

Individual

ACCOUNT APPLICATION FORM

Name of Applicant : _____
(also referred to herein as Applicant, I, me or my)

<input type="checkbox"/> Non Face-To-Face Verification	Dealer Code : _____	<i>If you have applied via Bursa Anywhere apps, please tick below</i> <input type="checkbox"/> Bursa Anywhere
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<i>If you are an existing client of CGS MY, please tick below and complete</i> <input type="checkbox"/> Existing Client	Client Code	CDS Account Number
	<input type="text"/>	0 6 5 - <input type="text"/> - <input type="text"/>
	<input type="text"/>	0 6 5 - <input type="text"/> - <input type="text"/>

To be completed by CGS MY

Type Of Account	Client Code	CDS Account Number
<input type="checkbox"/> Direct Trading Account	<input type="text"/>	0 6 5 - <input type="text"/> - <input type="text"/>
<input type="checkbox"/> Securitised Trading Account – Direct	<input type="text"/>	0 6 5 - <input type="text"/> - <input type="text"/>
<input type="checkbox"/> Securitised Trading Account – Nominee	<input type="text"/>	0 6 5 - <input type="text"/> - <input type="text"/>
<input type="checkbox"/> Clicks Trader Trading Account	<input type="text"/>	0 6 5 - <input type="text"/> - <input type="text"/>
<input type="checkbox"/> Margin Trading Account	<input type="text"/>	0 6 5 - <input type="text"/> - <input type="text"/>
<input type="checkbox"/> Margin Lite Trading Account	<input type="text"/>	0 6 5 - <input type="text"/> - <input type="text"/>
<input type="checkbox"/> Margin Trading Account-i	<input type="text"/>	0 6 5 - <input type="text"/> - <input type="text"/>
<input type="checkbox"/> Margin Lite Trading Account-i	<input type="text"/>	0 6 5 - <input type="text"/> - <input type="text"/>
<input type="checkbox"/> Discretionary Investment Account Referral Dealer Code _____ Order Execution Dealer Code _____	<input type="text"/>	0 6 5 - <input type="text"/> - <input type="text"/>
<input type="checkbox"/> Fixed Income Securities Account	<input type="text"/>	

Remarks: _____

CGS INTERNATIONAL SECURITIES MALAYSIA SDN. BHD. (formerly known as CGS-CIMB SECURITIES SDN. BHD.)

(Registration No. 197901004504 (48703-W))

(A PARTICIPATING ORGANISATION OF BURSA MALAYSIA SECURITIES BERHAD)

Correspondence / Business Address : Level 12 & 29, Menara Aras Raya, No. 11, Jalan Raja Laut, 50350 Kuala Lumpur, Wilayah Persekutuan.
Telephone **(603) 2635 8888** Facsimile **(603) 2602 0119**

Please refer to itrade.cgsi.com.my for branches address and contact number.

Website : www.cgsi.com.my

Internet Trading : itrade.cgsi.com.my

Follow these simple steps to open an Individual Trading Account with CGS International Securities Malaysia Sdn. Bhd. (formerly known as CGS-CIMB Securities Sdn. Bhd.) (also referred to herein as “CGS MY”)

1. Complete all applicable fields of the Individual Account Application Form.

Complete all applicable fields of the Individual Account Application Form (**Part A to N**). Please type or write using **BLOCK LETTERS**. Any amendments made must be legible and countersigned by the applicant.

2. The completed Individual Account Application Form must be returned together with the following supporting documents:

- (a) 5 certified true copies of:
 - (i) Malaysian : NRIC/Armed Forces or Police Personnel's Authority Card (both sides); or
 - (ii) Non-Malaysian : Passport; and
- (b) 5 copies of Bank Statement (latest 3 months savings/current account); and
- (c) 1 copy of the latest:
 - (i) EA Form / Form B / Form BE; or
 - (ii) EPF statement; or
 - (iii) one (1) month salary slip; and
- (d) 1 copy of valid VISA for Non Malaysian is required. Please find types of VISA required as follows :

Item	Categories of Non-Malaysian	Types of Visa Required
1	Foreign Student	(a) Student Visa; and (b) Educational Institutional Entrance /Admission Letter (The letter should state the duration of the courses)
2	Foreign Spouse/Foreign National with family ties (with a Malaysian citizen / PR of Malaysia / Ex-Malaysia)	(a) Entry Permit; or (b) Social Visit Pass/Long Term Social Visit Pass (whichever is available)
3	Foreign Worker	(a) Visitors Pass (Working Visa); or (b) Letter of Employment in Malaysia (The letter should state the length of employment)

3. Other mandatory form that must be duly completed and signed if you do not have an existing CDS account:

CDS Account Form – for Individual (Form FMN070)

If I do not have an existing Central Depository Securities (“**CDS**”) Account, I shall be required to open a CDS Account with Bursa Malaysia Depository Sdn Bhd by completing a separate set of application form (Form FMN070) and submitting the relevant documents as stated in the Form FMN070.

