a Sub-Nominee or Sub-Custodian). Such Nominee/custodian and/or such Sub-Nominee/Sub-Custodian may or may not be within Malaysia and in the latter case, you consent to Maybank-IB having absolute discretion in their appointment or approval in their appointment. All costs associated with the holding of the securities by any of them shall be for your account. Accruals with respect to any and all securities so custodised, if in money form, shall be held or accounted for in its original currency of receipt converted into Ringgit Malaysia (as Maybank-IB thinks fit) and credited into the your account.

- 8.2 The duties provided by Maybank-IB, as custodian of the securities purchased for the Client, shall be:

- 1. to hold or procure to be held to its order all documents evidencing ownership of the securities and identity in its books that all securities belong to the Client;
- 2. to procure that all securities other than bearer securities are registered in the name of Maybank-IB or such Nominee/Custodian or Sub-Nominee/Sub-Custodian which has been appointed. In these circumstances, the securities will still be held in such a way that it is readily apparent that the securities are not the property of Maybank-IB or any Nominees/Custodian or Sub-Nominee/Sub-Custodian (as the case may be). The securities may be registered collectively with securities of other clients of Maybank-IB in the same name and where so registered, your entitlements may not be identifiable by separate certificates or other physical documents of title or equivalent electronic records although Maybank-IB and/or its delegate will maintain records such that it will be readily apparent the degree of the express your understanding and agreement that where such co-mingling and aggregation of your securities with those of other persons results in entitlements which otherwise without such co-mingling or aggregation would not have accrued to the securities, Maybank-IB has full discretion as to the allotment of such entitlements as amongst its clients as it deems fit;
- 3. to use its reasonable endeavours to collect and receive entitlements including income and other monies due with respect to the securities provided that you acknowledge and accept that Maybank-IB (whether directly or through and delegate or agent) shall have no duty or responsibility but is entitled, if it chooses to:
  - exercise or discharge any obligations conferred or imposed by reason of Maybank-IB's holding of the securities or to investigate, participate or take any affirmative action in connection therewith or otherwise;
  - send or give notice of any proxy form or other document which Maybank-IB may receive in respect of the securities;
  - recognize any claim in the nature of a trust or equitable claim by anyone other than you in respect of the securities or any part thereof;
- 4. to credit to the applicant's account all income and other payments received by Maybank-IB under paragraph 3 above;
- 5. to sign, execute and/or complete such documents, certificates or forms from time to time required for fiscal and taxation purposes in connection with the collection of income from the Securities; and
- 6. to keep or (to the extent reasonably practicable) procure to be kept by any Nominee/Custodian or Sub-Nominee/Sub-Custodian (as the case may be), such books, records and statements in retrievable form, as may be necessary to provide an adequate record of all securities held and transactions carried out by or on your behalf.



## ISLAMIC SECURITIES TRADING

The terms in this section will additionally apply to if you have applied for Islamic Securities Trading.

The following items shall substitute and replace the indicated terms and conditions of Securities Trading accordingly:

### Clause 1 – TRADING ACCOUNT

I hereby apply to open an Islamic Trading Account in my name for the purpose of trading in Shariah compliant securities. I agree that Maybank IB has the absolute right and discretion to approve or reject my application and may impose such additional terms and conditions as it deem fit.

I agree that the Islamic stock broking services are based on Shariah principles as adopted by Shariah Committee of the Bank and approved by Shariah Advisory Council of the Securities Commission under Section 316A of the Capital Markets and Services Act 2007 ("Shariah Principles") and will only deal in Shariah compliant securities approved by the Shariah Advisory Council of the Securities Commission.

### Clause 10 – CLIENT'S MONIES

I agree and acknowledge that Maybank-IB shall have full right to retain, for the benefit of Maybank-IB and without any obligation to account to me the monies that Maybank-IB may earn from the placement of my monies in any profit bearing shariah compliant account from the monies received from or held on my behalf for the purpose of trading which are deposited in a trust account maintained by Maybank-IB in accordance with CMSA section 112 & 113 ("Client's Monies"). Subject to the foregoing, Maybank-IB may, at its sole and absolute discretion and from time to time, pay such profit as it may determine to me in relation to such Client's Monies after taking into account any applicable taxes and fees and charges (as set out in clause 20) incurred by Maybank-IB in maintaining the trust account and I agree and acknowledge that any profit paid by Maybank-IB to me may be less than that received by Maybank-IB. Subject to all applicable laws, I agree that Maybank-IB shall be entitled to retain all of the profit earned from the maintenance or investments of any monies standing to the credit of the trust account or any of the accounts opened and maintained with Maybank-IB (including the Client's Monies) as may be necessary and expedient for the services rendered by Maybank-IB to me and I agree that Maybank-IB shall be entitled to retain all of the profit from such monies received on the said accounts for the said services.

### Clause 17 – GOVERNING LAW AND JURISDICTION

I agree that these Terms and Conditions are governed by and shall be construed in accordance with laws of Malaysia and Shariah principles and Maybank IB and to the exclusive jurisdiction of the Courts in Malaysia. In the event that any question concerning a Shariah matter arises before the Courts, I hereby agree that either Maybank IB or I may make an application for the Courts to refer any question involving a Shariah matter to the Shariah Advisory Council of the Securities Commission pursuant to Section 316F of the Capital Markets and Services Act 2007 for a ruling.

The following clauses shall apply additionally:

### TA'WIDH (COMPENSATION)

I agree to pay Ta'widh (compensation) to Maybank IB on all outstanding amounts due in my Islamic Trading Account at the Islamic Interbank Money market (IIMM) rate before and after judgment or such other rates as may be varied by Maybank IB in its absolute discretion as notified to me from time to time. The amount of such Ta'widh (compensation) payable by me to Maybank IB shall not be compounded on the principle outstanding amount.

I agree to pay Maybank IB such fees and others charges as determined and notified to me by Maybank IB from time to time for services rendered to me as well as all stamp duty (including any penalties for late payment thereof), clearing fees, brokerage and any other costs chargeable to me arising from my transaction in Shariah compliant securities, including legal fees incurred by Maybank IB on a solicitor and client basis in the enforcement of any of Maybank IB's rights hereunder.

