



## Individual Account Application Form

### CGS International Futures Malaysia Sdn. Bhd.

[199301002937 (257674-P)]

(Formerly known as CGS-CIMB Futures Sdn. Bhd.)

A Trading Participant of Bursa Malaysia Derivatives Berhad

Level 12, Menara Aras Raya  
No. 11, Jalan Raja Laut  
50350 Kuala Lumpur  
Wilayah Persekutuan  
Malaysia

Tel: 603 2635 8888 (General Line)

Tel: 603 2635 9777 / 603 2635 8908 (Dealing Line)

Email: [futuresbroking.my@cgsi.com](mailto:futuresbroking.my@cgsi.com)

Website: [www.cgsi.com.my](http://www.cgsi.com.my)

## INSTRUCTIONS FOR COMPLETION OF INDIVIDUAL APPLICATION FORM

1. Please read the General Terms and Conditions and Risk Disclosure Statement (Conventional or Shariah-Compliant Futures, as applicable) consisting of the Client Agreement, Terms and Conditions of Trading, Supplemental Terms and Conditions of Trading for Electronic Trading Facilities and the Risk Disclosure Statement.
2. Kindly complete all applicable fields of the Individual Account Application Form using BLOCK LETTERS and check the relevant boxes with a tick ✓.
3. The completed Application Form must be returned with certified true copy of the following supporting documents: -
  - a. Malaysian – NRIC/ Armed Forces or Police Personnel Authority Card (both sides)
  - b. Non-Malaysian – Passport and valid Visa/ Entry Permit
  - c. Latest Bank Statement
  - d. Payslip/ Income Tax Return
4. The Applicant is also required to complete the Individual Self-Certification Form.
5. Applicant residing outside Malaysia is required to arrange for a Notary Public, or in countries that do not have a Notary Public, advocates and solicitors or officers authorized by a licensed derivatives broking company with a recognised derivatives exchange, or authorised officer of a Malaysian Embassy or High Commission Consulate, to authenticate the Account Application Form and the photocopy of supporting documents.
6. Definition of Resident :

Resident	Non-Resident
(a) a citizen of Malaysia, excluding a citizen who has obtained permanent resident status in a country or a territory outside Malaysia and is residing outside Malaysia;  (b) a non-citizen of Malaysia who has obtained permanent resident status in Malaysia and is ordinarily residing in Malaysia;	(a) any person other than a resident;  (b) a Malaysian citizen who has obtained permanent resident status of a country or territory outside Malaysia and is residing outside Malaysia;

7. Where applicable, please submit Form W-8BEN or Form W-9.
8. Any amendments made must be legible and countersigned by the Applicant. Form defaced by erasure or any kind of correction fluid may result in the application being rejected.



**ACCOUNT APPLICATION FORM**

**CGS International Futures Malaysia Sdn. Bhd.**  
 (formerly known as CGS-CIMB Futures Sdn. Bhd.)  
 (A Trading Participant of Bursa Malaysia Derivatives Berhad)

**Individual**

**TYPE OF BROKING**

Conventional Futures Broking       Shariah-Compliant Futures Broking

If you are an existing client of CGS International Futures Malaysia Sdn. Bhd. (formerly known as CGS-CIMB Futures Sdn. Bhd.), please tick below and provide the account no.(s)

Existing Client      Account No.(s) : \_\_\_\_\_

**A. PERSONAL DETAILS**

Name (as per NRIC/ Passport) \_\_\_\_\_  
 \_\_\_\_\_

New NRIC No./ Authority Card No. \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ Old NRIC/ Passport No. \_\_\_\_\_

Gender  Male  Female      Date of Birth \_\_\_\_\_

Nationality  Malaysian  Others \_\_\_\_\_      Residence Status  Resident  Non-Resident  
*(Please refer to the definition of resident in Page 2)*

Race  Bumiputra  Chinese  Indian  Others \_\_\_\_\_

Marital Status  Single  Married  Divorced  Widowed

Place & Country of Birth \_\_\_\_\_

Address (as per NRIC/ Passport) \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_ Postcode \_\_\_\_\_

Mailing Address (if differs from above) \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_ Postcode \_\_\_\_\_

