

(vii) Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standard ("CRS")

(The information in this section is collected in order to comply with FATCA and CRS requirements which require AmBank Group to identify and report United States (U.S.) Persons and Tax Residents in CRS Participating Jurisdictions)

PART A: Identifying Specified/ Potential U.S. Person¹

(To be completed by the customer - please tick ("✓") in the "Yes" / "No" column respectively for each of the following questions)

No.	U.S. Indicia Status	Yes	No
1.	Are you a U.S. citizen or resident (including green card holder)?		
2.	Is U.S. your country of birth?		
3.	Do you hold a current U.S. residence address or mailing address (including a U.S. post office box)?		
4.	Do you have a current U.S. telephone number?		
5.	Do you currently maintain any standing instructions to the U.S.?		
6.	Do you currently assign power of attorney or signatory authority to a person within the U.S.?		
7.	Do you currently have a 'hold mail' or 'in care of' address as your sole address?		

**For Office Use
– eAMS:**

Any "yes" in this section are required to submit:

W 8 Ben

or

W 9 Form

PART B: Identifying CRS Reportable Person

(To be completed by customer - please tick ("✓") where applicable)

	Yes	No
1) Are you a tax resident of Malaysia ² ? <i>Generally, residence status for tax purposes is determined based on the number of physical presence (182 days or more) of that individual in Malaysia in a basis period for a Year of Assessment (YA) and not by his nationality or citizenship</i>		
2) Do you have tax residency outside Malaysia ³ ? <i>(If yes, Please complete Part C)</i>		

PART C: Declaration on Tax Residency [Please complete if answered "Yes" in Part B(2)]

Country of Tax Residence(s)	Tax Identification Number (TIN)	Reason if TIN is not available
1)		<input type="checkbox"/> The country does not issue TINs <input type="checkbox"/> I am earning below the taxable income bracket to have a TIN <input type="checkbox"/> I am a housewife, househusband, minor or retiree <input type="checkbox"/> I am a student with appropriate visa <input type="checkbox"/> I hold a diplomatic post in a consulate or embassy in Malaysia <input type="checkbox"/> Others: _____
2)		<input type="checkbox"/> The country does not issue TINs <input type="checkbox"/> I am earning below the taxable income bracket to have a TIN <input type="checkbox"/> I am a housewife, househusband, minor or retiree <input type="checkbox"/> I am a student with appropriate visa <input type="checkbox"/> I hold a diplomatic post in a consulate or embassy in Malaysia <input type="checkbox"/> Others: _____

¹ Definition

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

(A) A citizen or resident of the U.S.

² **Determination of Malaysian Tax Residence Status**

Resident Individual is defined as an individual resident in Malaysia for the basis year for a Year of Assessment (YA) as determined under Section 7 and subsection 7(1B) of the Income Tax Act, 1967 ("the Act").

If an individual resides in Malaysia permanently, the question of determining his residence status would not arise. However, citizens of Malaysia are not automatically tax residents. The rules governing the determination of residence status will still apply.

An individual is considered to be physically present in Malaysia for a whole day although he is present in Malaysia for part(s) of a day. There are also other circumstances to determine tax residence status as provided under Section 7 of the Act.

³ For more information please refer to <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/>

(xi) Payment Instruction and Receipt Advice

Payment Instruction

Auto Trust Payment Instruction for auto credit/withdrawal from trust (please provide bank details as below together with a copy of certified true copy of latest bank statement by dealer representative/bank officer)

Please credit all payments due to me into my bank account, details as follows:-

AmBank (M) Berhad: Account No.:

AmBank Islamic Berhad: Account No.:

Name of Bank:

Account No.:

Account Type: Savings Current Other: _____

ID Type: New I/C Old I/C Passport

Name of account holder:

Joint Account: Yes No

#Receipt Advice (if different from the bank above)

I shall use the bank below for all payments made by me unless otherwise advised.

