











i. Would you like to appoint and empower your Dealer's Representative (DR) / Futures Broker Representative (FBR) (inclusive of Associated DRs/FBRs and Trading Clerk of DRs/FBRs) / Wealth Advisor (WA) to manage administrative functions in relation to your account(s)?  Yes  No

Please be aware that choosing a representative may give rise to risks and legal consequences, which you must be prepared to accept. You SHOULD NOT TICK "YES" if you have not been informed of or do not fully understand these consequences. You are advised to seek competent legal advice regarding your rights and obligations, and to clarify any doubts you may have before naming your representative(s)

### 8. DECLARATIONS OF RESIDENCE AND DOMESTIC CREDIT FACILITY

	Individual Applicant	Joint Applicant (Applicable only to Investment Account)
Are you a Malaysian Resident (For Exchange Control) <i>For declaration as Malaysia resident I solemnly declare that I shall consent to abide with and be bound by the provision of the Exchange Control Act 1953 and Bank Negara Foreign Exchange Administrative Policy and any amendments from time to time with regards to any transaction or payments to or from my relevant trading account(s). Refer to T&amp;C for further details</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Do you have Domestic Ringgit Borrowing as defined under BNM FEP rules? <i>(For further details, refer <a href="https://www.bnm.gov.my/fep">https://www.bnm.gov.my/fep</a> for DRM definition under BNM FEP rules)</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

### 9. FATCA IDENTITY DECLARATION

	Individual Applicant	Joint Applicant (Applicable only to Investment Account)
1. Born in the United States (U.S)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. U.S citizen/tax residency (e.g. US passport/Green Card holder/U.S. taxpayer etc.)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. U.S Taxpayer Identification Number (TIN)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
4. U.S registered and/or mailing address	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
5. U.S contact number (e.g. home, work, mobile, fax numbers)	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
6. Standing instructions to pay amounts from UOB Kay Hian account to an account maintained in the U.S	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
7. Power of Attorney of Signatory granted to a person in the U.S.	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

### 10. CRS DECLARATION OF TAX RESIDENCY

This section allows you to declare your tax residence under the Organisation for Economic Co-operation and Development (OECD) Common Reporting Standard (CRS).

Are you a tax resident of Malaysia and/or any other jurisdiction(s) outside of Malaysia?	Main Applicant	Joint Applicant
	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Country	Taxpayer Identification Number ("TIN")	
1.		
2.		
3.		
4.		
5.		

If a TIN is unavailable, please tick (✓) the appropriate reason.

- Reason A       Reason B  
 Reason C (i)       Reason C (ii)  
 Reason C (iii)       Reason C (iv)  
 Others: please specify: \_\_\_\_\_

**Reason A** - The country/jurisdiction where the Account Holder is resident does not issue TINs to its residents

**Reason B** - No TIN is required. (Note: Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction)

**Reason C** - The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN if you have selected this reason:

- i. No tax obligation, thereafter country does not issue TIN;  
 ii. Retiree – country does not issue TIN;  
 iii. Recently, became tax resident/citizen, therefore, no TIN issued yet;  
 iv. Exempted from tax, therefore country does not issue TIN; OR

**Others (please specify):**

## 11. DECLARATIONS AND ACKNOWLEDGEMENT

Securities / Derivatives Account

I hereby declare and warrant that the information given in this application submitted to you is complete, true and accurate and that I have not wilfully withheld any material fact / information and I have read and understood all covenants, undertakings, terms and conditions as shown in UOB Kay Hian (M) Sdn. Bhd. ("UOBKH") home page (www.utrade.com.my) and I am aware that they may be updated from time to time at UOBKH discretion without further notice to me to govern my trading account and it shall be my own sole responsibility to keep myself aware of all such updates and changes and I agree to be bound by them entirely. I hereby confirm that I have read each and every DECLARATION, the RISK DISCLOSURE STATEMENTS, the TERMS AND CONDITIONS as well as the COVENANTS and UNDERTAKING contained therein and understand its contents and its implications which have been duly explained to me in detail by UOBKH.