Home Telephone No. \_\_\_\_\_ Mobile Phone No. \_\_\_\_\_

Email Address \_\_\_\_\_

**B. EMPLOYMENT DATA**

Employment Status  Employed  Self-employed  Others \_\_\_\_\_  
*(For retiree, please specify the last employment prior to retirement)*

Name of Employer/ Company/ Business \_\_\_\_\_ Registration No. (if own business) \_\_\_\_\_

Nature of Business \_\_\_\_\_ Designation/ Occupation \_\_\_\_\_

Years in Employment/ Business  Less than 5 Years  Between 5 to 15 Years  More than 15 Years  Not Applicable

Office/ Business Address \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_ Postcode \_\_\_\_\_

Office Telephone No. \_\_\_\_\_

**C. FINANCIAL INFORMATION**

Gross Annual Income  Below RM12,000  RM12,001 - RM24,000  RM24,001 - RM36,000  
 RM36,001 - RM48,000  RM48,001 - RM60,000  RM60,001 - RM100,000  
 RM100,001 - RM300,000  Above RM300,000

Estimated Net Worth  Below RM50,000  RM50,001 - RM100,000  RM100,001 - RM200,000  
 RM200,001 - RM500,000  RM500,001 - RM1,000,000  RM1,000,001 - RM2,000,000  
 RM2,000,001 - RM3,000,000  Above RM3,000,000

Source of Funds  Salary  Commission  Business Income  
 Interest Income  Rental Income  Investment Income  
 Others \_\_\_\_\_

Country/ Jurisdiction of Source of Funds  Malaysia  Others \_\_\_\_\_

Source of Wealth  Savings  Pension Fund/ Provident Fund  Inheritance  
 Sale of Real Estate  Gift  Others \_\_\_\_\_

Country/ Jurisdiction of Source of Wealth  Malaysia  Others \_\_\_\_\_

**D. INVESTMENT/ TRADING OBJECTIVE AND EXPERIENCE**

Investment/ Trading Objective  Speculation  Arbitraging  Hedging

Risk Tolerance  Aggressive  Moderate  Conservative

Investment/ Trading Experience :

Equities/ Bonds/ Funds \_\_\_\_\_ years

Futures/ Options/ Derivatives \_\_\_\_\_ years

Anticipated Funds for Trading (per month)  Below RM 20,000  RM 20,000 to RM 50,000  
 RM 50,001 to RM 100,000  Above RM100,000

Anticipated Monthly Volume (number of contracts)  Below 20  20 to 50  51 to 100  Above 100

**E. RELATED PARTIES/ ACCOUNTS**

1. Do you have any trading account(s) with other futures brokers?  Yes  No  
 If yes, please specify name of broker(s) \_\_\_\_\_

2. Do you have any shares trading account(s)?  Yes  No  
 If yes, please specify name of broker(s) \_\_\_\_\_

3. Are you related to any staff/ director/ Futures Broker's Representative of CGS International Futures Malaysia Sdn. Bhd. (formerly known as CGS-CIMB Futures Sdn. Bhd.)?  Yes  No  
 If yes, please provide the following details :

Name	Designation	Relationship
_____	_____	_____
_____	_____	_____

4. Are you an employee of any Exchange or futures broker?  Yes  No  
 If yes, please specify name of Exchange/ Firm \_\_\_\_\_

**F. POLITICALLY EXPOSED PERSON ("PEP")**

1. Are you a PEP<sup>1</sup> ?  Yes  No  
 If yes, please elaborate \_\_\_\_\_ Position Held : \_\_\_\_\_ No. of Years : \_\_\_\_\_
2. Are you a Family Member<sup>2</sup> / or Close Associate<sup>3</sup> of a PEP?  Yes  No  
 If yes, please elaborate \_\_\_\_\_  
 Name of PEP : \_\_\_\_\_ Relationship : \_\_\_\_\_  
 Position Held : \_\_\_\_\_ NRIC/ Passport No. : \_\_\_\_\_

<sup>1</sup> PEPs are individuals who are or have been entrusted with prominent public functions (whether in Malaysia or in a foreign country) e.g. Heads of State, Heads of Government, government ministers, senior civil or public servants (e.g. Cabinet and permanent secretaries, Director Generals, head of departments and their deputies), senior judicial or military officials, senior executives of government owned corporations, senior political party officials, important political party officials, members of the legislature and senior management of statutory bodies and International Organisations (e.g. UN, IMF, World Bank, OECD, European Union, ASEAN and International Sport Organisations).