### MISCELLANEOUS

**PURIFICATION OF NON-SHARIAH COMPLIANT SECURITIES:** I hereby agree that in the event that any of the securities purchased by me is later classified by the Shariah Advisory Council of the Securities Commission as being non-Shariah compliant, then as a result thereof I shall have the sole responsibility to dispose such non-Shariah compliant securities and undertake any purification process in respect of my own portfolio

## STRUCTURED WARRANTS RISK DISCLOSURE STATEMENT

1. This statement is provided to you in accordance with the directive of the Committee of Bursa Malaysia Securities Berhad dated 06 December 1994 pursuant to Article 50(c) of the Articles of the Exchange.

2. The purpose of this statement is to inform you that the risk of loss in purchasing structured warrants can be substantial. You should therefore assess if the purchase of structured warrants is suitable for you in light of your financial circumstances. In deciding whether to purchase structured warrants, you should be aware of the following:-

- the purchaser of a structured warrant is subject to the risk of losing the full purchase price of the structured warrant and all the transaction costs;
- 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 the expiry date;
- under certain conditions, it may become difficult to sell the structured warrants;

- 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;
- placing of contingent orders, such as "stop-loss" or "stop-limit" orders, will not necessarily limit your losses to the intended amount. Market conditions may not make it possible to execute such orders; and
- the high degree of leverage that is obtainable from structured warrants because of the small initial outlay can work against you as well as for you. The use of leverage can lead to large losses as well as gain.

3. This brief statement cannot disclose all the risks and other aspects of purchasing structured warrants. You should therefore carefully study the terms and conditions of any structured warrants before you decide to purchase. If you are in doubt in relation to any aspect of this statement or the terms of a structured warrant, you should consult your broker.

## LEAP MARKET RISK DISCLOSURE STATEMENT

(1) The LEAP Market is aimed at facilitating access to the capital market by small or medium sized enterprises ("SMEs") to which a higher investment risk may be attached. This market is a qualified market meant for sophisticated investors only, i.e. those who qualify under Part I of Schedules 6 and 7 of the Capital Markets and Services Act 2007 ("CMSA"). The issue or offer of securities on the LEAP Market is based on an information memorandum, and not a full prospectus registered with the Securities Commission Malaysia under section 233 of the CMSA. In the LEAP Market, sophisticated investors will have the full responsibility for evaluating the disclosed information, as well as the merits and risks of investing.

(2) The purpose of this statement is to inform you that apart from the normal risks involved in trading in securities, trading securities in the LEAP Market comes with other additional risks. You should NOT invest in the securities offered unless you are a sophisticated investor and you fully understand and are prepared to take the risks. You should assess whether the purchase of the securities is suitable for you in light of your knowledge, financial means, investment objectives and the risks you are prepared to take. The risks of investing in such securities include but are not limited to the following:

### (i) Small Companies

Generally, the listed companies on the LEAP Market are smaller than the listed companies on the ACE Market or Main Market and may not have a proven track record in terms of operating history or profit track record. Hence, you should be aware that there is a higher risk of business failures which may adversely impact your investments should you choose to invest.

### (ii) Minimum Requirements on Disclosure and Governance

The LEAP Market has a regulatory framework on disclosure and post-listing requirements appropriate for sophisticated investors only. This framework may be less prescriptive than that in the ACE Market or Main Market. The listed companies on the LEAP Market are required to provide only key information about its business plan, operations and financial information. This may affect your ability to make fully informed investment decisions.

### (iii) Liquidity Risks

As a market limited to sophisticated investors only, the LEAP Market may not have the trading activities or liquidity of the ACE Market or Main Market. You may not be able to exit your investment as easily as in the ACE Market or Main Market. Limited trading activities or illiquidity in the LEAP Market may increase the risk of loss by making it difficult to effect transactions or sell the LEAP Market securities.

This brief statement cannot disclose all the risks and other significant aspects of trading securities in the LEAP Market. You should understand the key characteristics, business plan and financial information of the companies listed on the LEAP Market thoroughly and carefully study all the risks associated with securities in the LEAP Market and/or seek independent professional advice before you decide to invest.

## MEMORANDUM OF DEPOSIT OF SECURITIES

I, the applicant hereby pledge all the securities which are acceptable to you and which may be held from time to time, in my trading account with you which have been fully paid and/or in any of my CDS account held with you directly or through your nominees (hereinafter called "the said securities") on the following terms and conditions:-

1. I confirm that I am the legal and beneficial owner of the securities and that I am entitled to pledge the said securities to your Company.
2. The said securities will be a continuing security to you for the general balance of our debts to your Company, which includes but is not limited to any moneys now and hereafter due under our trading account with your Company.
3. In the event that any debt remains outstanding for more than fourteen (14) days or any other period of time as may be prescribed by you in your absolute discretion at any time and from time to time by written notice to us and where written notice of such debt has been given, your Company may at your sole discretion and at any time thereafter, without giving any further notice, sell the said securities to settle such debts, in such event, I shall have no recourse against your Company or your nominees in respect of any loss that I may suffer arising out of or in relation to or connected with such sale or this Memorandum.
4. The shares may be registered by your Company in its name or in your nominees. If any of the said securities are held in a CDS account registered in my name, you shall be empowered in accordance with Section 40 of the Securities Industry (Central Depositories) Act 1991, to request the central depository to transfer such securities into your or your nominee's securities account. Notwithstanding the aforesaid, neither your Company nor your nominees shall be answerable or responsible for any diminution in value of any of the said securities, however arising, while the same are in the custody, possession or control of your Company or your nominees. Further, while the said securities are in the custody, possession or control of your Company or your nominees, you shall not be responsible to ensure that any options, calls, rights issue, bonus issues, dividends and/or any other allotments, accretions and rights whatsoever accrued, attached and/or declared in respect of the said securities are subscribed, exercised, taken up, received or collected by you.
5. Prior to the discharge of all moneys hereby secured, your Company shall be entitled to attend all meetings held in connection with any company or corporation in relation to any of the said securities held in your Company's name or your nominees name and to exercise at your discretion and without any notice to me, all voting and other rights in respect thereof at any such meetings.
6. Upon demand and at our cost, I shall execute such forms of transfer and/or assignments as are necessary to enable the effectual transfer of the said securities. The names of the transferee, the date of transfer and the consideration are left blank and I authorise your Company or your nominees to fill in the aforementioned details in the transfer forms. In the event that further documents are necessary to effectively transfer the said securities, I shall immediately upon your Company's demand execute such documents.
7. I hereby irrevocably authorize your Company to make enquiries and/or requests and to receive Statement of Account of any of my aforementioned CDS account as and when you shall see fit and/or deemed necessary by you in your absolute discretion without the need to seek my consent. I