4. Supporting documents for Margin & Margin Lite Trading Account/Account-i

- (a) Latest margin account statement from your existing financier; and
- (b) Shareholding Portfolio Statement.

5. Supporting documents for Fixed Income Securities Account

- (a) Completed Application and Declaration for Investment in Fixed Income Securities Form; and
- (b) Completed Investor Suitability Assessment for Investment in Fixed Income Securities Form

6. Applicable For Non-Ringgit Securities Trading

Transactions in non-Ringgit securities trading through CGS MY, please complete **section O** – Foreign Currency Asset By Resident (Applicable to Non- Ringgit Securities Trading) and **W-8BEN** form.

IMPORTANT NOTES:

- 1. Please read the general terms and conditions of CGS MY’s General Terms and Conditions and Risk Disclosure Statement – Conventional Broking and/or CGS MY’s General Terms and Conditions and Risk Disclosure Statement – Islamic Broking (“**CGS MY’s General Terms and Conditions**”).
- 2. The application herein is subject to the approval of CGS MY and CGS MY reserves the right to reject the application without giving any reasons.
- 3. Applicants 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 authorised by a licensed stockbroking company with a recognised stock exchange; or authorised officer of a Malaysian Embassy or High Commission or Consulate, to authenticate the individual Account Application Form, Form FMN070, and the photocopy of documents mentioned in 2(a) to 2(c) and 3 above.
- 4. Definition of Resident:

Resident	Non-Resident
<ul style="list-style-type: none"> (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; (c) a body corporate incorporated or established, or registered with or approved by any authority, in Malaysia; (d) an unincorporated body registered with or approved by any authority in Malaysia; or (e) the Government or any State Government; 	<ul style="list-style-type: none"> (a) any person other than a resident; (b) an overseas branch, a subsidiary, regional office, sales office or representative office of a resident company; (c) Embassies, Consulates, High Commissions, supranational or international organizations; or (d) a Malaysian citizen who has obtained permanent resident status of a country or territory outside Malaysia and is residing outside Malaysia;

A. ACCOUNTS THAT I NEED

Tick where applicable



Type of Broking:

- Conventional Broking Islamic Broking

Type of Account:

- Direct Trading Account Securitised Trading Account – Direct Securitised Trading Account – Nominee
- Margin Trading Account Margin Lite Trading Account Discretionary Investment Account
- Margin Trading Account-i Margin Lite Trading Account-i Clicks Trader (Operating CASA Account No.: _____)
- Fixed Income Securities Account

I wish to apply for the following facilities:-

- Online Trading   Non-Ringgit Securities Trading (If Yes, please fill up Section O)

B. PERSONAL DETAILS

Name (as per NRIC/Passport) _____

New NRIC No. _____ - _____ - _____ Place of Birth (City) _____

Old NRIC /Passport No. _____ Country of Birth _____

Gender Male Female Resident Status Resident Non-Resident
Please refer to the definition of resident on Guide to Complete page

Marital Status Single Married Race Bumiputra Chinese
 Divorced Widowed Indian Others _____

Nationality Malaysian Others _____ Date of Birth _____
(dd/mm/yyyy)
Visa Expiry Date _____
(dd/mm/yyyy)

Registered Address (as per NRIC/Passport) _____

_____ Postcode _____

Mailing Address (If differs from the above) _____

_____ Postcode _____

Home Telephone No. _____ Mobile Phone No. _____

Email Address _____

C. EMPLOYMENT DETAILS

Employment Status Employed Self Employed Others _____
(For retiree, please specify the last employment prior to retirement)

Name of Employer/ Firm / Business _____

Nature of Business _____ Registration No. (If own business) _____

Designation/ Occupation _____ Years in Employment/Business _____

C. EMPLOYMENT DETAILS (CONT.)

Office/Business Address

 Postcode

Office Telephone No Office Fax No.
 (Optional)

Note: If you have existing account(s) with us, your employment information for such account(s) may be updated accordingly using the information provided in Part C of this Application Form.

D. FINANCIAL INFORMATION

Gross Annual Income Below RM 12,000 RM 12,000 – RM 24,000 RM 24,001 – RM 36,000
 RM 36,001 - RM 48,000 RM 48,001 – RM 60,000 RM 60,001 – RM 100,000
 RM 100,001 - RM 300,000 RM 300,001 – RM 600,000 RM 600,001 – RM 800,000
 RM 800,001 - RM 1,000,000 RM 1,000,001 – RM 3,000,000 Above RM 3,000,001

Estimated Net Worth Below RM 50,000 RM 50,000 – RM 100,000 RM 100,001 – RM 200,000
 RM 200,001 – RM 500,000 RM 500,001 – RM 1,000,000 RM 1,000,001 – RM 2,000,000
 RM 2,000,001 – RM 3,000,000 Above RM 3,000,001

Source of Fund Salary Commission Business Income
 Interest Income / Return Income Rental Investment Income
 Others _____

Country/Jurisdiction of Source of Fund: Malaysia Outside Malaysia _____

Source of Wealth Savings Pension Fund/ EPF Inheritance
 Gift Sale of Real Estate Others _____

Country/Jurisdiction of Source of Wealth: Malaysia Outside Malaysia _____

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

Name (as per NRIC/Passport)

Relationship with Applicant _____

Employment Status Employed Self Employed Others _____
 (For retiree, please specify the last employment prior to retirement)

Name of Employer/ Firm / Business _____ Designation/ Occupation _____

Mobile Phone No.