<sup>2</sup> Family Members include the spouse; child and their spouses (including a biological and non-biological child); parents (including biological and non-biological parents); spouse's parents, siblings and their spouses (including biological and non-biological parents, commonly referred to parents in law); and siblings and their spouses (including biological and non-biological siblings).

<sup>3</sup> Close Associates include extended family member such as relatives (biological and non-biological relationship); financially dependent individuals (e.g. persons salaried by the PEPs such as drivers, bodyguards, secretaries); business partners or associates; prominent members of the same organisation as the PEP; person who is working closely with the PEPs (e.g. work colleagues); or close friends.

**G. PARTICULARS OF SPOUSE (IF MARRIED) OR NEXT OF KIN (IF NOT MARRIED)**

Name (as per NRIC/ Passport) \_\_\_\_\_

New NRIC No./ Authority Card No. \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ Mobile Phone No. \_\_\_\_\_

Relationship with Applicant  Spouse  Parent  Sibling  Children  Relative \_\_\_\_\_

Employment Status  Employed  Self-employed  Others \_\_\_\_\_  
 (For retiree, please specify the last employment prior to retirement)

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

**H. STANDING CREDIT INSTRUCTION**

All payments arising from my fund withdrawal requests to CGS International Futures Malaysia Sdn Bhd (formerly known as CGS-CIMB Futures Sdn. Bhd.) (the "Broker") shall be credited directly into my designated bank account as specified below:

Bank Name \_\_\_\_\_

Account No. \_\_\_\_\_

(Please enclose a photocopy of the Applicant's Passbook/ Latest Bank Statement for verification purposes)

Type of Account  Individual Account  Joint Account (only allowed for Immediate Family)  
 (Please provide proof of relationship (i.e. Marriage/ Birth certification))

In consideration of the Broker agreeing to the above standing credit instruction, I hereby agree:

- to refund to the Broker any payments wrongly made to me or wrongly credited into my trading account maintained with the Broker and/ or the above mentioned bank account;
- not to hold the Broker responsible for any losses arising thereof and undertake to indemnify the Broker at all times against all claims, losses or expenses incurred by the Broker in connection with this instruction; and
- the above standing credit instruction shall remain in force until further notice in writing is provided by me. The Broker in its sole and absolute discretion shall be entitled to vary the above mode or manner of payment without prior written notice to me.

**I. E-INVOICING**

Pursuant to the implementation of e-invoicing by the Inland Revenue Board of Malaysia (IRBM);

Do you require e-invoices to be issued to you?

Yes  No

If yes, please provide your Tax Identification Number (TIN)

\_\_\_\_\_

*Note : For individual taxpayers, e-invoice may not be required for tax filing purposes.If you select "No" in this application but you subsequently require e-invoices to be issued, please contact the Broker to update your preference with respect to e-invoicing.*

**J. INSTRUCTIONS FOR E-STATEMENTS/ NOTIFICATIONS**

I hereby consent to receive my daily and monthly statements, invoices (which may be incorporated and issued as part of the daily contract statements), e-invoices validated by IRBM or any other statements/ notifications ("statements/ notifications") that may be made available to me by the Broker in relation to my accounts opened from time to time to my registered email address as provided in Section A.

Tick Signature

As such, I hereby instruct and give my consent to the Broker to:-

1. issue and deliver the statements/ notifications in electronic form;
2. deliver the statements/ notifications to my specific email address as advised; and
3. adopt an alternative mode of delivery as may be determined by the Broker in issuing and delivering the statements/ notifications in the event of systems failure.

In this regard, I hereby undertake to continue to be bound by the terms and conditions stated in this application form executed by me for my account(s) including any addition or amendments that may be made by the Broker from time to time.