hereby further agree that you shall not be held liable for any claims, actions and/or proceedings of any kind and nature howsoever arising and I hereby undertake to indemnify you for any losses of any kind and any nature which are incurred or suffered by you in respect thereof in connection with or as a result of your exercise of your right under this paragraph 7 and/or any other right pursuant to this Memorandum.

8. I hereby appoint you or any of your Attorneys and in my name, in the name of yourself or your Attorney, as the case may be, to, in the event any debt remains outstanding for more than fourteen (14) days or any other period of time as may be prescribed by you in your absolute discretion at any time and from time to time by written notice to us, deal with the said securities in any manner whatsoever and to do all other things as fully and effectively as I do in connection therewith and in particular but without prejudice to the generality of this foregoing to transfer, assign, charge or sell the said securities or any part thereof and to do all whatsoever acts and execute all whatsoever documents to give effect to such transfer assignment charge or sale, Provided Always, that you shall not deal with the balance of the said securities (if any) once all the debts remaining outstanding as aforesaid has been paid/ repaid in full to your Company.
9. I hereby acknowledge that your Company will not be liable for any loss or damage of the securities deposited into any CDS account registered in my name and/or securities account(s) registered in the name of your nominees for and on our behalf unless due to your negligence or wilful default. In respect of such loss or damage, you will only be liable for the incidental replacement cost, which are confined to cost of advertisement, scrip fees and any reasonable costs related to the replacement of the physical share certificates only and does not include or oblige you to buy back the securities for me from the stock market or from any other source. The replacement share certificates shall be returned to me upon your receipt of the same from the share registrar.
10. I hereby authorise your Company in the event of the sales of the said securities to deliver the same to the purchaser or the legal representative and to credit the proceeds of sales to my account with you to settle any outstanding debts to you.
11. Any notice or demand required to be made or given to us hereunder may be served by hand or sent by post or facsimile to my address or facsimile number provided by me or such last known address and shall be deemed to have been received by me at the time of delivery if delivered by hand, within three (3) days after the date of posting notwithstanding, that the letter may be returned in the post and on the business day immediately after transmission, if sent by facsimile.
12. I hereby acknowledge that you will not be liable for any failure in performing any of your obligations hereunder or any claim in respect of any loss, expense, cost, injury, damages or liabilities which are caused by or resulted from or arisen from the operation of this account.
13. I hereby authorise you to disclose any and all information (including without limitation particulars of securities held) in relation to my trading account and/or CDS account(s) registered in my name and/or CDS accounts registered in the name of your nominees for and on our behalf to any of your employees, Dealer's Representatives, agents, related companies, subsidiaries, affiliates and/or any other parties assigned to handle my trading account and agree that your Company will not be liable for any claims, actions, proceedings and losses of whatsoever nature which may be incurred as result of this authorisation

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**DECLARATION & FORM OF DISCLOSURE****ADDENDUM TO THE TERMS AND CONDITIONS PURSUANT TO RULE 5.15 (8) OF THE RULES OF BURSA MALAYSIA**

1. I do solemnly declare that:
- I have read and fully understood the Terms and Conditions and that they are legally binding on me;
  - I have read the **LEAP Market / Structured Warrants** Disclosure Statement and understand its contents which have been explained to me;
  - where the securities arising from dealings in the trading account are credited into or debited from a CDS account, the beneficial owner in relation to those securities is the same; and
  - I have read and understood the terms and conditions of the Memorandum of Deposit.
2. In addition to the above, I do hereby agree and undertake as follows:
- to abide by all rules, regulations, by-laws and/or directives of Bursa Securities where the provisions therein apply directly or indirectly to me and/or the operation of my trading account; and
  - to disclose information and documents in relation to any dealing in securities in respect of my trading account upon request by Bursa Securities pursuant to Rule 5.15 (9) of the Rules of Bursa Securities. Such disclosure shall include, but not limited to:-
    - the name of the person from whom, through whom or on whose behalf the securities in this trading account are dealt with;
    - particulars sufficient to identify the person in 2(b)(i) above; and
    - in the event the person in 2(b)(i) above is not the beneficial owner(s) of the securities transacted in this trading account, to require the person to procure the particulars of the beneficial owner(s) of the said securities.
3. I further declare that:
- I am not a bankrupt and am not an employee of any Participating Organisation of Bursa Securities;
  - I am neither engaged in any unlawful activity nor are my monies obtained from any illegal source or related to any illegal activity; and
  - the Dealer's Representative appointed or assigned to act on my/our behalf, does not have an interest, whether directly or indirectly, in my Trading Account, by virtue of any relationship whatsoever.
4. I understand that Bursa Securities may direct Maybank Investment Bank Berhad ("Maybank IB") to refrain from trading and/or from effecting any dealings in securities for my trading account, and I do hereby consent to the same, in any of the following circumstances:
- in relation to a request made under 2(b) above, until I have furnished the information and document(s) requested therein or where I refuse to furnish the same; and/or
  - where I commit an act or omission, in relation to or arising from any transactions or dealings in securities reflected in my trading account and/or held in CDS account(s) where such securities are credited into or debited from, directly or indirectly causes, aids or facilitates a breach of the Rules of Bursa Securities.
5. I understand that Maybank IB reserves the right to close my Trading Account immediately in the event that any declaration made herein is found to be false or materially inaccurate.
6. I consent to the disclosure by Maybank-IB of any information in this Trading Account Application form and any other documents and information to Maybank Group of companies and any third parties engaged in the course of providing the services and also to the relevant regulatory authorities as may be required by law or applicable rules and regulations.
7. I do solemnly declare that the dealings in securities in respect of my Trading Account are/shall be carried out:

