



Branch _____
 DR / FBR Code _____
 Marketing Rep _____
 Client Code _____
 CIF Number _____
 CDS Number 068- _____

1. Please read and understand the terms and conditions, guidelines and any supplementary terms and conditions as contained in this form and as posted at <https://www.affinhwang.com> carefully before completing the form.
2. Please complete this form in **BLOCK LETTERS** and tick (✓) at the applicable boxes (☐, ☐, ☐).
3. Note that usage of correction fluid is not permitted. Any amendments made must be counter-signed by the Applicant.
4. Please take note of Affin Hwang Investment Bank Berhad ("Bank")'s Privacy Notice as posted at <https://www.affinhwang.com/en/privacy-notice>.

☐ **New Application** ☐ Updating: Types of trading accounts maintained with the Bank

☐ **Securities** (including Margin Accounts) (if any) ☐ **Derivatives** ☐ **Treasury and Market**

SECURITIES & DERIVATIVES

		<input type="checkbox"/> Securities	<input type="checkbox"/> Derivatives (Futures)	<input type="checkbox"/> Islamic Securities
i. Online Trading (Local)		<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
ii. Online Trading (Global)		<input type="checkbox"/>		
iii. Digital Assets (trading in CME Cryptocurrencies)	Mandatory to complete declaration and W8BEN/W8BEN-E form		<input type="checkbox"/>	
iv. Share Margin Financing		<input type="checkbox"/>		
v. Discretionary Financing ("DF")		<input type="checkbox"/>		
vi. Intraday Short Selling ("IDSS") ^{Note 1}		<input type="checkbox"/>		
vii. LEAP Market	(Mandatory to complete declaration form as a qualified Sophisticated Investor & risk disclosure statement)	<input type="checkbox"/>		
viii. Leveraged and Inverse ETFs		<input type="checkbox"/>		
ix. Other(s) (please specify):				

Note 1: IDSS allows eligible investors to sell a list of eligible securities approved by Bursa Malaysia Securities Berhad without owning the securities but must buy back the securities within the same trading day. Applicant must read and understand clearly the risk of undertaking IDSS trading as stated in the IDSS Risk Disclosure Statement posted on <https://www.affinhwang.com>.

TREASURY & MARKETS (T&M)

i. <i>Fixed Deposit (for Corporate Applicant only) (Note: Please complete the Declaration for Fixed Deposit on page 12)</i>	<input type="checkbox"/>
ii. <i>Negotiable Instruments of Deposit (NID) (for Corporate Applicant only)</i>	<input type="checkbox"/>
iii. <i>Foreign Exchange Currency</i>	<input type="checkbox"/>
iv. <i>Derivatives (including interest rate swaps (“IRS”) and cross currency interest rate swaps (“CCIRS”))</i>	<input type="checkbox"/>
v. <i>Authorised Depository Account (For MYR Scripless Securities)</i>	<input type="checkbox"/>
vi. <i>Fixed Income Products</i>	<input type="checkbox"/>
vii. <i>Structured Products / High-Net-Worth (HNW) Bond (Note: Please attach supporting documents for qualified Sophisticated Investor. Refer to Part IV (C) as posted at https://www.affinhwang.com) for details.</i>	<input type="checkbox"/>
<i>Note: For Other Products, please complete the Declaration for Other Products on page 13</i>	

A. INDIVIDUAL / CORPORATE PARTICULARS

[illegible]

Note 2: "RESIDENT" as defined under the Financial Services Act 2013 means: (For Individual) A citizen of Malaysia, excluding a citizen who has obtained permanent resident status in a country or territory outside Malaysia and is residing outside Malaysia; or A non-citizen of Malaysia who has obtained permanent resident status in Malaysia and is ordinarily residing in Malaysia. (For Corporate) A body corporate incorporated or established, or registered with or approved by any authority, in Malaysia; or an unincorporated body registered with or approved by any authority in Malaysia.

[illegible]

#May select more than one

Note 5A: *“Exporter of goods” is one who moves or transfers goods by land, sea or air from Malaysia to any territory outside Malaysia or transfers of ownership in goods from Malaysia by a resident to a non-resident abroad or a Labuan entity which was declared by BNM as a non-resident under Section 214(6)(a) of the Financial Services Act 2013 or under Section 225(6)(a) of the Islamic Financial Services Act 2013.*

Name of the bank Joint bank account? ☐ Yes ☐ No

[illegible]

1. Please provide a copy of document showing the bank account is registered under the Applicant's name.
2. This bank account provided above shall supersede all other bank account(s) provided earlier whether in writing or in any other modes of communication and/or in any other forms of the Bank.

