



**RHB Investment Bank Berhad** 19663-P  
 (A Participating Organisation of Bursa Malaysia Securities Berhad)  
 (A Trading Participant of Bursa Malaysia Derivatives Berhad)  
 Level 10, Tower One, RHB Centre, Jalan Tun Razak, 50400 Kuala Lumpur, Malaysia.  
 Tel : +603 9285 2233 Fax : +603 9284 7658

For Office Use Only	
Branch Code / Name	_____
Primary CIF No.	_____ Spouse CIF No. _____
Equities Acct No.	_____ CDS No. _____
P. Sub Acct No.	_____ DR Code _____
Derivatives Acct No.	_____ FBR Code _____
Date Opened	_____ Marketing Code _____

## ACCOUNT OPENING APPLICATION FORM - RETAIL

### GENERAL INFORMATION

Kindly read instructions below before completing the form.      Tick where applicable     \*Delete where not applicable

#### INSTRUCTIONS FOR COMPLETION OF APPLICATION FORM

1. Please write in BLOCK LETTERS.
2. All relevant information must be completed. Any field that is not applicable must be crossed and stated as N/A. Any amendment must be legible and should be countersigned by the Client and / or the Dealer's Representative ("DR") / Futures Broker's Representative ("FBR"), as the case may be.
3. Form that is incomplete, illegible or defaced in any way may result in the application being rejected.
4. Resident means a citizen of Malaysia (excluding a person who has obtained permanent resident status in a territory outside Malaysia and is residing outside Malaysia) or a non-citizen of Malaysia who has obtained permanent resident status in Malaysia and is residing in Malaysia.

Type of Investment (select whichever applicable) :      Equities / Structured Investment      Derivatives

Type of Account for Equities (select whichever applicable) :      Normal Account      Margin Account      Securities Borrowing and Lending (SBL)

Nominees Account      Others, please specify \_\_\_\_\_

Type of Application :      Individual Application (Single)      Individual Application (Joint)<sup>1</sup>      Corporate

**Note:-**

1. Joint Applicant is applicable only to Derivatives Trading.

#### A) INDIVIDUAL / CORPORATE DATA

Name [Grid]

(As per NRIC/Passport/Business Registration)

Salutation      Mr      Ms      En      Cik      Dr

Datuk      Dato'      Datin      Others, please specify \_\_\_\_\_

Nationality / Place of Incorporation      Malaysia(n)      Others: Country of Origin \_\_\_\_\_

New NRIC / Passport / Regist. No. Old NRIC No. [Grid]

Date of Birth / Incorporation [Grid]

Permanent / Registered Address<sup>2</sup>      Owned      Rented      Family Owned      Others, please specify \_\_\_\_\_

(As per NRIC / Business Registration) [Grid]     Postcode [Grid]

Correspondence Address<sup>2</sup>      Owned      Rented      Family Owned      Others, please specify \_\_\_\_\_

(If different from above) [Grid]     Postcode [Grid]

Contact No.     Home No. [Grid] - [Grid]     Facsimile No. [Grid] - [Grid]

Office No. [Grid] - [Grid]     Handphone [Grid] - [Grid]

Email<sup>3</sup> [Grid]

(One Only)

**Note:-**

2. If there are US addresses, the client is deemed a US Person.  
 3. Please refer to Section I.

## A) INDIVIDUAL / CORPORATE DATA (Continued)

Do you have a	US Identification No.	<input type="checkbox"/> No	<input type="checkbox"/> Yes, please provide ID. No. _____
	US Place of Birth	<input type="checkbox"/> No	<input type="checkbox"/> Yes, please specify _____
	US Phone No.	<input type="checkbox"/> No	<input type="checkbox"/> Yes, please specify _____
	US Address <sup>2</sup>	<input type="checkbox"/> No	<input type="checkbox"/> Yes, please specify _____
	Standing Instruction for funds transfer to a US Account	<input type="checkbox"/> No	<input type="checkbox"/> Yes, please specify _____
	Power of Attorney or Signatory with the US Address	<input type="checkbox"/> No	<input type="checkbox"/> Yes, please specify _____
	US "In-Care-Of" or "Hold Mail" Address	<input type="checkbox"/> No	<input type="checkbox"/> Yes, please specify _____

**Note:-**

2. If there are US addresses, the client is deemed a US Person.

## B) FOR INDIVIDUAL ONLY

### 1) Personal Data

Gender	<input type="checkbox"/> Male	<input type="checkbox"/> Female		
Race	<input type="checkbox"/> Malay	<input type="checkbox"/> Chinese	<input type="checkbox"/> Indian	<input type="checkbox"/> Others, please specify _____
Bumi Status	<input type="checkbox"/> Yes	<input type="checkbox"/> No		
Malaysian Permanent Resident (For foreigners only)	<input type="checkbox"/> Yes	<input type="checkbox"/> No		
Marital Status	<input type="checkbox"/> Single	<input type="checkbox"/> Married	<input type="checkbox"/> Divorced	<input type="checkbox"/> Widowed
No. of Dependant(s)	<input type="text" value=""/>	<input type="text" value=""/>		
Employment / Business	<input type="checkbox"/> Own Business	<input type="checkbox"/> Employed (Contract / Permanent)	<input type="checkbox"/> Others, please specify _____	
Name of Employer / Company	<input type="text"/>			
Nature of Business	<input type="checkbox"/> Education	<input type="checkbox"/> Financial Intermediation, please specify _____		
	<input type="checkbox"/> Telecommunications	<input type="checkbox"/> Manufacturing, please specify _____		
	<input type="checkbox"/> Real Estate Activities	<input type="checkbox"/> Construction, please specify _____		
	<input type="checkbox"/> Hotel & Restaurant	<input type="checkbox"/> Transportation, please specify _____		
	<input type="checkbox"/> Others, please specify _____			
Designation	<input type="text"/>			Years in Employment / Business <input type="text" value=""/>
Address of Employer / Company	<input type="text"/>			
				Postcode <input type="text"/>
Current Annual Income	<input type="checkbox"/> RM20,000 and below	<input type="checkbox"/> RM20,001 – RM40,000	<input type="checkbox"/> RM40,001 – RM60,000	<input type="checkbox"/> RM60,001 – RM100,000
	<input type="checkbox"/> RM100,001 – RM250,000	<input type="checkbox"/> RM250,001 – RM500,000	<input type="checkbox"/> RM500,001 – RM1,000,000	<input type="checkbox"/> Above RM1,000,000
Estimated Net Worth	<input type="checkbox"/> RM50,000 and below	<input type="checkbox"/> RM50,001 – RM100,000	<input type="checkbox"/> RM100,001 – RM200,000	<input type="checkbox"/> RM200,001 – RM500,000
	<input type="checkbox"/> RM500,001 – RM1,000,000	<input type="checkbox"/> RM1,000,001 - RM3,000,000	<input type="checkbox"/> Above RM3,000,000	
Estimated amount of funds to be invested at RHB Investment Bank ("RHBIB") (optional)	<input type="text"/>			
Source of Funds	<input type="checkbox"/> Employment	<input type="checkbox"/> Business	<input type="checkbox"/> Investment Returns	<input type="checkbox"/> Inheritance
	<input type="checkbox"/> Others, please specify _____			