I also accept and assume the inherent risk associated in receiving the above statements/ notifications electronically. I will not make any claims against the Broker, its directors or officers nor hold the Broker or them responsible for any matters or liabilities that may arise in relation to this consent but shall instead, be entirely responsible for any liabilities or losses suffered as a result of such mode of delivery.

I further acknowledge and agree that all my liabilities (if any) with the Broker shall remain unchanged and continuous, and it shall not be affected in any way with the change in the mode of electronic delivery of statements/ notifications that may be made available to me by the Broker.

In the event that I wish to discontinue receiving the statements/ notifications in electronic form, I shall provide the Broker no less than 7 working days from the intended effective date, my written instruction to revoke my instructions with respect to the electronic delivery of statements/ notifications and from the effective date, will agree to receive my statements/ notifications in hardcopy to the latest available correspondence address maintained in the Broker's record.

**K. YOU MATTER TO US**

Your well-being is our priority. Please let us know below if there are any personal circumstances or conditions we should be aware of to ensure we can offer additional support in providing our services to you.. Additionally, if there is anything about your health or current situation (including any challenges or require additional support related to your financial or technology matters) that may impact how you prefer to receive and process information regarding your trading activities/ investments, please inform us.

\_\_\_\_\_  
\_\_\_\_\_

We are dedicated to upholding strict confidentiality standards and any information you share will be used exclusively to provide you with services/ support tailored to your needs.

Should there be any changes to your circumstances or conditions in the future which may impact our services to you, we encourage you to notify us promptly so we can continue to provide appropriate support.

**L. DECLARATION AND AGREEMENT**

By signing this Account Application Form, I hereby declare/ agree/ undertake that:

1. I am not under eighteen (18) years of age, or of unsound mind, or an undischarged bankrupt, or I have not been adjudicated or declared a bankrupt, and have not committed an act of bankruptcy, and have no knowledge of any bankruptcy petition presented against me in any court of competent law.

2. Prior to the trading of any Shariah-compliant futures contract, I acknowledge that futures contracts which may be transacted, held, dealt with, using the Shariah-Compliant Futures Account are limited to futures contract that has been approved by the Shariah Advisory Council of the Securities Commission Malaysia and/ or the Broker's authorised Shariah adviser as Shariah-compliant. I acknowledge that the Broker shall not be obligated or responsible to verify, monitor or confirm the compliance or conformity of any such futures contract approved by the Shariah Advisory Council and/ or the Broker's authorised Shariah adviser as Shariah-compliant.
3. The information given herein, including document(s) attached hereto, are true and complete in every respect and do not contain any false or misleading information and I have not willfully withheld any facts. I shall keep the Broker informed of any change in particulars given in this Account Application Form.
4. The Broker shall have the right to reject the Applicant's application at its sole discretion without any reason whatsoever.
5. I confirm that the Broker is authorised to verify any information and/ or make any checks and/ or obtain any information and/or confirmation at any time and from time to time now and/ or in the future, with or from any credit reference/ reporting agencies, including but not limited to and/ or any other agencies and/ or from any financial institution and/ or any other source(s) that the Broker may in its sole discretion deem appropriate and to provide to such aforesaid party(s) with the required information requested to enable the Broker to ascertain my status and/ or any other person, individual, and/ or entity related to and/ or associated with me as may be required by the Broker for the purpose of the consideration of this application and thereafter if this application is approved for the purposes of continued maintenance of the account; and/ or recovery of debts due and payable under the account; and/ or any purpose related to or in connection with the account applied for; and/ or for any other purpose, that is required or permitted by any law, regulations, guidelines and/ or relevant regulatory authorities.
6. I am fully aware of and understand the processes, procedures and risks involved in using the services and executing transactions through the electronic trading facilities.
7. I am fully aware of and understand the relevant laws, rules and regulations relating to the services provided by the Broker to me pursuant to the General Terms and Conditions and Risk Disclosure Statement (Conventional or Shariah-Compliant Futures, as applicable) consisting of the Client Agreement, Terms and Conditions of Trading, Supplemental Terms and Conditions of Trading for Electronic Trading Facilities and the Risk Disclosure Statement, including those on trading and dealing of futures contracts.
8. I acknowledge and agree that the Broker may retain, for the benefit of the Broker and without any obligation to account to me, any interest/ hibah or profit the Broker receives from my monies deposited in the Trust Account (the "Client's Monies"). I further consent to the Broker withdrawing the Client's Monies and any interest/ hibah or profit received on the Client's Monies from the Trust Account, to the extent permitted by applicable laws, including but not limited to paying out such interest/ hibah or profit. The Broker may in its sole and absolute discretion, taking into account any withholding tax and any administrative expenses incurred by the Broker in maintaining the Trust Account, pay any interest/ hibah or profit received on the Client's Monies to me. I agree and acknowledge that any interest/ hibah or profit paid by the Broker to me may be less than that received by the Broker.