☐ *Auto Trust – to be credited into Trust Account or Client's Segregated Account on due date*

☐ *Auto e-Payment – any of the above payment (including Trust Withdrawal) shall be credited into the above bank account*

1. *The settlement instructions can be made in the form of a separate letter (signed by authorised signatories), if necessary.*
2. *The instructions shall remain in force until new written instructions are provided to and received by the Bank.*

E. SHARE MARGIN FINANCING (for New Application under Securities only)Financing Amount Applied RM

Purpose of Financing

☐

Margin

☐

ESOS

☐

IPO

☐

Other(s)

Initial Collateral to be Pledged

Estimated Value of Share Collateral

RM

Cash Collateral

RM

List of Stocks to be Pledged

(please attach the share collateral form(s) if insufficient space)

F. DISCLOSURE**1. Politically Exposed Person****1.1. Are / Were you:**

- i) entrusted with any prominent public function such as head of state or government, senior politicians, senior government officials, judicial or military officials, senior executive of state owned corporations and important political party officials in Malaysia or any other country; or
- ii) entrusted with a prominent function by an international organisation which refers to members of senior management e.g. directors, deputy directors and members of the board or equivalent function ("PEP"); or
- iii) a PEP's family member / close associate ^{Note 6?}

☐

Yes (please specify)

☐

No

Name

Relationship

Country of the PEP

Position

1.2. Do / Did you have any business relationship with a PEP☐

Yes (please specify)

☐

No

Name

Relationship

Country of the PEP

Position

2. Domestic Ringgit Borrowing (Applicable to Applicant who is a resident of Malaysia for Investment in Foreign Currency Asset)**2.1. (a) Do you have Domestic Ringgit Borrowing ("DRB") ^{Note 7?}**☐

Yes

☐

No

(b) Do you have investment in Foreign Currency Asset ("FCA") ^{Note 8?}☐

Yes (please specify)

☐

No

i) State the type of investment in FCA for the current calendar year:

; and**ii) State the invested amount in FCA converted from Ringgit for the current calendar year:**RM**2.2 Applicable to Resident Entity only:****(a) Does any of your related entity/ies (with parent and subsidiary relationship) have DRB? ☐ Yes (Then you are deemed to have DRB)**☐

No

Note 6: Family member" is defined as an individual who is related to a PEP either directly (consanguinity) or through marriage, includes parent, sibling, spouse, child and spouse's parent, for both biological and non-biological relationship.
"Close associate" is defined as an individual who is closely connected to a PEP, either socially or professionally and may include PEP's extended family member such as relative (biological and non-biological relationship), financially dependent individual (e.g. driver, bodyguard, secretary), business partner or associate, prominent member of the same organization as the PEP, individual working closely with the PEP (e.g. work colleague) and close friend.

Note 7: "Domestic Ringgit Borrowing" and "Borrowing" are defined under the Foreign Exchange Policy Notices ("FEP Notices") issued by Bank Negara Malaysia ("BNM"). Refer to <https://www.bnm.gov.my/documents/20124/60360/Preamble+and+Interpretation.pdf> for the details.

Note 8: The investment in Foreign Currency Asset and/or Ringgit conversion limit for resident individual with DRB is RM1 million per calendar year whereas for resident entity with DRB, RM50 million per calendar year as per Clause 2 © and 4 © of FEP Notice 3. Refer to <https://www.bnm.gov.my/documents/20124/60360/Notice+3+Investment+in+Foreign+Currency+Asset.pdf> for more details.

2.3. If you have DRB, you shall be subjected to the limit of investing in Foreign Currency Asset from Ringgit to foreign currency per calendar year ^{Note 8} as per the Foreign Exchange Policy Notices. The limit applies to all Foreign Currency Asset investments as well as the Ringgit conversions undertaken by you including transaction undertaken outside the Bank. If you intend to transact above the limit, you shall procure the Malaysian Controller of Foreign Exchange (BNM)'s prior approval and submit its approval letter to the Bank prior to the Bank effecting the investment and / or foreign currency deal. The Bank may suspend your trading account(s) from trading in securities and / or trade in derivatives or any dealing quoted in foreign currency without further notice given to you should the accumulated Foreign Currency Investment and / or conversion amount in the Bank's record exceed the applicable prescribed limit. You undertake to notify the Bank immediately in writing of any changes of the disclosure given herein.

3. Are you related ^{Note 9} to any director, staff or Dealer's Representative or Futures Broker's Representative of the Bank, Affin Bank Berhad or Affin Islamic Bank Berhad?

☐ Yes (please specify) ☐ No

Name	Relationship
<hr/>	<hr/>
<hr/>	<hr/>

4. Are you a guarantor of any account held in the Bank, subsidiary(ies) of the Bank, Affin Bank Berhad or Affin Islamic Bank Berhad?