Note: Next of Kin only needs to fill in the Name, Relationship with Applicant and Mobile Phone No.

F. INVESTMENT OBJECTIVE & EXPERIENCE

Investment Objective Short Term Long Term Dividend Interest Capital Growth

Risk Tolerance Aggressive Moderate Conservative

Investment Experience (1) Equities _____ year(s) (2) Futures _____ year(s)

Expected Value of New Investment (per month) RM 0 to RM 20,000 > RM 20,000 to RM 50,000 > RM 50,000 to RM 100,000 > RM 100,000

G. MARGIN FACILITY LIMIT AND COLLATERAL (APPLICABLE FOR MARGIN & MARGIN LITE TRADING ACCOUNT/ACCOUNT-i ONLY)

<p>Margin</p> <p>Margin facility limit applied <input style="width: 200px;" type="text" value="RM"/></p> <p>Collateral offered for Margin</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 70%;">Securities</th> <th style="width: 30%;">Quantity</th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> </tbody> </table> <p>Cash <input style="width: 200px;" type="text" value="RM"/></p>	Securities	Quantity									<p>Margin Lite</p> <p>Margin Lite facility limit applied <input style="width: 200px;" type="text" value="RM"/></p> <p>Collateral offered for Margin Lite</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 70%;">Securities</th> <th style="width: 30%;">Quantity</th> </tr> </thead> <tbody> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> <tr><td> </td><td> </td></tr> </tbody> </table> <p>Cash <input style="width: 200px;" type="text" value="RM"/></p>	Securities	Quantity								
Securities	Quantity																				
Securities	Quantity																				

H. PARTICULARS OF RELATED OR CONNECTED PERSONS OR ACCOUNTS

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

2. Are you related to any staff/director/dealer or remisier of CGS MY? Yes No
 If yes, please provide the following details:

Name	Designation	Relationship
_____	_____	_____
_____	_____	_____

3. Do you have any related parties* who maintain accounts with CGS MY? Yes No
 If yes please provide the following details:

* Related parties include spouse, partner, partnership, partner's spouse and corporations over which you exercise control.

You are deemed to exercise "control" over a company / corporation if you or your spouse severally or jointly:

- (a) hold, directly or indirectly, more than 50% of the shares of the corporation;
- (b) have the power to appoint, or cause to be appointed, a majority of the directors of the corporation; or
- (c) has the power to make, or cause to be made, decisions in respect of the business or administration of the corporation and to give effect to such decisions or cause such decisions to be effected

Name of Person	Relationship	Passport / NRIC No.
_____	_____	_____
_____	_____	_____
_____	_____	_____

Name of Corporation	Name of person having controlling interest	% of Shareholding	Board Representation	Position Held
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____
_____	_____	_____	_____	_____

(Please attach details if space is insufficient)

4. Are you a guarantor for any accounts held in CGS MY or other subsidiaries of CGS MY? Yes No
 If yes, please provide the following details:

Account Name	Date of Guarantee	Account No.	Amount Guaranteed
_____	_____	_____	_____
_____	_____	_____	_____

I. POLITICALLY EXPOSED PERSON (“PEP”)

1. Are you a PEP⁽¹⁾? Yes No
 If yes, please elaborate _____ Position Held : _____ No of Year(s): _____

2. Are you a family member(s)⁽²⁾ / or close associates⁽³⁾ of a PEP? Yes No
 If yes, please elaborate _____
 Name of PEP: _____ Relationship : _____
 Position Held : _____ NRIC/Passport No.: _____

⁽¹⁾ 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).

⁽²⁾ 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).

⁽³⁾ 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.

J. COMMON REPORTING STANDARD (“CRS”) & FOREIGN ACCOUNT TAX COMPLIANCE ACT (“FATCA”)

Under CRS and FATCA, CGS MY 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 MY 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.