I duly verify that this is my written direction allowing the Broker to do the above.

9. Pursuant to Rule 4.12(2) and Rule 4.12(4) of the Rules of Bursa Malaysia Derivatives Berhad, I hereby declare that dealings in futures contract in respect of my trading account is/ shall be carried out for me as principal and I make this solemn declaration conscientiously believing the same to be true.
10. I hereby confirm that

**I am not** a U.S. person or resident, and that the information provided in this form or declaration, and any supporting documents, is true, accurate and complete, or

**I am** a U.S. person or resident, and that the information provided in this form or declaration, and any supporting documents, is true, accurate and complete.

My Tax Identification or Social Security Number is \_\_\_\_\_

Note: U.S. persons and possibly U.S. persons are also requested to complete Form W-8BEN or Form W-9.

I hereby consent for the Broker and its related corporations (as defined in the Companies Act 2016) (collectively "**CGSI Group**") to share my information with domestic or overseas regulators or tax authorities, where necessary to establish my tax liability in any relevant jurisdiction.

I agree and undertake to sign and/ or deliver to CGSI Group additional information, documents and/or forms, for the purposes of the CGSI Group's compliance with any tax laws and regulations.

Where required by domestic or overseas governmental, supervisory or regulatory authorities, I understand and agree that CGSI Group may withhold, and pay out, from any of my account(s) such amounts as may be required according to applicable laws, regulations, directives, guidelines and/ or agreements with and/ or from domestic or overseas governmental, supervisory or regulatory authorities.

I also agree and undertake to notify the Broker in a timely manner (which in any case, within 30 calendar days), and provide the information if requested by the Broker, if there is a change in any information which I have provided to the Broker as above.

**11. Disclosure to third parties for strategic alliances, marketing and promotional purposes**

I consent to my personal data and/ or any individual, and/ or entity related to and/ or associated with me to be collected, used, disclosed and/ or processed by the Broker in accordance with the Client Agreement forming part of the General Terms and Conditions and Risk Disclosure Statement (Conventional or Shariah-Compliant Futures, as applicable), provided always that disclosure for cross selling purposes shall not be effected if such disclosure is objected by me by writing to the Broker at the following address (which may be changed by the Broker from time to time by notice to us): Level 12, Menara Aras Raya, No. 11, Jalan Raja Laut, 50350 Kuala Lumpur, Wilayah Persekutuan, Malaysia. (Attention to Client Services Department).

Further, where the Broker intends to share my information (excluding information relating to my affairs or account) with third parties for strategic alliances, marketing and promotional purposes,

- We hereby consent to the above disclosure to third parties.
- We do not consent to the above disclosure to third parties.

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

- (a) the Privacy Notice issued by the Broker (which is available at all the Broker's branches as well as at the Broker's website at [www.cgsi.com.my](http://www.cgsi.com.my) or has otherwise been made available to me); and
- (b) the Personal Data Notice issued by Bursa Malaysia Berhad ("**Bursa Malaysia**") (which is available at Bursa Malaysia's website at [www.bursamalaysia.com](http://www.bursamalaysia.com) or has otherwise been made available to me); and confirm my agreement to the same.

13. I acknowledge that I have received, read, understood, accepted and agreed to be bound by the contents of the General Terms and Conditions and Risk Disclosure Statement (Conventional or Shariah-Compliant Futures, as applicable) consisting of the Client Agreement, Terms and Conditions of Trading, Supplemental Terms and Conditions of Trading for Electronic Trading Facilities and the Risk Disclosure Statement for futures contracts or Shariah-compliant futures contracts (as may be applicable depending on the type of account(s) being opened with the Broker) (collectively, the "Documents"), including such additional amendments or terms and conditions as may be made to the Documents from time to time.