Name of Bank:

Account No.:

Account Type: Savings Current Other: _____

Name of account holder:

Joint Account: Yes No

Note: All payment by cheques, bank drafts, banker's cheques and telegraphic transfer must be made payable to AMINVESTMENT BANK BHD directly by you by quoting your name/client code/NRIC number. I.e.: "Aminvestment Bank Berhad for account xxxxxx" We DO NOT accept 3rd Party deposit/payment unless it is approved by the Bank.

(xii) Delivery of Contract Note/Statement/Contra Note

	Electronic via email	Hardcopy*
Equity	<input type="checkbox"/>	<input type="checkbox"/>
Derivatives/Futures	<input type="checkbox"/>	<input type="checkbox"/>

* May be subjected to RM2 + GST per copy of contract note/contra note/statement for online client. Fees shall be subjected to revision from time to time.

(xiii) Information/Consent for Cross Selling - Personal Data Protection Act 2010 ("PDPA")

Cross Selling within AmBank Group Companies

The Bank may disclose your personal information to the AmBank Group companies for marketing of products and services. If you decide later not to receive marketing information from the Bank and/or AmBank Group, all you have to do is just call +603-2031 0102/e-mail: helpdesk-ebiz@ambankgroup.com and inform the Bank of the same.

Marketing & Promotions by AmBank Group's Business Partners

AmBank Group's business partners may from time to time offer products, promotions and services that may be of interest to you.

Say "YES" to great offers & promotions from AmBank Group's business partners:

YES, I would like to receive marketing promotions from AmBank Group's business partners.

NO, not at this point of time.

**(xiv) Bank Negara Malaysia Foreign Exchange Administration Rules ("FEA Rules")
[Applicable to FIS/Foreign Trading]**

I am a resident of Malaysia; I am NOT a resident of Malaysia;

To be completed by resident of Malaysia Only

Have you signed the Foreign Exchange Policy Notice Declaration Form? YES NO

(xv) Letter of Consent - Disclosure of Information and Documents (Applicable for Securities Trading)

I hereby consent to the disclosure of information and/or documents relating to my affairs and in particular, relating to my securities account but not limited to my available shares balance provided by Bursa Malaysia Depository Sdn Bhd ("Bursa Depository") to the Bank and to such agents, service providers and sub-contractors of the Bank as informed by the Bank to Bursa Depository.

I further authorise the Bank to disclose such information and/or documents to my Dealer Representative to facilitate my trading in securities

This consent and authorisation shall take immediate effect and shall be valid until: -

- - (dd/mm/yyyy) please state exact date the authorization is to remain in force.

Revoked by me

I hereby release Bursa Depository and/or the Bank from any loss or liability arising from or in connection with this authorisation except for loss or liability that I may suffer as a result of any act, statement or omission that was not done in good faith by Bursa Depository and/or the Bank.

**B. DECLARATION BY APPLICANT
(Attached as Part D of the Terms and Conditions for Securities & Derivatives Trading)**

1. DECLARATION PURSUANT TO TERMS AND CONDITIONS FOR SECURITIES AND DERIVATIVES TRADING
2. DECLARATION PURSUANT TO RULE 5.15 OF THE BURSA MALAYSIA SECURITIES BERHAD
3. DECLARATION PURSUANT TO BANK NEGARA'S FOREIGN EXCHANGE ADMINISTRATION POLICY (BNM'S FEA RULES)
4. DECLARATION PURSUANT TO THE INVESTMENT IN SECURITIES TRADED AND/OR IN AUSTRALIA/CANADA
5. DECLARATION IN PURSUANT TO FOREIGN ACCOUNT TAX COMPLIANCE ACT
6. DECLARATION PURSUANT TO STRUCTURED WARRANTS RISK DISCLOSURE STATEMENT
7. EXPLANATORY DOCUMENT AND RISK DISCLOSURE STATEMENT (DERIVATIVES/FUTURES TRADING)

C. RISK DISCLOSURE STATEMENT

Nothing in this form is intended to provide investment advice and nothing in this form should be construed as a recommendation to trade in any Securities or to engage in any investment strategy or transaction. Trading in Securities is subject to investment and market risks, including the possible loss of the entire principal amount invested. You are solely responsible for determining whether any trading, investment strategy, security or related transaction is appropriate for you based on your personal investment objectives, financial circumstances and risk tolerance. You should consult your own independent adviser(s) before trading/investing.