References to the definitions used in this section are on page 10

Part 1 : Identification of Account Holder

Please declare your Tax Residency status:

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

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)
1. _____	_____	_____
2. _____	_____	_____
3. _____	_____	_____
4. _____	_____	_____

For U.S Person ⁽¹⁾, please fill up W-9 Form. (⁽¹⁾ U.S Person refers to citizen or resident of the United States or holds a US 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 selected do not require the TIN to be disclosed)

For Reason B, please explain why the Account Holder is unable to obtain a TIN or equivalent number:

1. _____
 2. _____
 3. _____
 4. _____

K. STANDING CREDITING INSTRUCTION

I hereby request that all payments due to me, in accordance to the type of trading account(s) that I have with CGS MY, be paid to me in the following manner:

- be credited directly into my trust account maintained with CGS MY and I agree that CGS MY shall have the absolute discretion to determine whether interest, if any, (applicable for Conventional Broking only) is to be paid to me. Any withdrawals from my trust account shall be credited directly into my designated bank account, as specified below.
- be credited directly into my designated bank account as specified below.

Designated Bank Account (Account Holder must be the sole applicant. Joint Account is not allowed)

Bank Name _____ Savings Account Current Account
 Account Number _____

In consideration of CGS MY agreeing to this request, I hereby agree:

1. to refund to CGS MY of any payments wrongly made to me or wrongly credited into my trust account maintained with CGS MY and/or the above mentioned bank account;
2. not to hold CGS MY responsible for any losses arising thereof and undertake to indemnify CGS MY at all times against all claims, losses or expenses incurred by CGS MY in connection with this instruction; and
3. the above payment instruction shall remain in force until further written notice is provided by me.

CGS MY in its sole and absolute discretion shall be entitled to vary any of the above mode or manner of payment without prior written notice to me.

L. INSTRUCTIONS TO RECEIVE CONTRACT STATEMENTS VIA EMAIL

- I hereby consent to receive my daily and monthly statements, invoices (which may be incorporated and issued as part of the daily contract statements), or any other statements or notifications ("**statements/notifications**") that may be made available to me by CGS MY in electronic form and to be delivered to my email address as provided in Section B and which as may be updated from time to time in CGS MY's record. I agree for CGS MY to adopt an alternative mode of delivery as may be determined by CGS MY in issuing and delivering the statements/notifications in the event of a system failure.

I also accept and assume the inherent risk associated in receiving the above statements/notifications electronically. I will not make any claims against CGSI Group (as defined below), their respective directors, employees, agents or representatives or hold CGSI Group, their respective employees, agents or representatives 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 CGS MY 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 CGS MY.

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

M. CONSENT REQUIRED RELATING TO YOUR SECURITIES ACCOUNT INFORMATION

Tick	Signature

- a) I hereby give my consent to the disclosure by Bursa Malaysia Depository Sdn. Bhd. ("**Bursa Depository**") to CGS MY and to such agents, service providers and sub-contractors of CGS MY, as notified by CGS MY to Bursa Depository from time to time, any and all information or documents relating to myself and my affairs and in particular, relating to my securities account(s). This consent shall be valid and will remain in full force unless it has been subsequently revoked in writing by me. I release Bursa Depository from any loss or liability I may suffer as a result of any act, statement or omission that was done in good faith by Bursa Depository.
- b) If the data provided by Bursa Depository differs from any existing data retained by CGS MY, I hereby consent for CGS MY to update the existing information relating to me and my Account.

N. DECLARATION BY APPLICANT

By signing this Account Application Form, I hereby declare/agree/undertake that I have read and fully understood the full contents of this Account Application Form and that:

1. For all accounts other than Margin & Margin Lite, I confirm I am not under eighteen (18) years of age. For Margin & Margin Lite trading accounts, I confirm I am not under twenty-one (21) years of age;
2. I am not 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 jurisdiction;
3. I acknowledge and agree that CGS MY may retain, for the benefit of CGS MY and without any obligation to account to me, any interest/gain or hibah/return CGS MY receives from my monies deposited in the Trust Account / Client's account (the "**Client's Monies**"). I further consent to CGS MY withdrawing the Client's Monies and any interest/gain or hibah/return received on the Client's Monies from the Trust Account / Client's account, to the extent permitted by applicable laws, including but not limited to paying out such interest/gain or hibah/return. CGS MY may in its sole and absolute discretion, taking into account any withholding tax and any administrative expenses incurred by CGS MY in maintaining the Trust Account / Client's account, pay any interest/gain or hibah/return received on the Client's Monies to me. I agree and acknowledge that any interest/gain or hibah/return by CGS MY to me may be less than that received by CGS MY;

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

4. Pursuant to Rule 5.15 (8) and Rule 5.15 (9) of the Rules of Bursa Malaysia Securities Berhad, I do solemnly declare that the dealings in securities in respect of my trading account are/shall be carried out for me as principal;
5. 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;
6. I am fully aware of and understand the relevant laws, rules and regulations relating to the services provided by CGS MY to me, including those on trading and dealing of securities;
7. I hereby authorize you or your representative to obtain information relating to this application from any source;

