

**AmInvestment Bank****ISLAMIC SECURITIES TRADING
APPLICATION FORM FOR INDIVIDUAL**

Version No: V.2.2019.02.20 for ISB

To be completed by AmInvestment Bank Berhad	
Client Name	
Account Qualifier	
CDS Account Number	086 - 001 -
Client Code	ISB
CMSRL Holder Code/Name	
BBB Code	
DECLARATION BY CAPITAL MARKETS SERVICES REPRESENTATIVE'S LICENCE ("CMSRL") HOLDER/AUTHORISED OFFICER OF AMBANK GROUP	
Tick (✓) where applicable	
☐ Recommended and/or serviced by Salaried CMSRL Holder ☐ Recommended and/or serviced by Commissioned CMSRL Holder ☐ Recommended by AmBank Group. Company Name:	
The Directors, AmInvestment Bank Berhad (the 'Company') I hereby request that you accept the abovenamed applicant as a client of the Company and a client of the Custodian. As a CMSRL Holder, an authorised officer of the AmBank Group, I hereby confirm the existence of the applicant and declare that the particulars given herein by the abovenamed applicant is true, complete and correct to the best of my knowledge. In addition to the above, as a Commissioned CMSRL Holder, I shall be responsible for making good any liabilities, debts and losses incurred by the abovenamed applicant and shall hereby indemnify the Company for any and all liabilities, debts and losses incurred by the said applicant including professional fees/solicitors' cost.	
Signature of CMSRL Holder/Authorised Officer(s) of AmBank Group (Delete whichever inapplicable)	Date
Name : _____	
CMSRL Holder Code/Employee ID: _____	
Recommendation of Trading Limits RM: _____	

(iii) Personal Particulars (continue)

Registered Address as per NRIC/Passport No./Authority Card

[illegible]Postcode:

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Town: _____

State:

Country:

Residential Address (If different from Registered Address)[illegible]Postcode:

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Town:

State:

Country:

Owned: ☐ Yes ☐ No

No. of years stayed:

Correspondence Address

Same as - ☐ Registered Address

☐ Residential Address

☐ If different from Registered/Residential address:

[illegible]Postcode:

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Town:

State:

Country:

[illegible]

Home Facsimile No.: _____

[illegible][illegible][illegible]

Email Address: _____

* this email address is to be used for delivering of Contract Note/Statement/Contra Note

For Office Use
– eAMS:

State	Country
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State	Country
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9

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State Country

11

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(iv) Employment Particulars	
1. Name of the employee	
2. Designation	
3. Date of joining	
4. Last date of service	
5. Nature of employment (Full-time / Part-time / Casual)	
6. Details of work assigned	
7. Remarks	

☐ Self Employed ☐ Employer ☐ Government Employee

☐ Private employee ☐ Unemployed

☐ Others, *pls specify*:

[illegible][illegible]

Town:

Country:

Nature of Business / Sector

☐ Agricultural/forestry/Fishing:	☐ Wholesale, retail trade, repair of vehicle:
_____	_____
☐ Mining and quarrying:	☐ Manufacturing:
_____	_____
☐ Construction:	☐ Transportation:
_____	_____
☐ Hotel & Restaurant:	☐ Telecommunication:
_____	_____
☐ Financial/Insurance Intermediaries:	☐ Real Estate:
_____	_____
☐ Others:	

Years Employed/ Business Commenced:

For Office Use
– eAMS:

Job Code

[illegible]

Not required if relevant document is submitted

(v) Financial Particulars

Total Annual Income

☐ ≤ RM25,000 ☐ RM25,001-RM60,000 ☐ RM60,0001-RM120,000
☐ RM120,001-RM200,000 ☐ RM200,001-RM300,000 ☐ >RM300,000

For Office Use
– eAMS:

Income Status

Customer Segmentation

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(v) Financial Particulars (Continue)

Assets Net Worth (Stocks and Shares, Cash and Deposit, Landed Property etc)