☐ Yes (please specify) ☐ No

Account Type	Name of the entity
<hr/>	<hr/>
<hr/>	<hr/>

5. Do you have any related person ^{Note 9} who maintains an account with the Bank, Affin Bank Berhad or Affin Islamic Bank Berhad?

☐ Yes (please specify) ☐ No

Name	Relationship
<hr/>	<hr/>
<hr/>	<hr/>

Note 9: Related person includes spouse, child, parent and sibling (for Individual Applicants), director and any controlling person (for Corporate Applicants).

G. FOREIGN ACCOUNT TAX COMPLIANCE ACT ("FATCA"), COMMON REPORTING STANDARD ("CRS") AND E-INVOICING SELF-CERTIFICATION

This section is intended to collect information pursuant to the requirements of FATCA of the United States of America ("U.S."), Organisation for Economic Co-operation and Development ("OECD") and e-Invoice.

For more information on:

FATCA, please visit <https://www.irs.gov>

CRS, please visit <https://web.archive.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/index.htm>.

e-Invoice, please visit <https://www.hasil.gov.my/en/e-invoice/about-e-invoice/>.

Please complete the relevant sections below and provide any additional information as may be required. In certain circumstances, there may be a requirement for the Bank to share this information with relevant authorities.

- | | | |
|---------------------------------------------------------------------|----------------------------------------------------------------------|-----------------------------|
| 1. Are you a U.S. Person for tax purpose under U.S. IRS regulation? | <input type="checkbox"/> Yes. Please complete form W-9 issued by IRS | <input type="checkbox"/> No |
| 2. Are you a tax resident in Malaysia? | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| 3. Do you have tax residency outside Malaysia? | <input type="checkbox"/> Yes (please complete below) | <input type="checkbox"/> No |

Country	Tax Identification No ("TIN")	Reason if without "TIN"
1,		
2.		

4. Do you wish to receive the e-invoice? ☐ Yes (If yes, please complete below) ☐ No

TIN	
-----	--

SST No.

If not available, please input as NA for Not Applicable and the Bank shall deem that you are not a registrant of SST

CORPORATE APPLICANT to complete this section in addition to the declarations above

5. We understand the FATCA requirements and declare that we are a / an: (Please provide Global Intermediary Identification Number (GIIN), where applicable)

☐ Foreign Financial Institution _____ Type of Foreign Financial Institutional (refer <https://www.irs.gov/pub/irs-pdf/fw8bene.pdf> for details)

☐ Active Non-Financial Foreign Entity (NFFE) ☐ Passive NFFE ^{Note 10}

If unable to provide GIIN, please tick the reason why the Applicant does not have a GIIN (please select one option only):

☐ It is a Participating Foreign Financial Institution ("FFI") in an Inter-Governmental Agreement's ("IGA") Partner Jurisdiction and has not yet obtained a GIIN

☐ It is a FFI that intends to apply for a GIIN but has not yet applied or has not yet received it

☐ It is an Exempt Beneficial Owner (e.g. non-U.S. government, a government of a U.S. possession, an international organization, a central bank of issue, a retirement fund, or an entity wholly owned by an exempt beneficial owner)

☐ It is a Registered Deemed Compliant FFI (Includes local FFI, non-reporting member of PFFI groups, qualified collective investment vehicles, restricted funds, qualified credit card issuers, sponsored investment entities and controlled foreign corporations)

☐ It is a Certified Deemed Compliant FFI (Includes non-registering local bank, retirement fund, non-profit organization, FFI with low value accounts, sponsored closely held investment vehicles, or limited life debt investment entities)

☐ It is an Owner-Documented FFI (FFI that meets certain specified requirements, including (i) the FFI must be an FFI solely because it is an investment entity, (ii) generally, the FFI's withholding agent must be a US financial institution or participating FFI, (iii) the withholding agent must agree to satisfy the FFI's reporting requirements with respect to any specified US persons who hold an interest in the FFI; and (iv) the FFI must provide its withholding agent with certain specified information, including a withholding certificate identifying the FFI as an owner-documented FFI that is not acting as an intermediary.)

☐ It is a Non-Participating FFI

☐ Other(s) (please specify): _____

6. We understand the CRS requirements and declare that we are a / an:

☐ Financial Institution: _____ Type of Financial Institutional as per OECD

☐ Active Non-Financial Entity (NFE): (select one of the follows) ☐ Passive NFE ^{Note 10}

☐ (a) a public listed entity (PLC) ☐ (c) a Government Entity, an International Organisation, a Central Bank or an Entity wholly owned by one or more of the foregoing

☐ (b) a related entity of PLC ☐ (d) other than (a) to (c)

Note 10: Please indicate the name(s) of Controlling Person(s) in the following section and each Controlling Person shall complete FATCA & CRS Self Certification for Controlling Person in a separate sheet. Please visit website <http://www.hasil.gov.my> for more details.