8. I confirm that the CGS MY or its representative is authorized 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 CGS MY may in its sole discretion deem appropriate and to provide to such aforesaid party(s) with the required information requested to enable the CGS MY 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 CGS MY for the purpose of the consideration of this application and thereafter if this application is approved for the purposes of the grant and/or continued maintenance of the facility/account; and/or recovery of debts due and payable under the facility/account; and/or any purpose related to or in connection with the facility/account applied for; and/or for any other purpose that is required or permitted by any law, regulations, guidelines and/or relevant regulatory authorities;
9. I shall comply with CGS MY's requirements in respect of my account application and CGS MY shall reserve the right to reject my account application at its sole discretion without any reason whatsoever;
10. **DISCLOSURE TO THIRD PARTIES FOR STRATEGIC ALLIANCES, MARKETING AND PROMOTIONAL PURPOSES**
I consent to my personal data and/or any of our directors, individual shareholders, officers, personnel, individual guarantor, security provider and/or other person, individual, and/or directors, individual shareholders, officers & personnel of any entity related to and/or associated with me to be collected, used, disclosed and/or processed by CGS MY in accordance with the General Terms & Conditions and Risk Disclosure Statement, provided always that **disclosure for cross selling purposes shall not be effected if such disclosure is objected by me** by writing to CGS MY at the following address (which may be changed by CGS MY from time to time by notice to us): Level 12, Menara Aras Raya, No. 11, Jalan Raja Laut, 50350 Kuala Lumpur, Wilayah Persekutuan. (Attention to Client Services).
11. I hereby acknowledge that I have accessed and/or read:
(a) the Privacy Notice issued by CGS MY (which is available at all branches as well as at the CGS iTrade website at itrade.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 or has otherwise been made available to me); and confirm my agreement to the same.
12. 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 additions or amendments that may be made by CGS MY from time to time;
13. I also acknowledge that I have received, read, understood the contents of CGS MY's General Terms & Conditions, and Risk Disclosure Statement for Securities, and agree to be bound by them or such additional amendments or terms and conditions as may be made from time to time;
14. I acknowledge and consent for CGS MY and its related corporations (as defined under the Companies Act 2016)(collectively "**CGSI Group**") to directly or indirectly share or provide any information contained herein, my information and any Reportable Account(s) (as defined in Section Q) with any domestic or overseas regulators or tax authorities, including but not limited to those in the country/jurisdiction in which this account(s) is/are maintained and exchanged with authorities of another country/jurisdiction or countries/jurisdictions in which the Account Holder may be resident for tax purposes or where necessary to establish my tax liability in any relevant jurisdiction ;
15. I hereby confirm the information provided in this application and in relation to this application is true, accurate and complete and that I have not willfully withheld any facts;

I certify that I am the Account Holder (as defined in Section Q) of the account(s) and I declare that all statements made in this declaration are to the best of my knowledge and belief, correct and complete;

I agree and undertake to sign and/or deliver to CGSI Group additional information, documents and/or forms, for the purposes of 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;
16. If there is a change in any circumstances affecting the tax residence of the Applicant or change in information provided herein or which I have provided to CGS MY in relation to this application, I agree and undertake to notify CGS MY of such changes in a timely manner (which in any case, within 30 calendar days of any its occurrence) and provide any information or suitably updated self-certification requested by CGS MY; and
17. I hereby consent for my signature below to be used as the specimen signatures for all communications, instructions and transactions requiring my signature.

Signature of Applicant

Name:

New NRIC/Passport No./Nationality:

Date:

Signature of Dealer's Representative / Witness / Notary Public

Name:

New NRIC/Passport No./Nationality:

Date:

O. FOREIGN CURRENCY ASSET BY RESIDENT

(This Declaration by Resident is mandatory and must be completed for foreign currency asset under the Foreign Exchange Notices as set out below).

I hereby declare that for foreign exchange notices purposes:

Tick	Signature

Currently I do NOT have any domestic Ringgit borrowing/financingⁱ.
 *For foreign currency asset offshoreⁱⁱ and foreign currency asset onshore^{iv} – out of a joint account opened/maintained by two or more individuals, the applicant is required to declare for or on behalf of other joint account holder(s). The applicant is required to declare its compliance with the applicable threshold below in the event any one of the joint account holders has domestic Ringgit borrowing/financing.
 *However, in the event of any margin application has been approved and accepted by me, I would be deemed to have domestic Ringgit borrowing/financing by virtue of maintaining a margin financing account.