I hereby confirm that I have read, understood, accepted and agreed to be bound by each of the terms and conditions as set out in this Account Application Form and the Documents. By the insertion of my signature below and the execution of this Account Application Form, it is deemed that the Documents have been duly executed by the Client.

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Signature of Applicant  
Name :  
(as per Identification Document)  
NRIC/ Authority Card No./  
Passport No. & Nationality :  
Date :

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Signature of Futures Broker's Representative/ Notary Public/ Witness  
Name :  
(as per Identification Document)  
NRIC No./  
Passport No. & Nationality :  
Date :



**M. INDIVIDUAL SELF-CERTIFICATION**

Under Common Reporting Standard (“CRS”) and Foreign Account Tax Compliance Act (“FATCA”), CGS International Futures Malaysia Sdn. Bhd. (formerly known as CGS-CIMB Futures Sdn. Bhd.) (“CGS MYF”) is required to collect and report certain information to the local tax authority on the status of our clients. 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 notify and submit to CGS MYF with an updated Self-Certification Form. Kindly consult your tax or legal adviser should you have questions on or in relation to CRS and FATCA.

**Part 1. Identification of Account Holder**

Please declare your Tax Residency status:

- Malaysian tax resident. Not required to complete Part 2. Please proceed to complete Part 3.
- Malaysian and Non-Malaysian tax resident. (If multiple tax residency status) Please proceed to complete Part 2 & 3.
- Non-Malaysian tax resident. Please proceed to complete Part 2 & 3.

**Part 2. Tax Residence Information**

Country/ Jurisdiction of Tax Residence	Tax Identification Number (TIN) or equivalent	If TIN or equivalent is unavailable, please state reason (A, B, or C)

For U.S. Person <sup>(a)</sup>, please fill up W-9 Form. <sup>(a)</sup> U.S. Person refers to citizen or resident of the United States or holds a U.S. green card or a U.S. passport)

- Reason A** - Country does not issue TIN to its residents.
- Reason B** - No tax obligation (i.e. TIN application in progress, not required to register tax file, housewife / househusband, retiree, student, others)
- Reason C** - No TIN is required (note: only select this reason if the authorities of the country of residence for tax purposes do not require the TIN to be disclosed)

For Reason B, please explain reason of Account Holder unable to obtain TIN or equivalent number.

1.	
2.	
3.	

**Part 3. Declaration**

I understand that the information supplied by me is subject to the terms and conditions governing the Account Holder’s relationship with CGSI Group setting out how CGSI Group may use and share the information supplied by me.

I acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be provided directly or indirectly to any relevant tax authority, including of the country/ jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/ jurisdiction or countries/ jurisdictions in which the Account Holder may be resident for tax purposes pursuant to agreements between competent authorities to exchange financial account information.

I certify that I am the Account Holder, of the account(s) to which this form relates and I declare that all statements made in this declaration are to the best of my knowledge and belief, correct and complete.

If there is a change in circumstances that affects the tax residence of the Account Holder or causes the information contained herein to become incorrect or incomplete, I understand that I am obligated to inform CGSI Group of the change in circumstances within 30 days of its occurrence and to provide a suitably updated self-certification.

\_\_\_\_\_  
Signature & Name

\_\_\_\_\_  
Date [DD/MM/YYYY]

\_\_\_\_\_  
Passport/ ID No.