Asset Net Worth



☐ ≤ RM300,000 ☐ RM300,001 – RM1 mil
☐ > RM1 mil – RM3 mil ☐ > RM3 mil *Estimated Asset Net Worth RM _____

Source of Wealth and Net Worth

☐ Salary	☐ Business Income	☐ Investment Returns
☐ Rental Income	☐ Inheritance	☐ Savings
☐ Pension funds	☐ Others, pls specify	

Source of Funds for Investment

☐ Salary
 ☐ Business Income
 ☐ Investment Returns
☐ Rental Income
 ☐ Inheritance
 ☐ Savings
☐ Pension funds
 ☐ Others, pls specify

(vi) Investment Experience

Investment Objective(s)

☐ Trading Gain ☐ Dividend ☐ Capital Growth ☐ Arbitraging

Investment Experience

Equities : year(s)

(vii) **Spouse/Next of Kin / Emergency Contact Particulars**

Name of Spouse/Next of Kin/ Emergency Contact Particulars (As per NRIC/Passport No./Authority Card)

[illegible]

Relationship :

[illegible][illegible]

Correspondence Address(if different from the applicant's address):

[illegible]

Postcode:

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 Town: _____

State: Country:

[illegible][illegible][illegible]

(viii) Trade in LEAP Market

No ☐ **Yes** ☐

If yes, please complete the columns below



* The LEAP Market is a qualified market meant for Sophisticated Investors only i.e. those who qualify under Part 1 of Schedules 6 & 7 of the Capital Markets & Services Act 2007 (CMSA) as listed behind the LEAP Market Risk Disclosure Statement

(ix) **Politically Exposed Person (“PEP”) – Domestic & Foreign**

No ☐ Yes ☐

(If Yes, please complete the column below)

[illegible]

Relationship : _____

Designation : _____

(x) 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:-

[illegible]

#Receipt Advice (if different from the bank above)

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.

(xi) **Delivery of Contract Note/Statement/Contra Note**

	Electronic via email	Hardcopy*
Equity	☐	☐

* 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.

B. DECLARATION BY APPLICANT

1. DECLARATION PURSUANT TO TERMS AND CONDITIONS FOR ISLAMIC SECURITIES TRADING

- (a) I declare that I have attained the age of eighteen (18) years* and all particulars and information furnished by me in this Islamic Securities Trading Application Form ("Application Form") are true and correct and I have not withheld any material fact or information from AmlInvestment Bank Berhad ('the Company') and I or the AMSEC Nominees (Tempatan) Sdn Bhd/ AMSEC Nominees (Asing) Sdn Bhd ('the Custodian').
- (b) I declare that I am not in the employment of another Participating Organisation of the Bursa Malaysia Securities Berhad ("Bursa Securities");
- (c) I declare that I have not been adjudicated or declared a bankrupt and have not committed an act of bankruptcy and have no knowledge of any bankruptcy petition presented against me in any court of competent jurisdiction and I have not been listed as a defaulter by Bursa Securities or Bursa Malaysia Derivatives Berhad;

Upon the occurrence of any of the events rendering the above declaration in causes B 1 (b) and (c) becoming inaccurate or untrue, I agree and undertake to immediately cease trading and cease utilizing the services of the Company and the Custodian and shall forthwith notify the Company and the Custodian in writing of the occurrence of such event(s). Without prejudice to the aforementioned, upon the Company and / or the Custodian having knowledge of the occurrence of any of the such events, the Company shall have the right and discretion to immediately cease my trading and the Company and I or the Custodian shall have the right to cease the provision of all its/their services or any part thereof. However, all orders carried out for me under any of the Client's Securities Account(s) (hereinafter defined) and all orders, instructions and communications carried out by the Custodian and I or the Company prior to the aforesaid cessation shall be valid and enforceable against me.