Tick	Signature

Currently I have domestic Ringgit borrowing/financing and hereby confirm that my total foreign currency asset offshoreⁱⁱ and foreign currency asset onshore^{iv} including Demand Draft (“DD”) / Telegraphic Transfer (“TT”) / Dual Currency Investment (“DCI”) / Foreign Currency Account (“FCA”) / Foreign Currency (“FC”) Fixed Deposit/ FC denominated Structured Investment/ any FC denominated deposits or investments application complies with the following thresholds:

	Applicable Threshold
	For resident^v individual, sole proprietorship and a general partnership
Source of the fund for foreign currency asset including DD/TT/ DCI/ FCA/ FC Fixed Deposit/ FC denominated Structured Investment/any FC denominated deposits or investments	Up to RM1 million equivalents [@] per calendar year using funds sourced from the aggregate of: <ul style="list-style-type: none"> • conversion of Ringgit into Foreign Currency; • Trade FCA; and • swapping of Ringgit-denominated financial assets in Malaysia for a financial asset outside Malaysia. @Computed in aggregate based on Resident Individual, sole proprietorship and General Partnership's investment in Foreign Currency Asset.

Tick	Signature

Currently I have domestic Ringgit borrowing/financing and my/our total foreign currency asset (including DD/TT/ DCI/ FCA/ FC Fixed Deposit/ FC denominated Structured Investment/any FC denominated deposits or investments application) exceeds the above applicable threshold.

I hereby provide you with the relevant approval letter from Bank Negara Malaysia (“**BNM**”) to effect the DD/TT/ DCI/ FCA/ FC Fixed Deposit/ FC denominated Structured Investment/ any FC denominated deposits or investments application[#]. I understand that CGS International Securities Malaysia Sdn. Bhd. (formerly known as CGS-CIMB Securities Sdn Bhd) may decline or delay any foreign currency asset that does not fulfil any conditions set in BNM’s approval letter.

I further undertake to seek specific approval from BNM in the event my foreign currency asset offshore exceed the limits set out above and I further undertake to promptly deliver to CGS International Securities Malaysia Sdn. Bhd. (formerly known as CGS-CIMB Securities Sdn. Bhd.) a copy of the specific approval duly granted to me by BNM.

I further declare that CGS International Securities Malaysia Sdn. Bhd. (formerly known as CGS-CIMB Securities Sdn. Bhd.) is not responsible to advise the Applicant of:

- Any exchange control or similar restriction which may be imposed by the local laws or regulations in the country in which payment is to be effected and shall not be liable for any loss or delay as a result of the payment being subject to such control and restriction. Applicant is strongly advised to make his own inquiries.
- Any charges which may be imposed by overseas bank and shall not liable if such information cannot be provided.

I make this declaration in full knowledge and awareness of reliance placed by CGS International Securities Malaysia Sdn. Bhd. (formerly known as CGS-CIMB Securities Sdn. Bhd.) on such declaration as a basis to undertake any foreign currency asset on my behalf.

I undertake to notify CGS International Securities Malaysia Sdn. Bhd. (formerly known as CGS-CIMB Securities Sdn. Bhd.) immediately in writing of any changes in the declaration given herein.

Signature of Applicant

Name:
 NRIC/Passport No.:
 Designation:
 Date (Mandatory):

#Acknowledgement Receipt of the BNM’s Approval Letter
Officer / Relationship Manager
Date:

P. DEFINITION FOR FOREIGN CURRENCY ASSET BY RESIDENT

- i. "Domestic Ringgit Borrowing/financing" means:
- (a) any Borrowing/financing in Ringgit obtained by a Resident from another Resident; or
 - (b) any obligation considered or deemed as Domestic Ringgit Borrowing/financing under any of the FE Notices.

Note:

For purposes of determining the Domestic Ringgit Borrowing/financing status of a Resident Entity—

- (a) the Resident Entity is deemed to have a Domestic Ringgit Borrowing/financing when another Resident Entity with Parent-Subsidiary Relationship has a Domestic Ringgit Borrowing/financing; and
 - (b) the following shall not be considered as Domestic Ringgit Borrowing/financing—
 - (i) a Borrowing/financing obtained from another Resident Entity with Parent-Subsidiary Relationship;
 - (ii) a Borrowing/financing obtained from its Direct Shareholder; or
 - (iii) any facility including credit facility or financing facility which is used for Sundry Expenses or Employees' Expenses only.
- "Sundry Expenses" refers to small and infrequent expenses for office supplies (e.g. stationaries), ancillary services (e.g. software and online subscription) and other minor expenses to facilitate daily business operation.
 - "Employees' Expenses" refers to business-related expenses which may include, but not limited to, travel (e.g. lodging and transportation), entertainment, health, insurance, takaful and other employees' expenses, excluding investment.
 - "Borrowing/financing" refers to the definition of "Borrowing/financing" below.

"Borrowing/financing" means

- (a) any utilised or unutilised credit facility or financing facility;
- (b) any utilised or unutilised trade financing facility, including but not limited to, trade guarantee or guarantee for payment of goods;
- (c) redeemable preference share or Islamic redeemable preference share; or
- (d) Corporate Bond or Sukuk.