(* as per NRIC / Passport / Other ID)

Name 1* _____ Name 2* _____

H. DECLARATION & AGREEMENT BY APPLICANT (FOR SECURITIES AND DERIVATIVES ONLY)**SECURITIES & DERIVATIVES**

I / We hereby declare that I / we have read and fully understood the terms and conditions for securities, derivatives and Islamic securities trading, declarations, guidelines, supplementary terms and conditions contained in this form and as posted at <https://www.affinhwang.com> (which shall include any amendment, variation, modification, supplement, substitution and replacement made by the Bank from time to time), along with this Account Opening / Updating Application Form, collectively referred to as "Agreement", as prescribed below. I / We confirm that I/we shall be bound by the terms of the Agreement, where applicable.

Terms and Conditions Applicable to Applicant (PART I, PART II AND PART III of the Agreement as posted at <https://www.affinhwang.com>)

Part I	Part II	PART III
Terms and Conditions Securities Trading	Terms and Conditions for Derivatives Trading	Terms and Conditions for Islamic Securities Trading

Declaration by Applicant (PART IV (A) and PART IV (B) of the Agreement as posted at <https://www.affinhwang.com>) (applicable to all applicants, unless otherwise stated)

PART IV (A) – SECURITIES AND DERIVATIVES TRADING

1. Acceptance of Terms and Conditions
2. Appointment and Authorisation
3. Consent and Authorisation pursuant to Delivery of Contract Notes and other Documents through Electronic
4. Authorisation pursuant to Sections 113 and 118 of the Capital Markets and Services Act 2007 ("CMSA")
5. Declaration pursuant to the Foreign Exchange Policy Notices ("FEP Notices") issued by BNM, Foreign Account Tax Compliance Act ("FATCA"), Common Reporting Standard ("CRS") and e-Invoice requirements as per guidelines issued by the Inland Revenue Board of Malaysia
6. Declaration pursuant to the Privacy Notice, Personal Data Protection Act 2010 ("PDPA") & Consent for Disclosure of Applicant's Information
(Note: If you are an existing client, your latest written instruction on opt in / out received by the Bank shall prevail (if any))
7. Declaration pursuant to the Online Trading
8. Declaration pursuant to the Share Margin Financing (applicable to Securities trading applicants)
9. Declaration pursuant to the Contra Guidelines (applicable to Securities trading applicants)
9. Declaration pursuant to the Structured Warrants Risk Disclosure Statement (applicable to Securities trading applicants)
10. Declaration pursuant to the Intraday Short Selling ("IDSS") Risk Disclosure Statement and Terms and Conditions of Securities Borrowing for IDSS (applicable to Securities trading applicants)
11. Declaration pursuant to the Discretionary Financing (applicable to Securities trading applicants)
12. Declaration pursuant to the Risk Associated with Trading in Foreign Securities (applicable to Securities trading applicants)
13. Declaration pursuant to the Futures and Options Contracts (applicable to Derivatives trading applicants)

PART IV (B) – ISLAMIC SECURITIES TRADING

1. Acceptance of Terms and Conditions
2. Appointment and Authorisation
3. Consent and Authorisation pursuant to the Delivery of Contract Notes and other Documents through Electronic
4. Consent pursuant to Sections 113 of the Capital Markets and Services Act 2007 ("CMSA")
5. Declaration pursuant to the Foreign Exchange Policy Notices ("FEP Notices") issued by BNM, Foreign Account Tax Compliance Act ("FATCA"), Common Reporting Standard ("CRS") and e-Invoice requirements as per guidelines issued by the Inland Revenue Board of Malaysia
6. Declaration pursuant to the Privacy Notice, Personal Data Protection Act 2010 ("PDPA") & Consent for Disclosure of Applicant's Information
(Note: If you are an existing client, your latest written instruction on opt in / out received by the Bank shall prevail (if any))
7. Declaration pursuant to the Online Trading
8. Declaration pursuant to the Risk Associated with Trading in Foreign Securities

I / We hereby appoint #
to act as my / our Dealer's Representative / Futures Broker's Representative ("DR / FBR") and/or such other DR / FBR (and/or other Registered Representative) whom the Applicant's DR / FBR or the Bank deems fit.

#For new application only; to appoint Dealer's Representative / Futures Broker's Representative.