\_\_\_\_\_  
Passport Expiry Date

## Definitions of Individual Self-Certification

1. **ACCOUNT HOLDER**  
Means the person listed or identified as the holder of a Financial Account by the Financial Institution that maintains the account. A person, other than a Financial Institution, holding a Financial Account for the benefit of another person as an agent, a custodian, a nominee, a signatory, an investment advisor, an intermediary, or as a legal guardian, is not treated as the Account Holder. With respect to a jointly held account, each joint holder is treated as an Account Holder.
2. **CONTROLLING PERSON**  
Means the natural persons who exercise control over an entity or any shareholder with interest of more than 25% shares or threshold set by the local authority. In the case of a trust, such term means the settlor, the trustee, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term 'Controlling Persons' must be interpreted in a manner consistent with the Financial Action Task Force (FATF) recommendations or by the local regulations governing non-individual entities. If the account is maintained for an entity of which the individual is a Controlling Person, then the 'Controlling Person tax residency Self-Certification' form should be completed instead of this form.
3. **ENTITY**  
Means a legal person or a legal arrangement, such as a corporation, partnership, trust or foundation.
4. **FINANCIAL ACCOUNT**  
Means an account maintained by a Financial Institution, and includes depository accounts, custodial accounts, equity and debt interest in certain investment entities; cash value insurance contracts and annuity contracts.
5. **REPORTABLE ACCOUNT**  
Means an account held by one or more Reportable Persons or by a Passive NFE with one or more Controlling Persons that is a Reportable Person.
6. **REPORTABLE JURISDICTION**  
A Reportable Jurisdiction is a jurisdiction with which an obligation to provide financial account information is in place and that is identified in a published list.
7. **REPORTABLE PERSON**  
A Reportable Person is defined as an individual who is tax resident in a Reportable Jurisdiction under the tax laws of that jurisdiction.
8. **TAX RESIDENT**  
A Tax Resident/ Resident (for tax purposes) is an individual or an entity who is resident under the tax laws of a jurisdiction.
9. **TIN**  
Means Taxpayer Identification Number or functional equivalent in the absence of a Taxpayer Identification Number. Further details of acceptable TINs can be found at: <https://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/>

### **DISCLAIMER:**

The above are selected definitions to assist you with the completion of this Form. Should you have any questions, please consult your tax or legal adviser on or in relation to CRS and FATCA.

TO BE COMPLETED BY FUTURES BROKER'S REPRESENTATIVE ("FBR")				
Code	Products	Commission (RM)# [a]	Derivatives Fees (RM)* [b]	Total Charges (RM) [a + b]
FKLI OKLI	Overnight per half turn		5.00	
	Day / Spread / Scratch trade per half turn		5.00	
FCPO OCPO	Overnight per half turn		3.00	
	Day / Spread / Scratch trade per half turn		3.00	
FEPO	Overnight per half turn		3.00	
	Day / Spread / Scratch trade per half turn		3.00	
FPKO	Overnight per half turn		3.00	
	Day / Spread / Scratch trade per half turn		3.00	
FGLD	Overnight per half turn		2.00	
	Day / Spread / Scratch trade per half turn		2.00	
FM70	Overnight per half turn		2.00	
	Day / Spread / Scratch trade per half turn		2.00	
FKB3	Overnight per half turn		1.00	
	Day / Spread / Scratch trade per half turn		1.00	
FMG3	Overnight per half turn		1.00	
	Day / Spread / Scratch trade per half turn		1.00	
FMG5	Overnight per half turn		1.00	
	Day / Spread / Scratch trade per half turn		1.00	
FMGA	Overnight per half turn		1.00	
	Day / Spread / Scratch trade per half turn		1.00	
F4GM	Overnight per half turn		1.50	
	Day / Spread / Scratch trade per half turn		1.50	
Code	Products	Commission (RMB)# [a]	Derivatives Fees (RMB)* [b]	Total Charges (RMB) [a + b]
FCNH	Overnight per half turn		2.50	
	Day / Spread / Scratch trade per half turn		2.50	
Code	Products	Commission (USD)# [a]	Derivatives Fees (USD)* [b]	Total Charges (USD) [a + b]
FUPO	Overnight per half turn		0.90	
	Day / Spread / Scratch trade per half turn		0.90	
FPOL OPOL	Overnight per half turn		0.90	
	Day / Spread / Scratch trade per half turn		0.90	
FSOY	Overnight per half turn		0.90	
	Day / Spread / Scratch trade per half turn		0.90	
FTIN	Overnight per half turn		0.90	
	Day / Spread / Scratch trade per half turn		0.90	
FUCO	Overnight per half turn		0.90	
	Day / Spread / Scratch trade per half turn		0.90	