Notwithstanding the above, the following are excluded from the definition of Borrowing/financing—

- (i) a trade credit term extended by a supplier for any goods or services;
- (ii) a credit limit that a Licensed Onshore Bank ("LOB") apportions for its client to undertake a Forward Basis transaction, excluding a transaction that involves—
 - (A) exchanging or swapping of Ringgit or Foreign Currency debt for another Foreign Currency debt; or
 - (B) exchanging of Foreign Currency debt for a Ringgit debt;
- (iii) a Financial Guarantee or Non-Financial Guarantee;
- (iv) an operational leasing facility;
- (v) a factoring facility without recourse;
- (vi) a credit card or charge card facility obtained by an Individual from a Resident and used for payment for retail goods or services only; or
- (vii) a credit facility or financing facility obtained by a Resident Individual from a Resident to purchase one (1) residential property and one (1) vehicle.

Note: For clarity purposes, the transactions in paragraphs (ii)(A) and (ii)(B) shall be considered as Borrowing/financing.

- ii. "Foreign Currency Asset Offshore" means –
- (a) a financial asset in Malaysia swapped for a financial asset in a Labuan Entity or outside Malaysia;
 - (b) Foreign Currency Borrowing/financing given to a Non-Resident;
 - (c) working capital arising from the set up of any business arrangement outside Malaysia (including a joint venture project where no Entity is created or established);
 - (d) deposit in a Foreign Currency Account maintained with a Labuan Entity or outside Malaysia excluding reasonable amount of deposit for education, employment or migration outside Malaysia; or
 - (e) Foreign Currency-denominated—
 - (i) asset (tangible or intangible) offered by a Non-Resident or any person whose residency cannot be determined;
 - (ii) asset (tangible or intangible) in or maintained with a Labuan Entity, or outside Malaysia;
 - (iii) Financial Instrument or Islamic Financial Instrument (excluding Exchange Rate Derivatives) without Firm Commitment offered on a Specified Exchange under the CMSA outside Malaysia undertaken by a Resident through a Resident futures broker; or
 - (iv) Financial Instrument or Islamic Financial Instrument (excluding Exchange Rate Derivatives) without Firm Commitment issued or offered by a Non-Resident.
- iii. "Direct Investment Abroad" means –
- (a) an investment in Foreign Currency Asset Offshore by a Resident resulting in at least 10% equity ownership or control of a Non-Resident Entity outside Malaysia or a Labuan Entity;
 - (b) an inter-company lending by a Resident Entity to a Non-Resident Entity within the Resident Entity's Group where the Non-Resident Entity is outside Malaysia or a Labuan Entity; or
 - (c) a capital expenditure by a Resident investor in an unincorporated Entity outside Malaysia or a project outside Malaysia by an agreement with no establishment created, where the Resident investor—
 - (i) contributes capital of at least 10% of the cost of the project;
 - (ii) is entitled to at least 10% of profits from the unincorporated Entity or project; or
 - (iii) has management control of the unincorporated Entity or project.
- iv. "Foreign currency asset onshore" means
- (a) Foreign Currency-denominated securities or Islamic securities offered in Malaysia by a Resident as approved in writing by the Bank;
 - (b) Foreign Currency-denominated Financial Instrument or Islamic Financial Instrument offered in Malaysia by a Resident as approved in writing by the Bank excluding a derivative or Islamic derivative transaction entered with Firm Commitment;
 - (c) Deposit in Investment FCA with a LOB or an approved Financial Institution as specified in Notice 3; or
 - (d) Any instrument offered by a LOB with Foreign Currency delivery at maturity².

² Such as dual-currency investment.

- v. "Resident" means –
- (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;
 - (c) a body corporate incorporated or established, or registered with or approved by any authority, in Malaysia;
 - (d) an unincorporated body registered with or approved by any authority in Malaysia; or
 - (e) The Government or any state Government.
- vi. "Foreign Currency Asset" means Foreign Currency Asset Offshore and Foreign Currency Asset Onshore.

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. CUSTODIAL INSTITUTION

The term “Custodial Institution” means any Entity that holds, as a substantial portion of its business, Financial Assets for the account of others. This is where the Entity’s gross income attributable to the holding of Financial Assets and related financial services equals or exceeds 20% of the Entity’s gross income during the shorter of: (i) the three-year period that ends on 31 December (or the final day of a non-calendar year accounting period) prior to the year in which the determination is being made; or (ii) the period during which the Entity has been in existence.

4. DEPOSITORY INSTITUTION

The term “Depository Institution” means any Entity that accepts deposits in the ordinary course of a banking or similar business

5. ENTITY

Means a legal person or a legal arrangement, such as a corporation, partnership, trust or foundation.

6. FATCA

FATCA stands for the U.S. provisions commonly known as the Foreign Account Tax Compliance Act, which were enacted into U.S. law as part of the Hiring Incentives to Restore Employment (HIRE) Act on March 18, 2010. FATCA creates a new information reporting and withholding regime for payments made to certain non-U.S. financial institutions and other non-U.S. entities.