### 2) Spouse's Data

Name	<input type="text"/>															
(As per NRIC/Passport)	<input type="text"/>															
Salutation	<input type="checkbox"/> Mr	<input type="checkbox"/> Ms	<input type="checkbox"/> En	<input type="checkbox"/> Cik	<input type="checkbox"/> Dr											
	<input type="checkbox"/> Datuk	<input type="checkbox"/> Dato'	<input type="checkbox"/> Datin	<input type="checkbox"/> Others, please specify _____												
Nationality	<input type="checkbox"/> Malaysian	<input type="checkbox"/> Others: Country of Origin _____														
New NRIC / Passport	<input type="text"/>															
	Old NRIC No. <input type="text"/>															
Malaysian Permanent Resident (For foreigners only)	<input type="checkbox"/> Yes	<input type="checkbox"/> No														



## E) INVESTMENT / TRADING OBJECTIVES AND PROFILE

- 1) Investment / Trading Objectives  Long Term  Medium Term  Short Term  Speculating  
 Income  Hedging
- 2) Investment / Trading Experience (a) In Equities   Years (c) In Structured Products   Years  
 (b) In Derivatives   Years

## F) RELATED PARTIES

1. Are you related to any staff / director / DR / FBR of RHBIB?  Yes (Kindly provide information below\*)  No

Name of Related Staff / Director / DR / FBR

Relationship

- i. \_\_\_\_\_  
 ii. \_\_\_\_\_  
 iii. \_\_\_\_\_

2. Do any related persons / corporations maintain accounts with RHBIB?  Yes (Kindly provide information below\*)  No

(Accounts include individual account, joint account and / or corporate account. Related persons include spouse, children, partner, partner's spouse, partner's children, related or associated corporation where you or your spouse or your children or partner or partner's spouse and children have direct or indirect equity holdings of more than 20% and person acting in concert with such related / single persons. Corporations are deemed related where a corporation is the holding company or subsidiary of another corporation or is a subsidiary of the holding company of another corporation. Person acting in concert with such related / single persons is deemed related when a person has entered into an agreement or arrangement for control purpose to (i) jointly acquire interest in shares of corporation for control purpose; (ii) jointly exercise control over corporation by means of interest in shares already held.)

Name of Related Person / Corporation

Relationship

Account No.

- i. \_\_\_\_\_  
 ii. \_\_\_\_\_  
 iii. \_\_\_\_\_

3. Are you a guarantor for any account held in RHBIB or other subsidiaries of RHB Capital Berhad?  Yes (Kindly provide information below\*)  No

Name of Company

Account No.

- i. \_\_\_\_\_  
 ii. \_\_\_\_\_  
 iii. \_\_\_\_\_

4. Are you a director or employee of any futures brokerage firm, Futures Exchange or Clearing House?  Yes (Please provide approval from your Management / Company)  No

5. Any individual or company that has 15% or more financial interest in your company or anyone guaranteeing this account? (Applicable only to Corporate Clients)  Yes (Kindly provide information below\*)  No

Name

Relationship

- i. \_\_\_\_\_  
 ii. \_\_\_\_\_  
 iii. \_\_\_\_\_

6. Will you be authorising any person to place order(s) on your behalf?  Yes (Kindly request a sample Letter of Authorisation for completion)  No

7. Do you maintain any trading accounts with other brokers?  Yes (Please state broker's name, type of account and trading limit below)  No

Name of Broker

Type of Account

Trading Limit

- i. \_\_\_\_\_  
 ii. \_\_\_\_\_  
 iii. \_\_\_\_\_

# Please attach details in separate sheet if the space provided is insufficient.

## G) PAYMENT INSTRUCTIONS (For Equities Trading only)

In relation to payment instructions on all payments due to me / us, I / we would like to opt for the payment option below:

- By cheque and hereby authorise my / our DR of RHBIB to collect the said cheque(s) due to me / us from time to time.
- Automated Trust Payment (ATP)** Service where all nett sales proceeds and contra gains due to me / us will be credited into my / our **trust account** after deducting all outstanding charges, contra losses, etc. arising from transactions effected through my / our Equities Trading Account.

I / We hereby (i) Instruct RHBIB to pay into my / our trust account all nett sale proceeds and / or contra gains due to me / us after deducting all outstanding charges, contra losses, etc. arising from transactions effected through the above Equities Trading Account; (ii) Agree that the instruction shall continue to be in force until I / we expressly revoke the same by executing the Revocation Form or authorise my / our DR to revoke the same service on my / our behalf after my / our activation hereof, instructions of which shall be valid and binding on me / us without RHBIB having to first consult or confirm with me / us. However, RHBIB may in its absolute discretion terminate the ATP service at anytime and without assigning any reason(s); (iii) I / We further authorise my / our DR to execute on my / our behalf, from time to time but without revoking the ATP service, request(s) to RHBIB for the cheque payment of the sales proceeds for any sales contract either to be issued and sent to me / us directly or to be issued to me / us but collected by my / our DR on my / our behalf.