Tick for Online Discount, Amount : RM \_\_\_\_\_

\* Clearing and Exchange fees may be varied from time to time by the Exchange. Exchange fees are subject to Sales and Services Tax (SST)  
# Commission is subject to SST

**Additional Information**

Face to face verification  
 Non face to face verification

Acceptable Witness :  Notary Public       Advocate & Solicitor       Malaysian Embassy/ High Commission  
 FBR/ Officers of authorised by licensed derivatives broking company with a recognised derivatives exchange

Video recording with Applicant date & time : \_\_\_\_\_  
(Please provide the video recording to Client Services Department)

How do I know the Applicant/ Name of Introducer : \_\_\_\_\_

No. of years I have known the Applicant : \_\_\_\_\_ years

Other relevant information : \_\_\_\_\_

I hereby

1. confirm to have read and understood the provisions under Treatment of Vulnerable Clients of the Securities Commission Malaysia Guidelines on Conduct For Capital Market Intermediaries (as maybe amended from time to time).
2. declare that based on my observation/ engagement with Applicant, below is the confirmation of my assessment on the Applicant :  
 No, the Applicant does not appear to require additional support;  
 Yes, the Applicant may require additional support.

If answer is "Yes", please describe any specific circumstances or observations that might explain why the Applicant could benefit from additional support (e.g. permanent or temporary disabilities, significant life events that may impact Applicant's financial resilience, or if Applicant need assistance in financial or technology associated matters).

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3. confirm to have assessed the Applicant based on vulnerable client criteria and I agree to respond appropriately throughout all stages of business relationship, including but not limited to following:
  - i. allow sufficient time for Applicant to process information that has been provided to him/ her;
  - ii. clarify with Applicant on the method of communication available and offer to provide details in an alternate format, such as, post or email for clarity; and
  - iii. ask Applicant whether he/ she would like to consult someone else first or would like to have someone with him/ her when receiving advice.
4. request CGS International Futures Malaysia Sdn. Bhd. (formerly known as CGS-CIMB Futures Sdn. Bhd.) ("the Broker") to allow the Applicant to open a trading account with the Broker.
5. agree to allow the Applicant to use the Electronic Trading Facilities. I confirm that the Applicant has the knowledge of the process of entering orders through the Electronic Trading Facilities, the Laws and Rules in relation to trading on the market.
6. confirm that the information given by me above is true and I have not withheld any information which might prejudice this application; where the Applicant is unable to read and understand the provisions (including the rights, covenants, undertakings and obligations of the Applicant) as contained in the application form, I have distinctly, clearly and audibly translated the same for the Applicant into the..... language / dialect which is the language / dialect understood by the Applicant, and the Applicant has appeared to clearly understand the same.
7. confirm that the signature on the Account Application Form, Electronic Trading Facilities Supplemental Terms and Conditions of Trading and Risk Disclosure Statement is that of the Applicant and I am aware that the Applicant is required to comply with all the terms and conditions accompanying this Account Application Form which the Broker may vary from time to time at its absolute discretion.
8. undertake to indemnify the Broker against any losses, damages, debts, charges and all other costs and expenses whatsoever incurred or suffered or which the Broker may incur or suffer in relation to the Broker opening the account of this Applicant and the subsequent operation thereof and in connection with the provision of services and Electronic Trading Facilities by the Broker to the Applicant (applicable to commissioned FBR only).

\_\_\_\_\_  
FBR's Signature

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

Name :

**FOR OFFICE USE ONLY**

**Client Services Department**

Existing Client, Account No.: \_\_\_\_\_

Conventional Futures Broking                       Shariah-Compliant Futures Broking ("SCF")

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

Approved by : \_\_\_\_\_ Date : \_\_\_\_\_

Risk Profile :     Low     Medium     High                      Approved by: \_\_\_\_\_

Remarks : \_\_\_\_\_  
\_\_\_\_\_

**Account Opening : -**

Account No. :    (Conventional) \_\_\_\_\_                      (SCF) \_\_\_\_\_

Approved by : \_\_\_\_\_ Date : \_\_\_\_\_

Keyed in by : \_\_\_\_\_ Date : \_\_\_\_\_

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

**Compliance**

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