D. ACKNOWLEDGEMENT

I hereby acknowledge that the Terms and Conditions for Securities and Derivatives Trading (Version No: V.3.2019.01.16) of this Agreement is posted on the Bank's official website amequities.com.my for my retrieval and printing. I further declare that I have read and I fully understood the contents therein (which shall include variations, amendments, modifications, supplements, substitution and replacement made from time to time) read together with this Application Form, collectively referred to as "Agreement". I confirm that I shall be bound by the terms of the Agreement.

I MAKE THIS SOLEMN DECLARATION OF MATTERS AS STATED ABOVE CONSCIENTIOUSLY BELIEVING THE SAME TO BE TRUE.

SUBSCRIBED AND SOLEMNLY)

Declared by the applicant)

This day of 20) _____

Signature of Applicant

Applicant Name:

Applicant NRIC/Passport No./Authority Card:

Before me (See note below),

Name of Witness*:

)

New NRIC/Passport No.:)

Profession/Designation: _____)

Address:

)

Signature of Witness* (Official Stamp/Seal)

Note*: Insert name, NRIC/Passport no., profession/designation and address of the witness who must be an Authorized Officer of the Bank or AmBank Group or the Bank's Commissioned Capital Markets Services Representative's Licence Holder or AmInvestment Bank Berhad's Salaried Capital Markets Services Representative's Licence Holder or any other Capital Markets Services Representative's Licence Holder authorised by the Bank, a Notary Public or the Officer(s) of the Malaysian Embassy or High Commission/Consulate of the jurisdiction where the form is signed.

For Office Use Only:

SECURITIES ACCOUNT

No. CDS	Date account opened	Account Code	Date account opened
1. _____	<input type="text" value=""/> <input type="text" value=""/> - <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>	_____	<input type="text" value=""/> <input type="text" value=""/> - <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>
2. _____	<input type="text" value=""/> <input type="text" value=""/> - <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>	_____	<input type="text" value=""/> <input type="text" value=""/> - <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>

DERIVATIVES/FUTURES ACCOUNT

No. Account Code (1)	Date account opened	Account Code (2)	Date account opened
1. _____	<input type="text" value=""/> <input type="text" value=""/> - <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>	_____	<input type="text" value=""/> <input type="text" value=""/> - <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/> <input type="text" value=""/>

DOCUMENTS CHECKLIST - SECURITIES (For information)