- Electronic Share Payment (ESP)** Service where all nett sales proceeds and contra gains due to me / us will be credited into my / our **designated bank account** after deducting all outstanding charges, contra losses, etc. arising from transactions effected through my / our Equities Trading Account.

I / We hereby (i) Instruct RHBIB to pay into my / our designated bank account all nett sale proceeds and / or contra gains due to me / us after deducting all outstanding charges, contra losses, etc. arising from transactions effected through the above Equities Trading Account; (ii) Agree that the instruction shall continue to be in force until I / we expressly revoke the same by executing the Revocation Form or authorise my / our DR to revoke the same service on my / our behalf after my / our activation hereof, instructions of which shall be valid and binding on me / us without RHBIB having to first consult or confirm with me / us. However, RHBIB may in its absolute discretion terminate the ESP service at anytime and without assigning any reason(s); (iii) I / We further authorise my / our DR to execute on my / our behalf, from time to time but without revoking the ESP service, request(s) to RHBIB for the cheque payment of the sales proceeds for any sales contract either to be issued and sent to me / us directly or to be issued to me / us but collected by my / our DR on my / our behalf; iv) Agree that in event the payment into my / our designated bank account cannot be effected due to unforeseen circumstances, RHBIB may credit the payment into my / our Trust account without RHBIB having to first consult or confirm with me / us.

In consideration of the abovementioned instruction and authorisation, I / we undertake and agree to indemnify RHBIB from and against all actions, claims, demands, losses, damages, costs, charges and / or expenses which RHBIB may sustain, incur and / or to be liable in consequence of, attributed to or arising from RHBIB performing the aforesaid instruction and authorisation or otherwise in relation thereto.

## H) BANK ACCOUNT DETAILS (FOR SETTLEMENT PURPOSES)

Bank Name	<input type="text"/>
Branch	<input type="text"/>
Account No.	<input type="text"/>
Account Name	<input type="text"/>
Account Type	<input type="checkbox"/> Savings Account <input type="checkbox"/> Current Account <input type="checkbox"/> Others, please specify _____

## I) DELIVERY OF TRADE NOTIFICATION / CONTRACT NOTES / STATEMENTS

Type of Products	Trade Notification <sup>5</sup>		Contract Notes / Statements (please tick one (1) only for each product)		
	SMS	Email	Email	Post <sup>6</sup> (No. of Contract Notes <sup>7</sup> )	
Equities Trading Account	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____ copy(ies)
Margin Account	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	_____ copy(ies)
Derivatives Trading Account	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	N/A

### Note:-

5. Subject to the availability of the facility.  
 6. Contract Notes / Statements will be sent to client's correspondence address.  
 7. Only one (1) copy for individual clients. Max. two (2) copies for corporate client.

## J) DAY TRADING ACTIVITIES ("DTA")

Do you want to sign up for DTA?     Yes (Equities Trading)     Yes (Derivatives Trading)     No

Proposed Intraday Margin Requirement  
 (For Derivatives Trading only)

Products	% from Full Initial Margin
FKLI	
FCPO	

Products	% from Full Initial Margin

## K) PAYMENT ADVICE

### Cheques / Cash

All cheques for payments are to be made payable to **RHB INVESTMENT BANK BERHAD** only. Please indicate your full name / company name, NRIC No. / Company Registration No., trading account number and contract number(s) on the reverse side of the cheque. If payment by cash, you are required to settle the payment over the counter at RHBIB premises.

### Direct Deposit

If payment is to be made through direct deposit, kindly deposit the cash / cheque to our respective accounts maintained with any agent banks and furnish the deposit slip or credit advice to RHBIB.

### Electronic Transfer

If payment is to be made through electronic payment transfer, kindly instruct your bank to transfer the funds to our respective accounts maintained with Bank Negara Malaysia or other agent banks, details of which shall be advised upon confirmation of transaction.

# DECLARATION, ACKNOWLEDGEMENT AND AUTHORISATION

## A) FORM OF DISCLOSURE BY CLIENTS OF PARTICIPATING ORGANISATION Rule 404.3(7) of RULES OF BURSA MALAYSIA SECURITIES BERHAD

I / We do solemnly declare that the dealings in securities in respect of my / our Equities Trading Account are to be carried out:-

- For me / us as principal
- For and on behalf of another person (applicable only to Executors / Administrators / Trust Foundation)

**Note:** Bursa Securities takes a serious view of any misrepresentation arising from the making of an erroneous disclosure or not making a disclosure at all.

## B) DECLARATION AND UNDERTAKING ON DOMESTIC BORROWING BANK NEGARA MALAYSIA ECM 9: INVESTMENT ABROAD (Applicable to Individual and Corporate Resident Only)

- I / We hereby declare that pursuant to ECM 9: Investment Abroad issued by Bank Negara Malaysia (“BNM”),
  - I / we have domestic ringgit borrowing\*, and will monitor my / our foreign currency conversion / investment in compliance with the BNM Requirement.
  - I / we DO NOT have domestic ringgit borrowing\*.
- In the event there are changes to the circumstances and / or details contained in this declaration and undertaking, I / we undertake to update RHBIB of the changes immediately, failing which you may proceed to take any actions you deem fit without further reference to me / us.

\* Any conventional and / or Islamic advances, loans, trade financing facilities, hire purchase, factoring facilities with recourse, financial leasing facilities, guarantees for payment of goods, redeemable preference shares, or similar facilities in whatever name or form in Ringgit excluding inter-company credit facilities within corporate group in Malaysia. The following are excluded:-

- Trade credit terms extended by a supplier for all types of goods and services
- Performance guarantees and financial guarantees
- Credit card and charge card facilities
- Factoring facilities without recourse
- Forward foreign exchange contracts other than a contract that involves the swapping of existing ringgit or foreign currency debt obligations into another foreign currency debt obligations
- One personal housing loan & one vehicle loan obtained from residents
- Operational leasing facilities

## C) INFORMATION DISCLOSURE FOR CROSS SELLING

Client's Consent On Information Disclosure For Cross Selling Within RHB Banking Group:

I / We hereby expressly irrevocably consent and authorise RHBIB to disclose any information that I / we have provided / disclosed to RHBIB for the purposes of cross selling, marketing and promotions, with other companies within the RHB Capital Bhd Group of Companies, its agent, servants and / or such persons or third parties as RHBIB may deem fit.