Signature of Applicant (Individual)

NRIC / Passport No.:

Date:

Signature of Witness*

Date*:

* Witness must be the assigned DR / FBR / Marketing Representative / Authorised Officer of the Bank or Affin Bank Berhad or Affin Islamic Bank Berhad / Notary Public / Advocate & Solicitor

Authorised Signatory(ies) (Corporate)

Name:

NRIC / Passport No.:

Date:

Please affix company's common seal / rubber stamp

I. DECLARATION / RECOMMENDATION BY DEALER'S REPRESENTATIVE / FUTURES BROKER'S REPRESENTATIVE

KNOW YOUR CLIENT

- 1 The Applicant is ☐ My relative ☐ My friend ☐ A walk-in client ☐ Introduced by a friend / relative / client
☐ Other _____
- 2 I have known the Applicant for ☐ <1 year ☐ 1 – 5 years ☐ 5 – 10 years ☐ >10 years
- 3 I have sighted the original NRIC / Passport of the Applicant ☐ Yes ☐ No
- 4 Previous trading experience with the Applicant ☐ Yes ☐ No
- 5 The Applicant has sound financial viability and credibility ☐ Yes ☐ No
- 6 The Applicant is involved in illegal Financial / Investment Scheme, Mule Account, Digital Currency Business ☐ Yes ☐ No
- 7 The Applicant is a PEP ☐ Yes ☐ No
- If the answer to 6 or 7 is 'Yes', please provide more information: _____

RECOMMENDATION

- 8 Type of trading account recommended for the Applicant ☐ RTA ☐ STA ☐ CMA ☐ Derivatives
☐ Islamic Securities ☐ Other _____
- 9 Trading Limit recommended RM _____
- 10 Straight-Through-Process for Applicant to send orders straight to Bursa Securities without passing through me ☐ Yes, Maximum Value Per Order: _____
RM _____
- 11 Recommend to allow DF, if the Applicant applies for DF ☐ Yes ☐ No
- 12 Recommend to trade IDSS, if the Applicant applies for IDSS ☐ Yes ☐ No

Proposed Brokerage for Equity Account			
	Up to RM100,000	Above RM100,000	Minimum Brokerage
<input type="checkbox"/> As per my default rate			
Offline	%	%	RM
Online	%	%	RM
Cash Upfront	%	%	RM
Intraday: Yes / No			
Approved by			

Proposed Brokerage for Derivatives Products				
Exchange	Type of Product	Outright (per lot)	Intraday (per lot)	Spread (per lot)
Include Exchange & Clearing Levies: Yes / No				
Approved by				

DECLARATION

- 1 I have been appointed and authorised by the Applicant to act as the Applicant's DR and/or FBR. Having assessed the Applicant's financial position and experience in trading and investment objectives, I hereby request the Bank to approve this application and to authorise me to act as the DR and/or FBR for the Applicant. I hereby confirm that the information given herein by the Applicant and myself is true and correct.
- 2 As a Commissioned DR and/or FBR, I hereby agree to indemnify the Bank against any losses, damages, debts, charges and / or all other costs and expenses incurred or suffered by the Bank in relation to or in connection with the Account and / or CDS Account of the Applicant or in relation to any services subscribed by the Applicant in relation thereto.
- 3 I declare that I have explained to the Applicant and the Applicant has understood the terms and conditions herein, the contents of the Agreement (where applicable) and the risks and obligations associated with the trading in securities and / or derivatives contracts and the usage of (including the terms for) the Online Trading (where applicable).
- 4 I hereby accept and acknowledge that I am responsible for taking and executing the instructions of the Applicant and I am also responsible for ensuring that any execution related advice that may be provided are, where relevant, suitable for such Applicant, taking into the account the financial background, investment experience and investment objectives of such Applicant. Any representation, trading advice, recommendation or information furnished by me shall be regarded as having been made in my own personal capacity.

Signature:

For DR (Dealing in Securities only) :

DR Name and Code:

Date :

☐ Pursuant to Item 3 of the DR and/or FBR declaration above, I have contacted the client at (contact number) _____ on (date/time) _____ to explain the terms and conditions of the Agreement and the risk and obligations in trading in securities.

For FBR (Dealing in Derivatives only):

FBR Name and Code:

Date :

☐ Pursuant to Item 3 of the DR and/or FBR declaration above, I have contacted the client at (contact number) _____ on (date/time) _____ to explain the terms and conditions of the Agreement and the risk and obligations in trading in derivatives contracts.