Investment Account

I/We hereby declare and warrant that the information given in this application submitted to you is complete, true and accurate and that I/we have not wilfully withheld any material fact / information and I/we have read and understood all covenants, undertakings, terms and conditions as shown in UOB Kay Hian (M) Sdn. Bhd. ("UOBKH") home page (www.utrade.com.my) and/or UOB Kay Hian Wealth Advisors Sdn Bhd ("UOBKHW") home page (www.uwealth.com.my) and I/we am/are aware that they may be updated from time to time at UOBKH and/or UOBKHW's discretion without further notice to me/us to govern my/our investment account and it shall be my/our own sole responsibility to keep myself/ourselves aware of all such updates and changes and I/we agree to be bound by them entirely. I /We hereby confirm that I/we have read each and every DECLARATION, the RISK DISCLOSURE STATEMENTS, the TERMS AND CONDITIONS as well as the COVENANTS and UNDERTAKING contained therein and understand its contents and its implications which have been duly explained to me/us in detail by UOBKH and/or UOBKHW. I/We am/are aware that UOBKH and/or UOBKHW uses a nominee system. I/We have read and accepted the privacy policy and agree with the processing of my/our personal data. I/We hereby instruct and authorise you to carry out my/our instructions as indicated on this form. I/We agree that you may transfer and disclose any information relating to me/us and my/our account, which is necessary for carrying out these services and/or for compliance, to relevant entities involved in unlisted capital market / insurance, Securities Commission and Bank Negara Malaysia. I/We agree and acknowledge that the value of the Investment(s) may be subjected to various risks including but not limited to market risk and by instructing you in respect of any investments on my/our behalf, I/we shall not hold UOBKH and/or UOBKHW responsible for any losses that I/we may suffer from performance of the investment. I/We declare that I/we am/are not undischarged bankrupt(s), have not committed any act of bankruptcy within the past 12 months and no bankruptcy order has been made against me/us or is/are pending against me/us during this period. I/We declare that I/we am/are not a U.S. Person and in the event of a change in my/our status where I/we become a U.S. Person, I/we shall notify UOBKH and/or UOBKHW of the change. If any information is found false or misleading, UOBKH and/or UOBKHW may reject any of my/our application and/or instructions including but not limited to, any transactional-related activities. Unless otherwise disclosed in writing, I/We hereby declare and warrant that I/We am/are the ultimate beneficial owner of this account and that no person other than myself/ourselves have or will have any interest in, influence or control over this account whatsoever.

Signed By:

<p>_____ Signature of Applicant</p>	<p>_____ Signature of Joint Applicant (Applicable only to Wealth account)</p>	<p>_____ Signature of Witness</p>
Name:	Name:	Name:
NRIC No:	NRIC No:	NRIC No:
Date:	Date:	Date:

## 12. TO BE COMPLETED BY DEALER'S REPRESENTATIVES/ LICENSED WEALTH ADVISOR / LICENSED FUND MANAGER

I) KNOW YOUR CLIENT POLICY	Individual Applicant	Joint Applicant <i>(Applicable only to Wealth Account)</i>
1. Have you met the Applicant through your personal contact / social networking? If no, how have you been acquainted with the Applicant?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Duration of time you have known the Applicant?	_____ Years	_____ Years
3. Have you had any previous dealings with the Applicant?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
4. Does the Applicant have good financial viability and trustworthiness?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
5. Have you sighted the original NRIC / Passport with the photocopied documents of the Applicant (Individual only)?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
6. Is the Applicant actively involved in any political activities or politically linked?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
<b>II) VULNERABLE CLIENT ASSESSMENT CRITERIA</b>		
1. Disabilities <sup>19</sup> – Does the Applicant have any disabilities that could impact their decision making?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
2. Life Events – Has the applicant faced significant life events like unemployment or the death or permanent disability of the main breadwinner that caused temporary or long-term financial hardship?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
3. Financial Resilience – Does the applicant have a low ability to handle financial shock, such as being heavily in debt, having cash flow issues, or having no savings?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
4. Capability – Does the applicant have limited knowledge of financial matters, lack confidence in managing money, or have low skills in areas like literacy, language, or digital skills?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
5. Age <sup>20</sup> - Is the Applicant a senior citizen who may have limited technological skills?	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