- Yes     No

## D) DECLARATION, ACKNOWLEDGEMENT AND AUTHORISATION

- I / We declare that I / we have read and fully understood the contents of this Declaration, Acknowledgment and Authorisation (“DAA”) and all the General Terms and Conditions attached herein and all other Terms and Conditions under the documents as indicated in the table below (“Other Documents”) for the Types of Investment which I / we have selected and acknowledge that I / we have received a copy of the said General Terms and Conditions and the Other Documents for the Types of Investment which I / we have selected. I / We agree to be bound by the said DAA, the said General Terms and Conditions and the terms under the Other Documents (whichever relevant) and any amendments, variations or modifications thereto as may be made and / or imposed by RHB Investment Bank (“RHBIB”) from time to time, and I am / we are deemed to have been notified of such amended, varied or modified DAA, General Terms and Conditions and the terms under the Other Documents (whichever relevant) upon the same being made available on the website(s) of RHBIB or being made available at the premises of RHBIB, and I am / we are deemed to have accepted such amendments, variations, or modifications in the event I / we continue with my / our trading or investment with RHBIB. I / We further declare that I / we have read and fully understood the contents of the Risk Disclosure Statements and the respective documents attached thereto, which have been explained to me / us.

EQUITIES TRADING	DEALING IN DERIVATIVES
a) General Terms and Conditions;	a) Explanatory Text – Derivatives;
b) Cross Border Trading Risk Disclosure Statement;	b) General Terms and Conditions for Derivatives;
c) Structured Warrant Risk Disclosure Statement;	c) Risk Disclosure Statement;
d) Exchange – Traded Fund Risk Disclosure Statement;	d) General Terms and Conditions for Trading in Derivatives Contract – Online / Direct Market Access; and
e) Declaration and Acknowledgement for Day Trading Activities;	e) Declaration and Acknowledgement for Day Trading Activities
f) Declaration and Acknowledgement for Trading in Cash Upfront Basis; and	
g) Specific Terms and Conditions for Online Trading Services	

- I / We hereby declare that I am / we are over 18 years old and that I / we have not been adjudicated or declared a bankrupt and have not committed an act of bankruptcy and has no knowledge of any bankruptcy petition presented against me / us in any court of competent jurisdiction (*applicable only to individual client*).
- We hereby declare that we have not convened a meeting of our creditors or propose or make any arrangement or composition with, or any assignment for the benefit of our creditors, nor has a petition been presented or a meeting been convened for the purpose of considering a resolution for the winding up of, or other steps are taken for making of an administration order against us (other than for the purpose of reconstruction) (*applicable only to corporate client*).
- I / We hereby declare that I am / we are not under the employment of another Participating Organisation or Trading Participant (as defined in the Rules of Bursa Malaysia Securities Berhad (“Bursa Securities”) or Bursa Malaysia Derivatives Berhad (“Bursa Derivatives”) respectively) (*applicable only to individual client*).
- I / We hereby declare that I / we have not been listed as a defaulter by Bursa Securities or any other stock exchanges recognised by Bursa Securities (“Recognised Exchange”). I / We further acknowledge that RHBIB will from time to time perform credit checks on me / us and I / we further consent to RHBIB performing such credit checks against databases available to RHBIB including but not limited to databases maintained by independent credit database providers and regulatory authorities.
  - I / We authorise RHBIB to place my / our name on the defaulter’s list with Bursa Securities pursuant to the Rule of Bursa Malaysia Securities Berhad (“Bursa Rules”) and the rules of Recognised Exchanges (“Recognised Exchange Rules”) and I / we authorise RHBIB to divulge information relating to my / our account such as name, addresses, NRIC / Passport number and the amount owing, and / or such other information as required by the authorities.
- I / We acknowledge that this application is subject to the approval of RHBIB and RHBIB has the absolute discretion to approve or reject this application without assigning any reasons thereto. In addition, upon the occurrence of any of the events mentioned in (2), (3), (4) and / or (5)(a) above, I / we agree and undertake to immediately cease trading and shall forthwith notify RHBIB in writing of the occurrence of such event(s). I / We agree that until written notice of such event is given to RHBIB, all orders carried out by me / us under my / our trading account(s) shall be valid and enforceable against me / us.
- I / We declare that all particulars and information given herein are true and correct and that I / we have not withheld any material facts or information from RHBIB. RHBIB is entitled to fully rely on such information for all purposes, unless RHBIB receives notice in writing from me / us informing otherwise. I / We further undertake to furnish to RHBIB with such additional particulars as RHBIB may require from time to time.