☒ : for me as principal(s)

☐ : for and on behalf of the party(ies) set out below, from whom, through whom or on whose behalf the securities are to be dealt with:  
(please tick ☒ whichever is appropriate)

**PARTICULARS**

Name of party(ies) concerned (1) : \_\_\_\_\_ (2) : \_\_\_\_\_  
\* NRIC / Company Number (1) : \_\_\_\_\_ (2) : \_\_\_\_\_  
\* Address / Registered Address (1) : \_\_\_\_\_ (2) : \_\_\_\_\_

*Note - In the event this disclosure form is not duly completed, you shall be presumed to be trading for yourself and not on behalf of another party. Bursa Malaysia Securities Berhad takes a serious view of any misrepresentation arising from making an erroneous disclosure or not making a disclosure at all.*

**(SECTION 8 IS APPLICABLE TO MARGIN FINANCING APPLICANTS ONLY)**

- i) Are you related to any member of Staff / Director / Dealer / Remisier of Maybank IB?  
If yes, please specify:

☐ Yes ☐ No

- ii) Do you have any trading accounts with other stockbroking companies in Malaysia?  
If yes, please specify:

☐ Yes ☐ No

- iii) Do any of your family members maintain a trading account with Maybank IB?  
("Family" includes spouse, parents, child (including adopted child and stepchild), brother, sister and the spouse of his child, brother or sister.)  
If yes, please provide name and account number:

☐ Yes ☐ No

TRADING ACCOUNT NUMBER

- iv) Are you a Director or a shareholder of a Company which has a trading account with us?  
If yes, please provide name and account number

☐ Yes ☐ No

TRADING ACCOUNT NUMBER

9. I have read and understood all the terms and conditions stipulated in this addendum to the Trading Account Application Form and agree to be bound by the terms and conditions stipulated herein:

10. I declare that the information furnished on this application form is true and complete to the best of my knowledge and belief and I undertake to update and keep you updated of any changes to the information.

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

SUBSCRIBED AND SOLEMNLY declared by the applicant,

\*\* Before me,

Signature of  
Applicant:

Signature of Witness :

Name of Witness :

NRIC/Passport Number :

Profession/Designation :

Address of witness :

Date : \_\_\_\_\_

Date : \_\_\_\_\_

Note: \* Delete if not applicable

\*\* Insert name, NRIC/Passport number, profession/designation and address of witness who must be the dealer's representative assigned, an authorized officer of Maybank Investment Bank Berhad or Notary Public or the Officer of the Malaysian Embassy or High Commission/Consulate of the jurisdiction where the form is signed.

#### DECLARATION BY DEALER'S REPRESENTATIVE / MAYBANK BRANCH

I hereby declare that I have verified the identity of the Applicant and that all information furnished by the Applicant, to the best of my knowledge, are true and correct. I further declare that I accept the Applicant as a Client, subject to approval of Maybank IB.

Recommended Approved Limit: RM \_\_\_\_\_ Signature : \_\_\_\_\_

Name : \_\_\_\_\_ Date : \_\_\_\_\_

NRIC No. : \_\_\_\_\_ Dealer/Remisier Code : \_\_\_\_\_

Branch Name : \_\_\_\_\_

Branch Name : \_\_\_\_\_

Introducer : ☐ EIC ☐ PWM ☐ Maybank Branch

#### CLIENT ASSESSMENT / REMARKS

**FATCA/CRS Individual Self-Certification Form**

Please read these instructions before completing the form.

Under Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS), Maybank Group is required to collect and report certain information to the local tax authority on the status of our customers.

Should there be a change in circumstances relating to information, such as the account holder's tax status or other mandatory field information that makes this form incorrect or incomplete, please let us know by notifying us or providing us with an updated Self-Certification Form.

This form must be completed by any individual who wishes to open an account.

As a financial institution, we are not allowed to give tax advice. Kindly consult your tax or legal adviser should you have questions on or in relation to FATCA and CRS.

**Part 1 - Identification of Individual Account Holder**

(For joint or multiple account holders, complete a separate form for each individual account holder)

Name:	<b>MUHAMAD FAIZAL BIN MUSTAPA</b>	
Date of Birth (DDMMYYYY):	<b>12/09/1984</b>	
Country of Birth:	<b>MALAYSIA</b>	
New IC Number:	<b>840912-XX-XXXX</b>	
Current Residence Address:	<b>ADDRESS AS PER IC</b>	
Mailing Address:	<b>CURRENT MAILING ADDRESS</b> (Complete if different to the current residence address)	
Address Line 1:	<b>BLOK J NO 9224</b>	<b>12/10 PANGSAPURI SRI HARMONIS</b>
Address Line 2:	<b>RUMAH ANAM</b>	<b>JALAN GOMBAK 6 3/4</b>
Address Line 3:	<b>76100 DURIAN TUNGGAL</b>	<b>53100 GOMBAK, KUALA LUMPUR</b>
Address Line 4:	<b>MELAKA, MALAYSIA</b>	<b>MALAYSIA</b>

**Part 2 - FATCA Self Certification**
Definitions applicable

The term U.S. person or United States person means a person described in section 7701(a)(30) of the Internal Revenue Code;

The term "United States person" means—

(A) a citizen or resident of the United States

Please check "f" Yes or No for each of the following questions:		Yes	No
1	Are you a U.S. Citizen?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
2	Do you hold a U.S. Permanent Resident Card (Green Card)?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
3	Are you a U.S. Resident?	<input type="checkbox"/>	<input checked="" type="checkbox"/>
4	If you have ticked "No" to all three questions above, then please tick as:	<input checked="" type="checkbox"/> Non U.S. person	
	If you have ticked "Yes" to any of the three questions above, please tick as: Please fill up U.S. IRS form W9 ( <a href="https://www.irs.gov/pub/irs-pdf/fw9.pdf?portlet=103">https://www.irs.gov/pub/irs-pdf/fw9.pdf?portlet=103</a> )	<input type="checkbox"/> U.S. person	

**Part 3 - Jurisdiction of Residence and Taxpayer Identification Number (TIN)**

Complete the following table indication :

(a) the jurisdiction of residence where the account holder is a resident for tax purposes (except for Malaysia) and

(b) the account holder's TIN for each jurisdiction indicated. Indicate All jurisdictions of residence.