For both DR and FBR (Dealing in Securities and Derivatives):

DR /FBR Name and Code:

Date:

☐ Pursuant to Item 3 of the DR and/or FBR declaration above, I have contacted the client at (contact number) _____ on (date/time) _____ to explain the terms and conditions of the Agreement and the risk and obligations in trading in securities and derivatives contracts.

J. DECLARATION & AGREEMENT BY APPLICANT (FOR T&M ONLY)

TREASURY & MARKETS

The account opening / application documentation, terms & conditions issued and / or agreed in respect of each transaction either in writing (and, to the extent recorded in a written confirmation and / or advice, each of such written confirmation and / or advice) or orally, and such other revised and updated terms and conditions and all other amendments, modifications, variations to any of such items as may be issued from time to time or at any time, shall together constitute a single agreement and entire understanding between the parties for the transaction(s) in respect of the Bank's products and services. The Applicant acknowledges that all the transactions for the Bank's products and services are entered into in reliance upon such fact by the Bank, it being understood that the parties would not otherwise enter into any transaction.

Declaration by Applicant (Part IV (C) of the Agreement as posted at <https://www.affinhwang.com>)

PART IV (C) – TREASURY AND MARKETS' PRODUCTS AND SERVICES

1. Acceptance of Terms and Conditions
2. Foreign Exchange Transactions ("FX Transactions") Declarations
3. Personal Data Protection Act 2010
4. Consent for Disclosure
5. Declaration pursuant to the Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standard ("CRS")
6. Sophisticated Investors

Please tick (✓) if the Applicant agrees: -

- ☐ (For High-Net-Worth Entity*only) The Applicant hereby elects not to be subjected to a suitability assessment exercise on its purchase / investments in unlisted capital market products as per the Guidelines on Sales Practices of Unlisted Capital Market Products issued by Securities Commission Malaysia ("SC").

*High-Net-Worth Entity refers to:

- A corporation with total net assets exceeding RM10 million or its equivalent in foreign currencies based on the last audited accounts
- A partnership with total net assets exceeding RM10 million or its equivalent in foreign currencies
- A company that is registered as a trust company under the Trust Companies Act 1949 which has assets under management exceeding RM10 million or its equivalent in foreign currencies
- A corporation that is a public company under the Companies Act 2016 which is approved by SC to be a trustee under the CMSA and has assets under management exceeding RM10 million or its equivalent in foreign currencies
- A corporation that is carrying on the regulated activity fund management solely for the benefit of its related corporations and has assets under its management exceeding ten million or its equivalent in foreign currencies
- A pension fund approved by the Director General of Inland Revenue under the Income Tax 1967
- A statutory body established under any laws whose function or mandate is investment in capital market products.

- ☐ The Applicant hereby authorises the Bank to disclose my / our information to the Bank's agents and business partners for the purpose of providing information about products or services, marketing activities or such privileges and benefits to me/us or for any other purpose(s) through phone calls, faxes, SMS text messages, postal mails and any electronic means.

Signed for and on behalf of the Applicant (Corporate):

Authorised Signatory:

Designation:

NRIC / Passport No.:

Date:

Signed by (Individual):

Authorised Signatory:

Designation:

NRIC / Passport No.:

Date:

Applicant:

NRIC / Passport No.:

Date:

Witnessed by (Sale Staff):

Joint Applicant (if applicable):

NRIC / Passport No.:

Date:

Name:

Designation:

NRIC No.:

Date:

DECLARATION FOR FIXED DEPOSIT

(To complete if the Applicant is a company and wishes to invest in Fixed Deposit)

The Applicant hereby declares that:

☐ The Applicant **IS NOT** a small and medium enterprise ("SME") as per BNM's Capital Adequacy Framework (Basel II-Risk Weighted Assets)*; or

☐ The Applicant **IS** a SME as per BNM's Capital Adequacy Framework (Basel II- Risk Weighted Assets)*.

**SME in the agriculture and services sector is defined as having annual sales of up to RM5million or 50 full time employees. For the manufacturing sector, SMEs have been defined as having annual sales of up to RM25million or 150 full time employees.*

If you tick the second box, kindly proceed to identify either **one** of the below classifications and provide additional information as follows under the relevant sector:

Sector / Size	Agriculture / Services Sector	Tick "J" accordingly at the space below and specify the number of employees and sales turnover
Small and Medium Enterprise	Annual sales turnover up to RM5 million or 50 full time employees Number of employees: Sales turnover:

OR

Sector / Size	Manufacturing	Tick "J" accordingly at the space below and specify the number of employees and sales turnover
Small and Medium Enterprise	Annual sales turnover up to RM25 million or 150 full time employees Number of employees: Sales turnover:

Notes:

- **Agriculture** - refers to agriculture, hunting, forestry, fishing, logging, fishing, operation of fish hatcheries and fish farms and related services activities.
- **Services Sector** - refers to electricity, gas, water supply, wholesale & retail trade, repair of motor vehicles, motorcycles and personal and household goods, hotel & restaurants, transport, storage and communications, financial intermediation, real estate, renting & business activities, education, health and social work, other community, social and personal service activities. Also inclusive of mining & quarrying sector and construction sector.
- **Manufacturing** - refers to physical or chemical transformation of materials or components into new products and related services.
- "OR" basis means that a business will need to satisfy either one of the two classifications (whichever is lower).