Required Documents	Yes	No	Remarks
1. 2 Sets CDS Account Form (FMN070) for (a) Account opening with RM10.00 for Account opening fees (b) Update of Bank Account information & Account particulars - Require 3 copies of *Bank Saving Book / Bank Statement / Bank Statement extracted from internet that contains the Applicant's Name, Bank Account no. and Bank's Name to register/update the Bank Account information Note: For client with existing CDS - Any Bank Account Registration for 1st time RM10.00 fee is required			
2. Reactivation of CDS Account with RM5.00 fee for Dormant Account			
3. Trading Application Form for Individuals			
4.* NRIC or Passport (for foreigner only) - 5 copies			
5.* Latest Pay slip/EA Form/Tax Return (Form J)/Bank Account Statement/Passbook with transactions			
6. Business Card/Employment Letter/Retiree Card (Government Servant) or any document in equivalent for proof of employment			
7.* Additional Documents Required for Student (Mandatory) Student ID/Acceptance letter from University - 1 copy			
8.* Additional Documents for Foreigner (Mandatory) (a) Bank Account Statement with active transactions or other financial documents (b) If the residential address is the applicant's home country, either one of the below document(s) is/are required a) Utility bill d) National Registration Identity Card b) Credit Card Statement e) National Health Insurance Card/Social Security Card c) Bank Statement f) Any other documents subject to Bursa/Bank's approval A copy of working permit/valid entry for foreigner who are non PR of Malaysia who works in Malaysia			
*MUST BE CERTIFIED TRUE COPY BY DEALER REPRESENTATIVE/ AMBANK OFFICER/ANY OTHER ACCEPTABLE WITNESSES BY BURSA			
For Collateralized Trading: Memorandum of Deposit (MOD)			
Foreign Investment Services (FIS) <input type="checkbox"/> W-8 Ben for to trading in U.S market <input type="checkbox"/> Foreign Exchange Policy Notices Declaration Form			
For e-Direct Cash <input type="checkbox"/> Product Disclosure Sheet (PDS) <input type="checkbox"/> Statement of Fees & Charges			
For Ecos Trading for Foreign Securities Specific Terms and Condition on Electronic Trading for foreign securities			
For Custodian Services: RM10 Stamping fee			
For DF Applicant: DF Terms and Conditions			
For Leap Markets (Qualified Sophisticated Investor) <input type="checkbox"/> Risk Disclosure Statement			

Applicable for Client of Authorised Officer of AmBank Group (ISO)

- (i) Personal Guarantee and Indemnity, (ii) Securities Trading Arrangement Letter, (iii) Appointment of an Agent to operate the securities trading account, (iv) Instruction letter from AmBank to AmInvestment Bank Berhad.

DOCUMENTS CHECKLIST - DERIVATIVES (For information)

Required Documents	Yes	No	Remarks
Trading Application Form for Individuals			
For 3rd party trading: - Letter of Authorisation; - CTC of NRIC/Passport copy of 3rd party			
Give Up Agreement (if applicable)			
NRIC or Passport (for foreigner only) - 1 copy*			
Bank Saving Book/Bank Statement/Bank Statement extracted from internet - 1 copy*			
Latest Pay slip/EA Form/Tax Return (Form J)/Banking Transactions - 1 copy*			
Business Card/Student Card/Employment Letter/Retiree Card (Government Servant) or any document in equivalent for proof of employment			
*MUST BE CERTIFIED TRUE COPY BY DEALER REPRESENTATIVE/ AMBANK OFFICER/ANY OTHER ACCEPTABLE WITNESSES BY BURSA			
FIS/FACTA Indicia <input type="checkbox"/> W-8 Ben for to trading in U.S market			

TO BE COMPLETED BY AUTHORISED OFFICER

APPROVING AUTHORITY (limits and brokerage charges)

Trading Limits: As per recommendation Limit: _____

Brokerage (if applicable):

Equity: As per recommendation Company Default Rate ≤100k = 0.60%
 >100k = 0.30%

Other: _____

Derivatives/Futures: As per recommendation FCPO: _____ FKL: _____ FGLD: _____
 Approved Approved with conditions Rejected

Conditions (if any): _____

Approved by:	Signature	Date

RISK CLASSIFICATION AFTER CTOS/KYC CHECK

Low Risk Medium Risk High Risk

Reason for Risk Classification due to:

Occupation High Network PEP Associate to PEP Cash Intensive Business

Others: _____

Documents/Data verified by:	Branch		HQ	
	EQUITY	DERIVATIVES	EQUITY	DERIVATIVES
Signature				
Name				
Date				

APPROVING AUTHORITY (Risk Classification Pursuant to KYC Policy)

Low Risk Medium Risk High Risk

Approved by:	Signature	Date

ACCOUNT MANAGEMENT (DATA ENTRY)

		Name	Signature	Date
SECURITIES ACCOUNT	Data entered by			
	Limits maintained by			
	Verified/Checked by			
DERIVATIVES/ FUTURES ACCOUNT	Data entered by			
	Verified by			
	Reviewed by Compliance			