If a TIN is unavailable, indicate which of the following reason is applicable:

**Reason A** - The jurisdiction where the account holder is a resident for tax purpose does not issue TINs to its residents.

**Reason B** - The account holder is unable to obtain a TIN.

**Reason C** - TIN is not required.

(Note: Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.)

	Country of Tax Residence	TIN	If no TIN available, indicate Reason A, B or C
1			
2			
3			

Please explain in the following boxes why you are unable to obtain a TIN if you selected **Reason B** above.

1	
2	
3	

Note: If the account holder is a resident for tax purpose in more than three countries, please use separate sheet.

**Declaration and Signature**

I represent and declare that the information provided above is true, accurate and complete.

I understand that the term "U.S. person" means any citizen or resident of the United States.

I hereby consent to Malayan Banking Berhad or any of its affiliates, including branches (collectively "the Bank") disclosing the financial accounts information to regulatory authorities in accordance with the requirements of the Foreign Account Tax Compliance Act and Common Reporting Standard as may be stipulated by applicable laws, regulations, agreements or regulatory guidelines or directives.

I hereby agree that the Bank may classify me as reportable account and/or suspend, recall or terminate my account(s) and/or facilities granted to me, in the event I fail to provide accurate and complete information and/or documentation as the Bank may require.

I hereby agree that the Bank may withhold from my account(s) such amounts in accordance with the provisions of Foreign Account Tax Compliance Act or as may be stipulated by applicable laws, regulations, agreement or regulatory guidelines or directives.

I undertake to notify the Bank in writing within 30 calendar days of any change in circumstances which causes the information contained herein to become incorrect.

Signature:

**HANDWRITTEN SIGNATURE**

Name:

**MUHAMAD FAISAL BIN MUSTAPA**

Date (dd/mm/yyyy):

Capacity:

*(Indicate the capacity if you are not the individual identified in Part 1. If signing under a Power of Attorney, attached a certified copy of the Power of Attorney)*



## PDPA form for individual customers

Please complete in BLOCK LETTERS

Name: MUHAMAD FAIZAL BIN MUSTAPA

IC No: 840912-XX-XXXX

In order to process this application and subsequently to continue performing the contractual agreements entered between you and any entity within Maybank Group, we may need to disclose your personal data to other entities within Maybank Group and other external parties. Maybank Group refers to Malayan Banking Berhad ("Maybank"), including its branches in Malaysia and in other countries as well as its local and overseas subsidiaries. The external parties we disclose your personal data to may include but not limited to (1) governmental and regulatory bodies such as Bank Negara Malaysia and Securities Commission, (2) our business strategic partners such as CAGAMAS and debt collection agents, (3) outsourcing vendors such as vendors we work with for the maintenance and storage of your personal data. These parties may locate and / or process your personal data within or outside of Malaysia.

Under the Personal Data Protection Act (PDPA) 2010, we are required to obtain your explicit consent when we collect and process your sensitive personal data. We collect your sensitive personal data in order to assess your application and to administer the products and services that you have signed up for.

From time to time, we, other entities within Maybank Group or our agents or strategic partners or such other third parties (collectively, "Other Entities") may have information about products, services and promotions that may be of interest to you. To receive such information, your consent is required for us to process, disclose and/or share your information/data with Other Entities. Accordingly, please mark your preference by ticking the appropriate box in the declaration below.

### **Declaration**

By signing this form, I am declaring that I have read and understood and agreed to be subject to the Maybank Group Privacy Notice and expressly consenting to and authorising Maybank Group:

- to request for and to obtain all the personal information and data in this form for the purpose of processing this application and all other purposes which are required in relation to any products and services offered by Maybank Group
- to disclose my personal data to other entities within the Maybank Group and other external parties when required
- to collect and process my sensitive personal data for the purpose of this application (where applicable).

By signing this form, I further confirm that all personal data that I have provided are all true, up-to-date and accurate. Should there be any changes to any of my/our personal data, I shall notify Maybank Group immediately.

With regards to promotional and marketing materials:

- ☐ Yes, I expressly agree to Maybank Group and/or Other Entities processing my/our personal data for promotional and marketing purposes.
- ☒ No, I do not agree to Maybank Group and/or Other Entities processing my/our personal data for promotional and marketing purposes.

Signature:  HANDWRITTEN SIGNATURE

Date: \_\_\_\_\_



# APPENDIX

**APPLICABLE FOR CLIENT WHO DOESN'T HAVE MAYBANK2U ACCOUNT**



Date : .....

To : Maybank Investment Bank Berhad

**RE: ACTIVATION OF SINGLE SIGN ON USER ID VIA POWER BROKING**

Kindly create ID as per below details:

1.	Name	MUHAMAD FAIZAL BIN MUSTAPA
2.	Branch (Circle Whichever Applicable)	KL/Ipoh/Klang/MD/Seremban/Penang
3.	NRIC No.	840912-XX-XXXX
4.	Trading A/C No.	
5.	Email Address	FAIZAL123@GMAIL.COM
6.	Dealer/Remisier Code & Email Address	/
7.	Preferable user ID (min 8 max 12 characters)	

Please (✓) tick ID creation for the followings:

☒ Local Trading

☒ Global Research

☒ Global Trading\*

\* FIC Account has been opened to proceed with Global Trading - Yes / No

FIC Account No. ....

Verify by,

Client Signature: .....