DECLARATION FOR OTHER PRODUCTS

(To complete if the Applicant is a company and wishes to trade in other products including FX Forward)

The Applicant hereby declares that:

☐ The Applicant **IS NOT** a small and medium enterprise ("SME") as per BNM's Circular on New Definition of Small and Medium Enterprises (BNM/RH/CIR 028-1)*; or

☐ The Applicant **IS** a SME as per BNM's Circular on New Definition of Small and Medium Enterprises*.

*The definition for SME is as follows:

Category	Micro	Small	Medium
Manufacturing	Sales turnover not exceeding RM300,000 OR full-time employees not exceeding 5	Sales turnover from RM300,000 to less than RM15 million OR full-time employees from 5 to less than 75	Sales turnover from RM15 million to not exceeding RM50 million OR full-time employees from 75 to not exceeding 200
Services & Other Sectors*		Sales turnover from RM300,000 to less than RM3 million OR full-time employees from 5 to less than 30	Sales turnover from RM3 million to not exceeding RM20 million OR full-time employees from 30 to not exceeding 75

NON-SME – 1) Any business exceeds the threshold set under both criteria for 2 consecutive years (based on its financial year / accounting period)
 2) Public-listed companies in the main board such as Bursa Malaysia Berhad or main bourses in other countries ("Main Board")
 3) Subsidiaries of the following entities: Public-listed companies in the Main Board, large firms, multinational corporations (MNCs), Government-linked companies (GLCs), Syarikat Menteri Kewangan Diperbadankan (MKDs) and state-owned enterprises.
 4) Special Purpose Vehicle / Entity (SPV / SPE)
 5) Revenue generating organisation established to provide social welfare for its members, such as Youth Association, Trade Unions and Consumer Associations
 6) Parent, ultimate investment holding company (owning controlling levels) or substantial shareholders of non-qualifying SMEs

If you tick the second box, kindly proceed to identify either one of the below classifications and provide additional information as follows under the relevant sector:

Sector / Size	Services and Other Sector	Tick "✓" accordingly at the space below and specify the number of employees and sales turnover
Micro	Sales turnover not exceeding RM300,000 OR full-time employees not exceeding 5 Number of employees: Sales turnover:
Small	Sales turnover from RM300,000 to less than RM3 million OR full-time employees from 5 to less than 30 Number of employees: Sales turnover:
Medium	Sales turnover from RM3 million to not exceeding RM20 million OR full-time employees from 30 to not exceeding 75 Number of employees: Sales turnover:

OR

Sector / Size	Manufacturing	Tick "✓" accordingly at the space below and specify the number of employees and sales turnover
Micro	Sales turnover not exceeding RM300,000 OR full-time employees not exceeding 5 Number of employees: Sales turnover:
Small	Sales turnover from RM300,000 to less than RM15 million OR full-time employees from 5 to less than 75 Number of employees: Sales turnover:
Medium	Sales turnover from RM15 million to not exceeding RM50 million OR full-time employees from 75 to not exceeding 200 Number of employees: Sales turnover:

'**Manufacturing**' refers to physical or chemical transformation of materials or components into new products.

'**Services**' refer to all services including distributive trade; hotels and restaurants; business, professional and ICT services; private education and health; entertainment; financial intermediation; and manufacturing-related services such as research and development (R&D), logistics, warehouse, engineering etc.

'**Others**' refer to the remaining 3 key economic activities, namely:

- **Primary Agriculture** – Perennial crops (e.g. rubber, oil palm, cocoa, pepper etc.) and cash crops (e.g. vegetables, fruits etc.), livestock, forestry & logging, marine fishing, aquaculture
- **Construction** – Infrastructure, residential & non-residential, special trade
- **Mining & quarrying**
- "OR" basis means that a business will need to satisfy either one of the two criteria (whichever is lower)
 - If a business can fulfil either one criterion across different sizes of operation, then the smaller size shall be applicable
 - Sales turnover refers to total revenue including other incomes
 - Full-time employees include all paid workers working for at least 6 hours a day and 20 days a month or at least 120 hours a month. This includes foreign and contract workers