- (d) I understand and acknowledge that the Company and I or the Custodian do not provide any investment advice, suggestions or recommendations;
- (e) I understand that my application to open any account and any other services and facilities are subject to the Company's approval and I or the Custodian's approval as the case may be and the Company and I or the Custodian is absolutely entitled at its/their respective discretion to reject my application or impose such conditions and/or restrictions as it / they may deem fit without giving any reasons thereof.
- (f) I undertake to furnish the Company and I or the Custodian with such additional particulars, information and declaration as the Company and I or the Custodian may require at any time and from time to time. I further undertake to promptly notify the Company and I or the Custodian should there be any changes to the particulars, information or the declaration given to the Company and I or the Custodian as the case may be.

I also authorise the Company and / or the Custodian to verify the particulars and information provided from any source and in such manner as it/they shall deem fit.

I consent to the Company and / or Custodian to conduct any check on the credit standing / financial status with any person or institution that it] they may deem necessary at any point of time.

- (g) I enclose herewith one (1) copy of my New NRIC/Passport/Authority Card duly certified as the true copy.

2. DECLARATION PURSUANT TO RULE 5.15 OF THE BURSA MALAYSIA SECURITIES BERHAD

I hereby declare that the dealings in securities in respect of all my account(s) shall be carried out for me as principal.

3. DECLARATION PURSUANT TO BANK NEGARA'S FOREIGN EXCHANGE ADMINISTRATION POLICY (BNM'S FEA POLICY)

I hereby acknowledge that I have read and understood the Exchange Control Act 1953 and/or Bank Negara Malaysia's Foreign Exchange Administration (BNM's FEA) Policy and shall abide by the provisions at all material time.

4. DECLARATION PURSUANT TO STRUCTURED WARRANTS RISK DISCLOSURE STATEMENT

I hereby acknowledge that I have read and understood the STRUCTURED WARRANTS RISK DISCLOSURE STATEMENT as per below.

STRUCTURED WARRANTS RISK DISCLOSURE STATEMENT

- (a) This statement is provided to you in accordance with the directive of the Committee of the **Bursa Securities** pursuant to Rule 201.1(2).
- (b) 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 transaction cost;
 - In order to realise any value from a **structured warrant**, it is necessary to sell the **structured warrants** or exercise the **structured warrants** on or before their expiry date;
 - 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.
- (c) This brief statement cannot disclose all the risks and other aspects of purchasing **structured warrants**. The Client should therefore carefully study the terms and conditions of any **structured warrants** before they decide to purchase. If the Clients are in doubt in relation to any aspect of this statement or the terms of a **structured warrant**, the Client should consult their broker.

Structured warrants means individually or collectively as the context may require, call warrants, put warrants, basket warrants, bull equity-linked structures or such other structures that may be specified by the Exchange from time to time.

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 receipt of the Terms and Conditions for Islamic Securities Trading (Version No: V.1.2009.11.02 for ISB) and 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

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 Authorised Officer of AmlInvestment Bank Berhad or AmBank Group or AmlInvestment Bank Berhad's Commissioned Capital Markets Services Representative's Licence Holder or AmlInvestment 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 or a Notary Public or the Officer(s) of the Malaysian Embassy or High Commission/Consulate of the jurisdiction where the form is signed.

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 ☐ $\leq 100k = 0.60\%$
☐ Others: ☐ $> 100k = 0.30\%$

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
 ☐ Associates to PEP
 ☐ Cash Intensive Business

☐ Others: _____

Document/Data verified by:	Branch	HQ
	EQUITY	EQUITY
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			

MEMORANDUM OF DEPOSIT OF SECURITIES

(Applicable for Collateralised Securities Trading Applicant Only)

(This Memorandum of Deposit of Securities shall be in accordance with the Shariah principle of Rahn (Pledge))

I, the applicant hereby pledge all Securities ("Securities"), which has the same meaning as in the Capital Markets and Services Act, 2007 ("CMSA") as amended from time to time and shall be securities traded on the Bursa Malaysia Securities Berhad or any Malaysian stock exchange designated by Bursa Securities, which are acceptable to you and which may be held from time to time, in my trading account which have been fully paid and/or in any of my account(s) (including the securities account defined by the Security Industry (Central Depository) Act, 1991) held with you directly or through your nominees (hereinafter called "the Said Securities"), whether in book entry, electronic means or otherwise, on the following terms and conditions:-