Dealer/Remisier .....

CMD/Operations Dept .....

Name : MUHAMAD FAIZAL  
BIN MUSTAPA

Date :

Date:

Name & Stamp:

Date:

**For Office Use Only**

Completed By :  
Name & Stamp:  
Date :

Remark / Password & User ID Sent:

**Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)**

- For use by individuals. Entities must use Form W-8BEN-E.
- Go to [www.irs.gov/FormW8BEN](http://www.irs.gov/FormW8BEN) for instructions and the latest information.
- Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

**Do NOT use this form if:**

- You are NOT an individual . . . . . W-8BEN-E
- You are a U.S. citizen or other U.S. person, including a resident alien individual . . . . . W-9
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the United States (other than personal services) . . . . . W-8ECI
- You are a beneficial owner who is receiving compensation for personal services performed in the United States . . . . . 8233 or W-4
- You are a person acting as an intermediary . . . . . W-8IMY

**Instead, use Form:**

**Note:** If you are resident in a FATCA partner jurisdiction (that is, a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

**Part I Identification of Beneficial Owner** (see instructions)

<b>1</b> Name of individual who is the beneficial owner MUHAMAD FAIZAL BIN MUSTAPA	<b>2</b> Country of citizenship MALAYSIA
<b>3</b> Permanent residence address (street, apt. or suite no., or rural route). <b>Do not use a P.O. box or in-care-of address. ADDRESS AS PER IC</b> BLOK J NO 9224, RUMAH ANAM	
City or town, state or province. Include postal code where appropriate. 76100 DURIAN TUNGGAL, MELAKA	Country MALAYSIA
<b>4</b> Mailing address (if different from above) <b>MAILING ADDRESS</b> 12/10 PANGSAPURI SRI HARMONIS, JALAN GOMBAK 6 3/4	
City or town, state or province. Include postal code where appropriate. 53100 GOMBAK, KUALA LUMPUR	Country MALAYSIA
<b>5</b> U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)	
<b>6a</b> Foreign tax identifying number (see instructions)	<b>6b</b> Check if FTIN not legally required . . . . . <input type="checkbox"/>
<b>7</b> Reference number(s) (see instructions)	<b>8</b> Date of birth (MM-DD-YYYY) (see instructions)

**Part II Claim of Tax Treaty Benefits** (for chapter 3 purposes only) (see instructions)

- 9** I certify that the beneficial owner is a resident of \_\_\_\_\_ within the meaning of the income tax treaty between the United States and that country.
- 10 Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph \_\_\_\_\_ of the treaty identified on line 9 above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_.
- Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: \_\_\_\_\_

**Part III Certification**

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income or proceeds to which this form relates or am using this form to document myself for chapter 4 purposes;
- The person named on line 1 of this form is not a U.S. person;
- This form relates to:
  - (a) income not effectively connected with the conduct of a trade or business in the United States;
  - (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an applicable income tax treaty;
  - (c) the partner's share of a partnership's effectively connected taxable income; or
  - (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f);
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country; and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

**Sign Here**
☐ I certify that I have the capacity to sign for the person identified on line 1 of this form.

Signature of beneficial owner (or individual authorized to sign for beneficial owner)

Date (MM-DD-YYYY)

Print name of signer

**Declaration by Resident**  
**(Investment in Foreign Currency Asset Onshore/Offshore)**

**Appendix 15**

*Instruction: Please tick whichever applicable.*

**OPTION 1**

- ☐ I/We DO NOT have \*domestic ringgit borrowing with any financial/non-financial institution in Malaysia and I/we shall undertake to inform the Bank in the event I/We have domestic ringgit borrowing.

**OPTION 2**

- ☐ I/We DO have domestic ringgit borrowing obtained from \_\_\_\_\_ (resident, including individuals, corporation & financial institutions) and confirm that my/our total investments (Foreign Currency Asset Onshore and Offshore) including this application do not exceed RM1 million<sup>1</sup> for (resident individual) or RM50 million<sup>2</sup> equivalent in aggregate for a resident company (within its group of entities with parent-subsiary relationship) imposed by BNM for this calendar year.

**OPTION 3**

- ☐ I/We have not utilized any foreign currency credit facilities for any investment (Foreign Currency Asset Onshore and Offshore)

**OPTION 4**

- ☐ I/We have utilized any foreign currency credit facilities for any investment (Foreign Currency Asset Onshore and Offshore) but such utilization does not exceed the equivalent of RM10 million<sup>3</sup> (for a resident individual) or RM100 million<sup>4</sup> (for a resident company within its group of entities with parent-subsiary relationship).

**OPTION 5**

- ☐ I/We have obtained Bank Negara Malaysia (BNM) approval for investment (Foreign Currency Asset Onshore and Offshore) and/or utilisation of foreign currency credit facilities exceeding permitted limit.

**I/We undertake to inform the Bank whenever I/We make investment into foreign currency asset onshore and offshore with other financial institution in Malaysia.**

**I/We agree that if any of the statements/declarations made herein are found to be incorrect in any material respect and if there is any breach of any of the said Conditions and/or other directives, the Bank shall not be held responsible and I/We agree to indemnify the Bank in full against all consequences, penalties and/or liabilities of any kind whatsoever directly or indirectly arising from or relating to the said transaction.**

**Note:**

<sup>1</sup> Computed in aggregate based on the Resident Individual, sole proprietorship and General Partnership's investment in Foreign Currency Asset.

<sup>2</sup> Computed in aggregate based on the Resident Entity and other Resident Entity with Parent-Subsidiary Relationship's investment in Foreign Currency Asset.


<sup>3</sup> Computed based on an aggregate of Borrowing in Foreign Currency by the Resident Individual and a sole proprietor and a General Partnership owned by the Resident Individual.

<sup>4</sup> Computed based on an aggregate Borrowing in Foreign Currency by the Resident Entity and other Resident Entity with Parent-Subsidiary Relationship.