## D) DECLARATION, ACKNOWLEDGEMENT AND AUTHORISATION (Continued)

8. I / We undertake to notify RHBIB in writing of any changes in the information provided herein by me / us. I / We agree that any such changes shall be effective three (3) business days after RHBIB's receipt of my / our notice.
9. I / We agree to be bound by the Rules and Regulations of Bursa Securities, Bursa Derivatives and the Rules of the Specified Exchange (collectively called the "Rules") and any other relevant regulatory body governing dealings in securities quoted on Bursa Securities or the Recognised Exchange Rules, as the same may be in force from time to time and at any time. RHBIB reserves the right to reject any application which does not conform to the requirements of the policies and guidelines set by RHBIB.
10. I / We agree that RHBIB shall be entitled to act upon and I / we shall accordingly be bound by any notice or other communication received by RHBIB and believed by RHBIB to have been given or made by a person authorised by me / us and the transaction executed pursuant to such instructions shall accordingly be binding on me / us. Where any instruction is ambiguous or inconsistent with any other instruction, RHBIB shall be entitled either not to act upon the instruction or to rely and act in accordance with any reasonable interpretation thereof which any officer of RHBIB believes in good faith to be the correct interpretation.  
I / We shall not hold RHBIB liable in any way for acting on inconsistent, ambiguous or incomplete instructions.
11. RHBIB shall not be liable to me / us for acting upon any instructions communicated or purportedly communicated by me / us to RHBIB over the telephone or in writing and signed or purportedly signed by me / us or given or transmitted purportedly or given or transmitted by facsimile or electronic mail notwithstanding that it is subsequently shown that such instruction was not given by me / us. Any risks of misunderstanding, any error or loss resulting from instructions given by unauthorised persons or any error, loss or delay resulting from the use of the post, facsimile or electronic mail are entirely my / our risk for which RHBIB shall not be liable for.
12. I am / We are aware that signatures on facsimile or electronic mail instruction may be superimposed fraudulently or without proper authority when transmitted to RHBIB and I / we shall give RHBIB facsimile or electronic mail instructions assuming such risks. RHBIB shall not held liable for any losses, damages, expenses, claims or liabilities suffered by me / us as a result of RHBIB acting upon facsimile or electronic mail instructions so long as the signatures appearing on any such facsimile or electronic mail instructions appear on verification to be or purport to be in accordance with my / our specimen signature.
13. Where I / we enter into transactions relating to securities other than those quoted on Bursa Securities, such transactions shall wherever applicable be governed by the relevant Rules.
14. I / We authorise RHBIB to conduct independent verification and / or inquiries in respect of any information declared herein or furnished to RHBIB with the relevant authorities and / or credit reference agencies or any other relevant organisations whether in Malaysia or elsewhere and I / we undertake to furnish any additional information that RHBIB may require for its assessment of the application and from time to time after the application had been approved. That I / we further consent and authorise the relevant authorities and / or credit reference agencies or any other relevant organisations whether in Malaysia or elsewhere to disclose my / our information to RHBIB.
15. I / We hereby undertake to fully, unconditionally and irrevocably indemnify RHBIB and keep RHBIB indemnified at all times from and against all actions, proceedings, claims, demands, losses, penalties, fines, damages, costs, charges and / or expenses which RHBIB may sustain, incur or be liable to, in consequence of, attributable to or arising from, any breach by me / us of its obligations including any costs reasonably and necessarily incurred by RHBIB in collecting any debts due to RHBIB or in connection with the closure of the trading accounts, or any appointment made by me / us, and / or any request or authorisation given by me / us, and / or any false declaration(s) on my / our part in these Terms and Conditions howsoever arising. The right of indemnity shall continue in full effect notwithstanding the suspension, termination or closure of my / our account with RHBIB. Neither RHBIB or its subsidiaries, associated, or related companies of RHBIB's holding company nor any of its agents shall be liable for any direct, indirect, special or consequential damages which may be suffered by me / us such as, but not limited to, loss of anticipated profits or other anticipated economic benefits, whatsoever or howsoever caused, whether in contract or in tort, arising directly or indirectly with or arising out of this DAA, and / or the Terms and Conditions herein. I / We further undertake to indemnify RHBIB and or its subsidiaries, associated, or related companies of RHBIB's holding company from being liable in any proceedings (whether civil, criminal or otherwise) arising from any breach by me / us pursuant to the terms of the Terms and Conditions and / or the DAA stated herein.
16. In order for RHBIB to discharge its functions under this Terms and Conditions or pursuant to the relevant laws or regulations, I / we hereby acknowledge that RHBIB may engage service providers or such other persons via an outsourcing arrangement or any other arrangements to provide services to RHBIB (including mailing services, information technology services, data processing, statistical and risk analysis and other services determined from time to time). I / We hereby acknowledge that in the course of providing the services to RHBIB, such service providers or such other persons may have access to certain information and documents relating to my / our securities and trading account(s), and thereby, I / we agree that such disclosure of information and documents is permissible.
17. In addition to the above, I / we hereby expressly authorise and permit RHBIB and its officers to divulge, reveal or disclose any information relating to my / our account(s) to:
  - (a) any assignee or transferee or prospective assignees or transferees of RHBIB's credit facilities, business and undertaking of such part thereof;
  - (b) any person with whom RHBIB may enter into (or may potentially enter into) any participation or sub-participation in relation to any transaction or service hereunder;
  - (c) any person or entity participating in the merger / acquisition or proposed merger / acquisition of RHBIB or its holding company with / by another company; and
  - (d) any other person at any time:
    - i. which RHBIB or any officer in good faith considers appropriate for any purpose in connection with these Terms and Conditions; or
    - ii. where such particulars of my / our account was inadvertently divulged, revealed or disclosed to / or accessed by such persons through no willful default of RHBIB or its officers.
18. I / We consent that RHBIB and / or its authorised agents, service providers and / or sub-contractors may obtain or be granted access to my / our information or documents relating to my / our affairs in particular in relation to my / our securities and / or depository accounts (for example account particulars, balances, and / or transactions) maintained with the relevant authorities (whether locally or abroad), agents and / or service providers. This consent is irrevocable and I / we shall not hold RHBIB liable for any losses arising thereof except for losses or liabilities I / we may directly suffer as a result of any fraudulent act done / committed by RHBIB.
19. I / We hereby confirm my / our consent to RHBIB giving me / us trade contract notes and other statements of account electronically in respect of the trading account(s) opened with RHBIB. In this connection, I / we understand and accept that all contract notes and statements given by RHBIB electronically will be deemed given as from RHBIB posting the same.
20. I / We agree and accept that RHBIB has a legal obligation under the Anti-Money Laundering and Counter Financing of Terrorism Act 2001 (including any amendments, variations, and / or modifications as may be made at any time and from time to time) and any guidelines issued by any regulators, authorities and / or statutory bodies including the Anti-Money Laundering and Counter Financing of Terrorism Sectorial Guidelines 1 for Banking and Financial Institutions to report transactions that, RHBIB may have reason to suspect, involves proceeds of any unlawful activity. In this regard, where any suspicion of money laundering and / or financing of terrorism arises, RHBIB is therefore authorised to report its suspicions to the Financial Intelligence Unit in BNM or to such any other regulatory bodies without first obtaining my / our approval. I / We agree that I / we shall not hold RHBIB liable in any proceedings (whether civil, criminal or otherwise) for the disclosure of any information in any suspicious transaction report made by RHBIB in good faith, nor for any delay and / or refusal by RHBIB in carrying out my / our instructions in the event deemed necessary by RHBIB. I / We further agree to abide and comply with any directives or orders which may be issued and imposed by the respective regulators, authorities and / or statutory bodies from time to time and further undertake to give the evidence and / or documentation required by RHBIB, the respective regulators, authorities and / or statutory bodies for the purpose of complying with the respective anti-money laundering legislation in the applicable jurisdiction where the transactions are to be executed from time to time.
21. I / We undertake and confirm that I am / we are not involved / engaged in any activity(ies) relating to export, transshipment or bringing into transit of any strategic items (dual-use items, including arms and related material) either as broker, trader exporter, cargo agent, carrier, freight forwarder, feeder operators, logistic or service provider of technology, that will / may facilitate the design, development and production of weapons of mass destruction and their delivery systems as legislated and / or prohibited by the Strategic Trade Act 2010 ("STA"), such activity(ies) to be known as "STA related activities". I / We understand that RHBIB may use all information gathered in relation to the account with RHBIB for verification purposes to ensure compliance with the STA. In the event that I / we subsequently become involved in the STA related activities, I / we undertake to immediately notify RHBIB in writing of such involvement / engagement. I / We acknowledge and agree that RHBIB shall take such action as is deemed necessary in relation to my / our trading account(s), including notifying the regulators of the STA (which include but is not limited to the