7. 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.

8. FINANCIAL INSTITUTION

A financial institution generally means an entity that is a Depository Institution, Custodial Institution, Investment Entity, or an insurance company (or holding company of an insurance company) that issues cash value insurance or annuity contracts.

9. INVESTMENT ENTITY

The term “Investment Entity” includes two types of Entities:

- i) an Entity that primarily conducts as a business one or more of the following activities or operations for or on behalf of a client:
 - Trading in money market instruments (cheques, bills, certificates of deposit, derivatives, etc.); foreign exchange; exchange, interest rate and index instruments; transferable securities; or commodity futures trading;
 - Individual and collective portfolio management; or
 - Otherwise investing, administering, or managing Financial Assets or money on behalf of other persons.

Such activities or operations do not include rendering non-binding investment advice to a client.

- ii) “The second type of “Investment Entity” (“Investment Entity managed by another Financial Institution”) is any Entity the gross income of which is primarily attributable to investing, reinvesting, or trading in Financial Assets where the Entity is managed by another Entity that is a Depository Institution, a Custodial Institution, a Specified Insurance Company, or the first type of Investment Entity

10. PARTICIPATING JURISDICTION

Means a jurisdiction with which an agreement is in place pursuant to which it will provide the information set out in the CRS.

11. PASSIVE Non-Financial Entity (“NFE”)

Means any:

- i) NFE that is not an Active NFE; and
- ii) Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.
- iii) Refers to entities, organisations, companies or special purpose vehicles of private equity funds with non-active trading or business activities. It derives its income from passive assets and more than 50% of the entity’s gross income are passive income. Examples of passive income are interests, dividends, royalties and rental income.

12. 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.

13. 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.

14. 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.

15. 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.

16. 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/>

17. U.S. PERSON OR UNITED STATES PERSON

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

- (a) a citizen or resident of the United States;
- (b) a United States partnership;
- (c) a United States corporation;
- (d) any estate (other than an estate the income of which, from sources without the United States which is not effectively connected with the conduct of a trade or business within the United States, is not includible in gross income under the Internal Revenue Code); and
- (e) any trust if:
 - (i) a court within the United States is able to exercise primary supervision over the administration of the trust; and
 - (ii) one or more United States persons have the authority to control all substantial decisions of the trust.

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.

R. TO BE COMPLETED BY DEALER'S REPRESENTATIVE (DR)

Name of DR :	Date Received :
BrokerLink Code :	Checked By /Date :

Type Of Account	Direct Trading Account	Securitized Account – Direct	Securitized Account – Nominee	Clicks Trader
Proposed Trading Limit (RM)				

Sales Person :	Day Trade Facility : Yes / No <i>*Please circle where applicable</i>	Phone Rate : Online Rate :
Staff Referral : <i>(Please indicate name and staff ID if applicable)</i>		
Event : <i>(Please indicate event code if applicable)</i>		

Additional Information (Mandatory)	
How do I know the Applicant / Name of Introducer	: _____
No. of years I know the Applicant	: _____ year(s)
Existing trading limit with other broker, if applicable	: RM _____ Name of Broker : _____
Trading experience with client	: _____
Other relevant information to justify the proposed limit	: _____
Estimated value of cash / shares to be deposited	: Cash : RM _____ Shares : RM _____
Please provide counter & quantity if any	: _____

I hereby;

- request CGS MY to allow the Applicant to open a cash trading account and/or margin trading account/account-i and/or margin lite trading account/account-i with the Company.
- 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.
- confirm that signature on page 6 is that of the Applicant and I am aware that the Applicant is required to comply with all the terms and conditions accompanying this application form which CGS MY may vary from time to time at its absolute discretion.
- agree to allow the Applicant to use the electronic trading facilities. I confirm that the Applicant is fully aware and understands the processes, procedures and risks involved in using the services and executing transactions through the electronic trading facilities and the relevant laws, rules and regulations in relation to the trading and dealing of securities.
- undertake to indemnify CGS MY against any losses, damages, debts, charges and all other costs and expenses whatsoever incurred or suffered or which CGS MY may incur or suffer in relation to CGS MY opening the account of this Applicant and the subsequent operation thereof and in connection with the provision of services and electronic trading facilities by CGS MY to the Applicant.

Dealer's Representative (DR)

Name:
NRIC No.:
Date:

S. FOR OFFICE USE ONLY

Senior Management – Delegated Authority's Approval Section for High Risk Client

Approval granted to open a trading account for the applicant

Name : _____ Signature : _____

Credit Management – Credit Assessment [Based on information provided by Applicant]

Recommended Trading Limit	RM	(Direct)	Approved Trading Limit	RM	(Direct)
	RM	(ST)		RM	(ST)
Recommended By / Date	:		Approved By / Date	:	
Limit Updated By / Date	:		Limit Checked By/Date	:	

Remarks :

Compliance

Verified By / Date :