1. I confirm that I am the legal and beneficial owner of the Said Securities and that I am entitled to pledge the Said Securities to you.
2. The Said Securities will be a continuing security to you for the general balance of my debts to you, which includes but is not limited to any moneys now and hereafter due under any of my account(s).
3. In the event that any debt remains outstanding for more than twenty one (21) calendar 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 me, you may at your sole discretion and at any time thereafter, without giving us any notice, sell the Said Securities to settle such debts, in which event I shall have no recourse against you or your nominee or your agents 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 Said Securities may be registered by you in your name or in the name of your nominee. If any of the Said Securities are held in a securities account registered in our Company's 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 securities account or your nominee's securities account. Notwithstanding the aforesaid, neither you nor your nominee 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 yourself or your nominee. Further, while the Said Securities are in the custody, possession or control of yourself or your nominee, you shall not be responsible to ensure that any options, calls, rights issue, bonus issue, 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. If so required by you, I shall execute such forms of transfer of securities and/or assignments as are necessary to enable the effectual transfer of the Said Securities. In the event that further documents are necessary to effectively transfer the Said Securities, I shall immediately upon your demand execute such documents.
6. I hereby irrevocably authorise you to make enquiries and/or to request and to receive statement of account of any of my aforementioned securities account / accounts as and when you shall see fit and/or deemed necessary by you in your absolute discretion without the need to seek our 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 6 and/or any other right pursuant to this Memorandum.
7. I hereby appoint you or any of your Attorneys and in our name or in the name of yourself or your Attorney, as the case may be, to, in the event any debt remains outstanding for more than twenty one (21) calendar 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 me, deal with the Said Securities in any manner whatsoever and to do all other things as fully and effectively as I could do in connection therewith and in particular but without prejudice to the generality of the 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.
8. I hereby acknowledge that you will not be liable for any loss or damage of the securities deposited into any securities account(s) 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 willful default. In respect of such loss or damage (should there be any), your liability will be limited to the incidental replacement costs which are confined to cost of advertisement, scrip fees and any other reasonable costs related to the replacement of the physical share certificates only.

9. Any notice or demand required to be made or given to me hereunder may be sent by registered post to my last known address and shall be deemed to have been received by me within three (3) days after the date of posting notwithstanding, that the letter may be returned in the post.
10. I hereby acknowledge that you will not be liable for any failure in performing any of your obligations under this Memorandum or any claim in respect of any loss, expense, costs, injury, damages or liabilities which are directly or indirectly caused by or results from or arises from or out of or contributed by such failure to perform, if such non-performance arises from or is attributable to acts, events, omissions or accidents beyond your reasonable control and without limiting the generality thereof, including:-
- strikes, lockouts or other industrial actions;
 - civil, commotion, riot, invasion, war threat or preparation of war;
 - fire explosion, storm, flood, earthquake, subsidence, epidemic or other natural physical disaster;
 - impossibility of the use of railways, shipping, aircraft, motor transport or other means of public or private transport; and
 - political or government interference or actions with the normal operations.
11. I hereby authorise you to disclose any and all information [(including without limitation particulars of securities held) in relation to my account(s) and/or securities account(s) registered in my name and/or securities account(s) registered in the name of your nominees for and on my behalf] to any of your employee, Capital Markets Services Representative's Licence Holders, agents, related companies, subsidiaries, affiliates and/or any other parties assigned to handle my account(s) and / or securities account (s) and agree that you will not be liable for any claims, actions, and proceedings and losses of whatsoever nature which may be incurred as a result of this authorisation.

Signature of Applicant

Name : _____

Date : _____

Signature of Witness*

Name : _____

New NRIC/ Passport : _____

Profession/Designation : _____

Note*:

Insert name, NRIC/Passport no., profession/designation and address of the witness who must be an Authorised Officer of AmInvestment Bank Berhad or AmBank Group or AmInvestment Bank Berhad'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 or 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

Keyed-in by : _____

Checked by : _____