## D) DECLARATION, ACKNOWLEDGEMENT AND AUTHORISATION (Continued)

Ministry of International Trade and Industry) of my / our involvement / engagement in the STA related activities. I / We accept that RHBIB may at its discretion decline my / our application for opening of account or close / terminate my / our trading account(s) as the case may be, without any further reference to me / us. I / We agree and acknowledge that RHBIB is absolved of all and any liabilities to me / us in this regard.

22. I / We authorise RHBIB to process, use, record, store, share with or disclose my / our information / data pertaining to my / our trading account(s) to the following parties including without limitation, any member of RHBIB's group of companies, its parent company and / or its related companies, RHBIB's professional advisers, vendors, agents (including but not limited to equities DR, FBR, or whosoever described or referred to), contractors and third party service providers (including those who provide administrative, telecommunications, computer, payment, data processing or storage), enforcement agencies, regulators, authorities or other parties authorised and / or required by law or regulation, including the Inland Revenue Board of Malaysia, as and when required whether in Malaysia or elsewhere in relation to the provision of products and services offered by or through RHBIB ("Products and Services") for the following purposes including but not limited to: - (i) processing my / our application for the Products and Services; (ii) conducting credit checks on me / us; (iii) maintaining my / our credit history for present and future reference; (iv) marketing any products or services for my / our use; (v) research, historical and statistical purposes; (vi) assisting in any claim or investigation or analysis of such claim; (vii) exercising any right of subrogation; (viii) matching, comparing, transferring or exchanging any personal information / data relating to me / us held by RHBIB from time to time with my / our personal information / data held by enforcement agencies, regulatory authorities, corporations or organisations for the purpose of verifying my / our personal information / data; (ix) for enforcement of my / our obligations, including without limitation the collection of amounts outstanding from me / us; and ancillary purposes or relating thereto. I / We acknowledge that if I / we do not provide RHBIB the authorisation as aforesaid, RHBIB may not be able to continue to provide me / us with the Products and Services or to respond to any of my / our requests. I / We consent to such use of my / our personal information / data in the manner aforesaid and I / we further acknowledge that RHBIB is bound by such codes of practice, and / or guidelines that may be issued by the relevant authorities and / or industry recognised associations pursuant to the prevailing data protection laws.
23. I / We further authorise RHBIB to disclose any information relating to my / our account(s) accessible to RHBIB to the DR or FBR nominated by me / us or appointed by RHBIB, to RHBIB's subsidiaries and its related group of companies. I / We further authorise and consent the disclosure by RHBIB of any information relating to my / our account(s) upon the demand, order or request of Bursa Securities or any other authority having jurisdiction over RHBIB or any government authority, statutory body or court of law, RHBIB's auditors, legal counsels and other professional advisers.
24. I / We further consent to the disclosure by Bursa Malaysia Depository Sdn. Bhd. ("Bursa Depository") to RHBIB, and to such agents, service providers and sub-contractors of RHBIB as informed by RHBIB to Bursa Depository, of information or documents relating to my / our affairs and in particular, relating to my / our account(s) but not limited to balances, account particulars and / or transactions. This consent shall be valid until revoked by me / us and such revocation is accepted by RHBIB. I / We hereby release Bursa Depository from any loss or liability arising from or in connection with this authorisation except for loss or liability that I / we may suffer as a result of any act, statement or omission that was not done in good faith by Bursa Depository.
25. Where applicable, I / we hereby agree that RHBIB be authorised, but not obligated to, deal with my / our monies including placing my / our monies into short term deposits, money market instruments and unit trusts, if applicable, during the interim period prior to my / our investment being effected.
26. \* We have read and understood the obligations as stipulated under Clause 2.4 and the consequences of non-compliance under Clause 2.5 of the General Terms and Conditions (for Equities Trading only) and:-
- a. We hereby undertake to disclose information and documents in relation to any dealing in securities in respect of our trading account(s) including but not limited to information on whether or not any dealing in the above account is carried out on another person's behalf and in such instance, the name of and particulars sufficient to identify the person from whom, through whom or on whose behalf the securities are dealt with by us and if that person is not the beneficial owner(s) of the securities, we shall procure the particulars of the beneficial owner(s) of the securities;
- b. That we are aware that the consequences as stipulated in Clause 2.5 for any failure to disclose information under Clause 2.5.
- Further pursuant to Rule 404.4(1A)(b) of Bursa Securities, we hereby confirm / undertake that the beneficial owner(s) of the securities dealt with in the trading account and the CDS account which is maintained or to be maintained at our request pursuant to Rule 404.4(1A)(a) of Bursa Securities are / shall be the same.
- Further pursuant to Rule 404.4(1A)(c) of Bursa Securities, we also hereby authorise and give consent to RHBIB:-
- i. To effect any entries in the CDS Account, in relation to or arising from any transaction executed in accordance with Bursa Securities Rules, the Clearing House Rules and Bursa Malaysia Depository Rules in our trading account; and
- ii. To exercise any rights over the securities held in the CDS Account therein in accordance with Bursa Securities Rules, the Clearing House Rules and Bursa Malaysia Depository Rules in relation to or arising from any transactions executed by us as stipulated above.
- \*Note: Only Applicable for Authorised Nominee (AN) / Exempt Authorised Nominee (EAN).**
27. In the event of any requirement pursuant to any local or foreign law or regulation that requires RHBIB to withhold any of the proceeds arising from the trades or transactions herein, I / we irrevocably consent to such withholding by RHBIB.
28. In relation to Derivatives, I / we authorise RHBIB to convert, at the absolute discretion of RHBIB and without further reference to me / us, on my / our behalf any foreign currency(ies) if my / our account opened pursuant to this Account Opening Application Form indicate a short fall in such foreign currency(ies). I / We further authorise RHBIB to liquidate, at the absolute discretion of RHBIB and without further reference to me / us, all or part of my / our outstanding contract(s) in the Specified Exchange if the Net Equity (cash balance less unrealised profit & loss) in my / our account opened pursuant to this Account Opening Application Form falls below thirty per cent (30%) of the margin requirement or any other percentages which may be notified and determined at the absolute discretion of RHBIB from time to time.
29. I / We acknowledge that the contract specifications for any products associated with the trading of Derivatives can be found on the website of Bursa Derivatives or the respective websites of the Specified Exchange. I / We undertake to read and understand the contents of such contract specifications and agree to be bound by all the Terms and Conditions therein prior to my / our execution with RHBIB any transaction(s) thereof. I / We understand that a copy of such contract specifications shall be made available to me / us upon my / our request.
30. I / We authorise RHBIB to distribute and / or apportion my trading limit for trading transaction(s) in local securities and foreign securities at the absolute discretion of RHBIB. For trading transaction(s) in local securities, I / we further authorise RHBIB to distribute / apportion my trading limit of my / our Equities Trading Account (including Day Trading Activities) at the absolute discretion of RHBIB.
31. I / We agree that RHBIB shall not be responsible or liable to me / us in the event the agents or entities appointed by RHBIB to perform any obligations as stated in Terms and Conditions goes into liquidation or insolvency and further agrees that RHBIB shall not be liable in respect of the acts or omission of any entity providing any services including clearing, settlement facilities and / or custodian services.
32. RHBIB may set off or transfer any sum or deposit standing to the credit of my / our any other bank accounts with other entities within RHB Banking Group (including RHB Bank Berhad and RHB Islamic Bank Berhad) in or towards satisfaction of any of my / our liabilities to RHBIB under these Terms and Conditions.
33. I / We undertake to further indemnify RHBIB for any loss, costs (includes legal costs), claims, liabilities or expenses arising out of or connected with any (i) transaction or instruction that may be carried out by RHBIB on behalf of me / us having to act on my / our instructions or at my / our request, (ii) breach by me / us of its obligations, including but not limited to any costs reasonably and necessarily incurred by RHBIB in buying-in or selling-off, or collecting any debts due to RHBIB or in connection with the closure of the trading account(s), and (iii) breach, failure or omission of the foreign broker / agent / custodian appointed on behalf of me / us. This obligation to indemnify RHBIB survives the termination of these Terms and Conditions.
34. In relation to pre-initial public offerings, I / we hereby agree to abide by the respective term sheet(s) and / or letter of offer(s) and / or such other documents executed or as may be required to be executed by RHBIB from time to time. I / We further agree to abide by any rules / laws of the relevant regulatory bodies' currently in force or as may be imposed from time to time.