CHECKLIST- DOCUMENTS REQUIRED, WHICHEVER APPLICABLE							
Individual Applicant				Individual Applicant for Share Margin Financing			
NRIC or Passport or Authority Card				NRIC or Passport or Authority Card		(Also applicable for guarantor, if any)	
CDS Account Opening form – 2 sets if the Applicants has CDS account with other broker where the Registered Address is different from the NRIC/ Passport / Authority Card				Income Tax Return Forms / Form B or B-E / Latest EA Form / Latest 3 Months Pay Slips			
				Latest 3 Months Bank Statements			
Latest EA Form / Income Tax Returns Form / Latest 3 Months Pay Slips / Latest Bank Statement / Document showing employment or occupation / Documents verifying source of funds				Margin Statement from other bank / broker (for redemption purpose)			
Note: Student applicant shall open CMA / STA and proof of education eg..valid student ID, confirmation letter etc. must be provided							
Note: Copies of the documents submitted must be certified as true originals by the assigned DR / FBR / Marketing Representative / Authorised Officer of the Bank or Affin Bank Berhad or Affin Islamic Bank Berhad / Notary Public / Advocate & Solicitor							
Corporate Applicant							
CDS Account Opening form				AML Questionnaire for foreign Financial Institution			
ID (NRIC / Passport) of shareholders, directors, partners, office bearers, authorised signatories and beneficial owners (including ultimate beneficial owners)				Latest audited financial statements			
Board Resolution / Investment Panel to open the Account & person(s) authorised to open, operate and close the Account, and for the use of Online Trading (if applicable) in the prescribed format				Latest 3 months bank statements			
				TRD052: Customer Due Diligence on Beneficial Owner of Corporate Customer (completed by the Company Secretary) for all shareholders holding 25% shareholdings and above and/or individual/s identified as the ultimate beneficial owner)			
Incorporated under the Companies Act 1965				Incorporated under the Companies Act 2016			
Memorandum & Articles of Association / Constitution				Memorandum & Articles of Association / Constitution <u>OR</u> Confirmation letter to the Bank (if no M&A / Constitution)			
Form 8 or 9 - Certificate of Incorporation of Public / Private Company				Section 17 - Certificate of incorporation			
Form 13 – Certificate of Incorporation on Change of Name of Company (if applicable)				Section 28 - Change of name (if applicable)			
Form 24 - Return of Allotment of Shares				Section 78 - Return of allotment			
Form 44 - Notice of Situation of Registered Office and of Office Hours and Particulars of Changes				Section 46(3) – Notification for change in the registered address			
Form 49 - Return giving Particulars in Register of Directors, Managers and Secretaries and Changes of Particulars				Sections 57 & 58 - Register of directors, managers and secretaries, and any changes thereof			
Latest Annual Return				Section 68 – Annual return (latest)			
Co-Operative / Society Applicant							
CDS Account Opening form				List of latest Office Bearers and Committee Members			
Certificate of Registration, and Certificate of Change of Registration, where applicable				Latest audited financial statements			
Minutes of Committee or General Meeting for account opening and trading with the Bank; and using Online Trading (if applicable) in the prescribed format				Latest 3 months bank statements			
				Rules or Regulations or Constitution			
Note: Corporate documents shall be certified true copies by its Company Secretary / Director / Notary Public. For foreign incorporated companies, equivalent of legal documents to support evidence of ownership, company name, registration number, registered address, place of incorporation and financial statement. Where a supporting document is in a language other than Bahasa Malaysia or English, it must be accompanied with an English translated copy. Both copies of the documents must be certified as true copies.							
FOR OFFICE USE ONLY, WHICHEVER APPLICABLE							
Received By		Date		Limit Approved	RM / LOT (s)	Date	
Signature Verified By		Date		IDSS Approved By		Date	
Reviewed By		Date		Account Approved By		Date	
Processed By		Date					
Risk Score		Risk Category					
DF SUITABILITY EVALUATION (for Existing Client) (FOR SECURITIES ONLY)							
Legal Proceedings	<input type="checkbox"/> No	<input type="checkbox"/> Yes, please state amount: RM		Reviewed By		Date	
Account Suspension	<input type="checkbox"/> No	<input type="checkbox"/> Yes, reason: _____		Approved By		Date	
Past Conduct of Client	<input type="checkbox"/> Good	<input type="checkbox"/> Average	<input type="checkbox"/> Poor				
ONLINE TRADING REGISTRATION PROCESSING (FOR SECURITIES ONLY)							
Online Service		Client Code		Client User ID			
Processed By		Date		Activated By		Date	

(END OF ACCOUNT OPENING / UPDATING APPLICATION FORM)