**Whenever customer declared that they do not have any domestic RM borrowing, business have to take additional measure by checking customer's domestic borrowing status within Maybank as follows:**

- a) INQUSAP and/or GEMS - For Individual, Sole Proprietor or General Partnership
- b) INQUSAP and/or GEMS - For entity (to determine corporate group exposure - resident entities within its group of entities with parent-subsiary relationship)

I/WE HAVE READ AND AGREED TO BE BOUND BY THE DECLARATION MADE HEREIN.

Name / Authorised Signatories	ID No.	Signature
MUHAMAD FAIZAL BIN MUSTAPA	840912-XX-XXXX	

HANDWRITTEN SIGNATURE

**For Bank Use Only**

I confirm that Foreign Exchange Policy (FEP) requirement have been communicated to the clients.

Officer's Signature :  
Name & Designation :  
Department/Branch :  
Date :

**KNOW YOUR CUSTOMER POLICY**

Item	Correct as per application form?		Remark
Submitted the application form to open an account with Maybank IB	<input type="checkbox"/> Yes	<input type="checkbox"/> No	

☐ WALK-IN CLIENT CONFIRMATION

☐ TELEPHONE CONFIRMATION

Name	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
NRIC No / Passport No	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Registered Address	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Correspondence Address	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Email Address (Personal)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Email Address (Office)	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Occupation - under employment / self employed :			
• Organisation's Name	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
• Organisation's Address	<input type="checkbox"/> Yes	<input checked="" type="checkbox"/> No	
• Designation	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
• Tenure	<input type="checkbox"/> Yes	<input type="checkbox"/> No	Number of years in service :
Occupation - unemployed :			
• Housewife	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
• Student	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
• Retiree / Pensioner	<input checked="" type="checkbox"/> Yes	<input type="checkbox"/> No	Last designation:
Is customer aware that this Trading Account will only solely be operated by Him/Her?	<input type="checkbox"/> Yes	<input type="checkbox"/> No	
Others :			

**TELEPHONE LOG**

No	Date	Time	Contact Number	Able to contact client?		Remark
1				<input type="checkbox"/> Yes	<input type="checkbox"/> No	
2				<input type="checkbox"/> Yes	<input type="checkbox"/> No	
3				<input type="checkbox"/> Yes	<input type="checkbox"/> No	
4				<input type="checkbox"/> Yes	<input type="checkbox"/> No	
5				<input type="checkbox"/> Yes	<input type="checkbox"/> No	

I have checked the background of the client verbally / through telephone and hereby confirm that the information stated on the application form are to the best of my knowledge.

Name &amp; Designation

Date

# MAYBANK INVESTMENT BANK BERHAD (197301002412)

## ACCOUNT MANAGEMENT CHECKLIST FOR OPENING OF ACCOUNT

### A) APPLICANT

- |                              |                                   |                                       |                 |
|------------------------------|-----------------------------------|---------------------------------------|-----------------|
| 1. Customer Information      | <input type="checkbox"/> COMPLETE | <input type="checkbox"/> INCOMPLETE   | Remarks : _____ |
| 2. Occupation                | <input type="checkbox"/> COMPLETE | <input type="checkbox"/> INCOMPLETE   | Remarks : _____ |
| 3. Bank Particulars          | <input type="checkbox"/> PROVIDED | <input type="checkbox"/> NOT PROVIDED |                 |
| 4. Spouse / Next of Kin Data | <input type="checkbox"/> COMPLETE | <input type="checkbox"/> INCOMPLETE   | Remarks : _____ |
| 5. Investment Objectives     | <input type="checkbox"/> COMPLETE | <input type="checkbox"/> INCOMPLETE   | Remarks : _____ |
| 6. Additional Information    | <input type="checkbox"/> COMPLETE | <input type="checkbox"/> INCOMPLETE   | Remarks : _____ |

### B) DOCUMENT TO RECEIVE

- |   |                                   |                                     |
|---|-----------------------------------|-------------------------------------|
| 1. Terms & Conditions of Trading<br>Declaration & Form of Disclosure by Applicant | <input type="checkbox"/> SIGNED   | <input type="checkbox"/> NOT SIGNED |
| 2. Declaration by Dealer's Representative   | <input type="checkbox"/> SIGNED   | <input type="checkbox"/> NOT SIGNED |
| 3. Trading Limit by Dealer / Remisier   | <input type="checkbox"/> COMPLETE | <input type="checkbox"/> INCOMPLETE |
- Remarks : \_\_\_\_\_

### C) PROCESSING

- |  |                              |   |
|--|------------------------------|---|
| 1. NRIC / PASSPORT<br>Original Sighted & Signed by Dealer / Remisier                         | <input type="checkbox"/> YES | <input type="checkbox"/> NO   |
| 2. Does the name & I/C No. on the application<br>match Name & I/C No. on the NRIC / PASSPORT | <input type="checkbox"/> YES | <input type="checkbox"/> NO   |
| 3. Proof of Income / Wealth<br>Original Sighted & Signed by Dealer / Remisier                | <input type="checkbox"/> YES | <input type="checkbox"/> NO <input type="checkbox"/> NA <input type="checkbox"/> OTHERS |
| 4. Age<br>Is Client Above 18   | <input type="checkbox"/> YES | <input type="checkbox"/> NO   |

### D) KNOW YOUR CUSTOMER CHECK (KYC)

- |                           |                              |                             |                                  |
|---------------------------|------------------------------|-----------------------------|----------------------------------|
| 1. Telephone Confirmation | <input type="checkbox"/> YES | <input type="checkbox"/> NO | <input type="checkbox"/> WALK-IN |
| 2. Common Address         | <input type="checkbox"/> YES | <input type="checkbox"/> NO |                                  |
| 3. New IPO / ESOS         | <input type="checkbox"/> YES | <input type="checkbox"/> NO |                                  |