## D) DECLARATION, ACKNOWLEDGEMENT AND AUTHORISATION (Continued)

And I / we make this solemn declaration conscientiously believing the same to be true.

SUBSCRIBED AND SOLEMNLY declared by the abovementioned

This \_\_\_\_\_ day of \_\_\_\_\_ 20\_\_\_\_

Signature of Client (Individual) /  
Authorised Signatory (Corporate) : \_\_\_\_\_

Name : \_\_\_\_\_

NRIC / Passport No. : \_\_\_\_\_

Designation (Corporate Client Only) : \_\_\_\_\_

Please affix company stamp /  
seal (Corporate Client Only) : \_\_\_\_\_

Signature of Client (Individual) /  
Authorised Signatory (Corporate) : \_\_\_\_\_

Name : \_\_\_\_\_

NRIC / Passport No. : \_\_\_\_\_

Designation (Corporate Client Only) : \_\_\_\_\_

Signature of Witness : \_\_\_\_\_

(Please delete whichever is not applicable)  
Dealer's Representative / Futures Broker's  
Representative / Authorised officer of RHBIB /  
Authorised officer of a Malaysia Embassy or  
High Commission Consulate / Notary Public /  
Advocate or Solicitor

Name : \_\_\_\_\_

NRIC No. / DR Code / FBR Code : \_\_\_\_\_

**Note:** The word "We" under the DAA refers to Company and / or Joint Account Holders, their obligations and liabilities shall be joint and several.

## FOR DR / FBR USE ONLY

### i) KNOW YOUR CLIENT ("KYC")

- Have you known the Client for more than 6 months?  
If no, please indicate duration \_\_\_\_\_
- Did you get to know the Client through your personal contact / social networking?  
If no, please specify \_\_\_\_\_
- Did you have previous dealings with the Client?
- Does the Client have sound financial viability and credibility?
- Did you sight the original NRIC / Passport when Client submitted the photocopy documents (individual client only)?
- Have you (i) explained the contents of this *Declaration, Acknowledgement and Authorisation* and the *Terms and Conditions* attached; and (ii) ensure a copy of the said *Terms and Conditions* is given to the Client?
- Is the Client actively involved in any political activities or is the Client (Corporate Client only) government or political linked?