### E) CREDIT CHECKING

- |                               |                               |                                   |                             |  |
|-------------------------------|-------------------------------|-----------------------------------|-----------------------------|--|
| 1. BMSB Defaulter             |                               |                                   |                             |  |
| Search with Passport No.      | <input type="checkbox"/> DONE | <input type="checkbox"/> NOT DONE | <input type="checkbox"/> NA |  |
| Search with Old I/C No.       | <input type="checkbox"/> DONE | <input type="checkbox"/> NOT DONE | <input type="checkbox"/> NA |  |
| Search with New I/C No.       | <input type="checkbox"/> DONE | <input type="checkbox"/> NOT DONE | <input type="checkbox"/> NA |  |
| Is Client is a BMSB Defaulter | <input type="checkbox"/> YES  | <input type="checkbox"/> NO       |                             |  |
| 2. Bankruptcy                 |                               |                                   |                             |  |
| Search with Passport No.      | <input type="checkbox"/> DONE | <input type="checkbox"/> NOT DONE | <input type="checkbox"/> NA |  |
| Search with Old I/C No.       | <input type="checkbox"/> DONE | <input type="checkbox"/> NOT DONE | <input type="checkbox"/> NA |  |
| Search with New I/C No.       | <input type="checkbox"/> DONE | <input type="checkbox"/> NOT DONE | <input type="checkbox"/> NA |  |
| 3. View Account Closed        |                               |                                   |                             |  |
| Search with Passport No.      | <input type="checkbox"/> DONE | <input type="checkbox"/> NOT DONE | <input type="checkbox"/> NA |  |
| Search with Old I/C No.       | <input type="checkbox"/> DONE | <input type="checkbox"/> NOT DONE | <input type="checkbox"/> NA |  |
| Search with New I/C No.       | <input type="checkbox"/> DONE | <input type="checkbox"/> NOT DONE | <input type="checkbox"/> NA |  |

### F) BURSA MALAYSIA DEPOSITORY SDN BHD (CDS)

☐ YES ☐ NO

### G) SAFE-RISK INDICATORS

- |   |                               |   |
|---|-------------------------------|---|
| 1. High Risk Products / Services / Industries | <input type="checkbox"/> YES  | <input type="checkbox"/> NO                                   |
| 2. High Risk Countries / Terrorist            | <input type="checkbox"/> YES  | <input type="checkbox"/> NO                                   |
| 3. Proceed to CDD Form                        | <input type="checkbox"/> YES  | <input type="checkbox"/> NO                                   |
| IF YES, please ensure ECDD form is completed  | <input type="checkbox"/> DONE | <input type="checkbox"/> NOT DONE <input type="checkbox"/> NA |

### H) FOREIGN ACCOUNT TAX COMPLIANCE (FATCA)

- |   |                              |                             |
|---|------------------------------|-----------------------------|
| 1. Is the Account Opening Form - Supplementary form for<br>for Individuals has been completed by individual client? | <input type="checkbox"/> YES | <input type="checkbox"/> NO |
| 2. Is the client has any U.S. Indicia?  | <input type="checkbox"/> YES | <input type="checkbox"/> NO |
| 3. Customer(s) FATCA Classification Section A & B Applicable?   | <input type="checkbox"/> YES | <input type="checkbox"/> NO |

CHECKED BY :

CHECKED BY :



<b>PROCESSED BY:</b>           Signature _____ Name _____ Position _____ Date _____  Brokerage Code : _____ Parent / Account Group : _____ / _____ Race Code : _____ MBB Branch Code : _____	<b>RECOMMENDED BY:</b>           Signature _____ Name _____ Position _____ Date _____  Proposed Approved Limit: RM _____ Condition _____ _____ _____	<b>APPROVING AUTHORITY:</b>           Deposit* <input type="checkbox"/> Yes <input type="checkbox"/> No  Approved Limit: RM _____  Signature _____ Name _____ Position _____ Date _____  Signature _____ Name _____ Position _____ Date _____  <i>* Please tick appropriate box</i>
<b>DATA INPUT</b>  Signature _____ Name _____ Position _____ Date _____	<b>DATA INPUT-APPROVED LIMIT</b>  Signature _____ Name _____ Position _____ Date _____  Signature _____ Name _____ Position _____ Date _____	<b>DATA VALIDATION</b>  Signature _____ Name _____ Position _____ Date _____

**FOR COMPLIANCE SUPERVISION USE ONLY**

Account opened in accordance to Bursa Malaysia Securities Berhad rules and Maybank-IB internal policies and procedures?

☐ Yes ☐ No

Remarks (if any) : \_\_\_\_\_

Reviewed by : \_\_\_\_\_

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

Name : \_\_\_\_\_ Date : \_\_\_\_\_



Maybank Investment Bank Berhad (197301002412)  
(A Participating Organisation of Bursa Malaysia Securities Berhad)

**KUALA LUMPUR OFFICE**

Level 8, Tower C  
Dataran Maybank  
No. 1, Jalan Maarof  
59000 Kuala Lumpur  
Wilayah Persekutuan

Tel : 603-2297 8888  
Fax : 603-2282 5136

**IPOH BRANCH**

B-G-04 (Ground Floor), Level 1 & 2  
No. 42, Persiaran Greentown1  
Pusat Perdagangan Greentown  
30450 Ipoh  
Perak

Tel : 605-245 3400  
Fax : 605-253 4333

**KLANG BRANCH**

Suite 8.02, Level 8, Menara Trend  
Intan Millennium Square  
No. 68, Jalan Batai Laut 4, Taman Intan  
41300 Klang  
Selangor

Tel : 603-3050 8888  
Fax : 603-3055 7101/7102

**MUTIARA DAMANSARA BRANCH**

Level 1, Wisma Bentley Music  
No. 3, Jalan PJU 7/2  
Mutiar Damansara  
47810 Petaling Jaya  
Selangor

Tel : 603-7718 8888  
Fax : 603-7725 2626

**SEREMBAN BRANCH**

Wisma HM  
No. 43 Jalan Dr Krishnan  
70000 Seremban  
Negeri Sembilan

Tel : 606-766 9555  
Fax : 606-763 7772/7712

**PENANG BRANCH**

Tingkat 1, Menara KWSP  
38, Jalan Sultan Ahmad Shah  
10050 Georgetown  
Penang

Tel : 604-219 6888  
Fax : 604-226 5722