	DR		FBR	
	Yes	No	Yes	No
1.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
2.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
3.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
4.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
5.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
6.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
7.	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

### ii) EQUITIES TRADING

- Collateral from Client : Cash (RM) \_\_\_\_\_ Value of Securities (RM) \_\_\_\_\_
- Recommended Trading / Margin Limit : BUY Limit (RM) \_\_\_\_\_ SELL Limit (RM) \_\_\_\_\_  
Rationale : \_\_\_\_\_
- Proposed Brokerage Rate : ≤ RM100,000 \_\_\_\_\_ % > RM100,000 \_\_\_\_\_ %

### iii) DERIVATIVES TRADING

- Will this Client be interested to hold more than 50 outstanding contracts? (If Yes, please submit **Position Limit Revised Form**)  Yes  No
- Will you appoint other FBR to execute the Client's order in J-Trader? (If Yes, please complete the **Association of FBR and Trading Terminals**)  Yes  No
- Will this Client be interested to trade in Specified Exchange? (If Yes, please complete **Account Opening Information For Specified Exchange Derivatives Form**)  Yes  No
- Proposed Brokerage Rate (R/T: round turn)  
FKLI : RM \_\_\_\_\_ R/T ( Day Trade) CPO : RM \_\_\_\_\_ R/T ( Day Trade)  
FKLI : RM \_\_\_\_\_ R/T (Overnight Trade) CPO : RM \_\_\_\_\_ R/T (Overnight Trade)  
FKLI TIER : RM \_\_\_\_\_ FCPO TIER : RM \_\_\_\_\_  
FKLI Cash Settlement :  Chargeable  Not Chargeable Others : \_\_\_\_\_  
(please specify)
- For Corporate Application Only  
Proposed Position Limit : \_\_\_\_\_  Margin Upfront  Up to T+1 (must tick either one (1) only)

**FOR DR / FBR USE ONLY (Continued)**

**iv) DECLARATION BY DR / FBR**

I, the Dealer's Representative / Futures Broker's Representative of this Client do hereby declare that the information given is true to the best of my knowledge and I have not withheld any information which might prejudice this Application. I also acknowledge and agree to accept instructions received from the Client directly and am aware that the Client is required to comply with the respective Terms and Conditions (as amended from time to time) attached to this application.

I hereby undertake to indemnify RHBIB against all claims, losses, damages, fines, penalties, costs and liabilities arising from the performance of the aforesaid request or otherwise in relation thereto.

	DR	FBR
Signature :		
Name / Code :		
NRIC :		
Date :		

**FOR OFFICE USE ONLY**

**A) ACCOUNT PROCESSING – TO BE COMPLETED BY OPERATIONS**

**i) Initial Due Diligence (“IDD”)**

No.	Questions	Yes	No	Remarks				
<b>A</b>	<b>Exemption from Clients' Due Diligence (“CDD”) Procedure</b>							
1.	Does the client falls within any of the exempted groups : i) Low-Risk Client ii) Existing Client <i>* For a “Yes” answer, to state the specific category of “Low-Risk Client” or the date of previous CDD was conducted on the “Existing Client” (i.e. maximum within the last 6 months). Operations may then proceed to complete Part C only.</i>	<input type="checkbox"/>	<input type="checkbox"/>					
<b>B</b>	<b>Identifying High-Risk Indicator</b>							
1.	Does the transaction trigger any of the following: i) High-Risk Products or Services <i>* For a “Yes” answer, to state the specific product or service involved.</i> ii) High-Risk Industries or Sectors <i>* For a “Yes” answer, to state the industry or sector the Client is involved.</i> iii) High-Risk Countries or Territories <i>* For a “Yes” answer, to state the country or territory.</i> iv) High-Risk Situations <i>* For a “Yes” answer, to state the situation classified as high-risk.</i> v) High-Risk Persons or Entities <i>* For a “Yes” answer, to state the blacklist or alert list match.</i>	<input type="checkbox"/>	<input type="checkbox"/>					
2.	Have all required supporting documents on the Client been obtained and verified? <i>* For a “No” answer, to state the specific documents unavailable and reason for unavailability.</i>	<input type="checkbox"/>	<input type="checkbox"/>					
3.	Based on World-Check screening, does the Client match the Politically Exposed Person (“PEP”) category? <i>* For a “Yes” answer, to state the specific position or connection that qualifies the PEP category.</i>	<input type="checkbox"/>	<input type="checkbox"/>					
<b>C</b>	<b>Recommendation</b>							
1.	Would Operations recommend establishing business relationship with the Client based on the IDD? <i>* For a “Yes” answer, to further justify if there is a “Yes” answer to question in Part B(1)(v) or combination of “Yes” answers in Part B(1) (i) – (iv) and B(2) above.</i>	<input type="checkbox"/>	<input type="checkbox"/>					
<b>Rating:</b> Based on the conduct of IDD, the Client can be categorized as:								
Note: If the Rating indicates a “High-Risk” category, Operations shall require DR / FBR to complete the EDD form.				<table border="1"> <tr> <td align="center">Low Risk</td> <td align="center">High Risk</td> </tr> <tr> <td align="center"><input type="checkbox"/></td> <td align="center"><input type="checkbox"/></td> </tr> </table>	Low Risk	High Risk	<input type="checkbox"/>	<input type="checkbox"/>
Low Risk	High Risk							
<input type="checkbox"/>	<input type="checkbox"/>							

**ii) Customer's Background Checking**

Type of Check	Results		Remarks
	Pass	Fail	
RAM / CTOS - Bankruptcy, Legal Suits			
BOS Defaulter / Watchlist			
OFAC / World-Check			
Name, NRIC No., Corr. Add. and Tel.			
Others:			

Resident Status :  Yes  No

Brokerage/Commission Type :

Remarks :

	Signature	Staff Name	Designation	Date
Checked by :				
Approved by :				

**A) ACCOUNT PROCESSING – TO BE COMPLETED BY OPERATIONS (Continued)**

**iii) CIF Creation**

CIF No. (Principal) : \_\_\_\_\_

CIF No. (Joint / Spouse) : \_\_\_\_\_

Signature	Staff Name	Designation	Date

Data Entered by :

Verified by :

**iv) Systems Maintenance**

a) General

M21  BOS

Signature	Staff Name	Designation	Date

Data Entered by :

Verified by :

b) Clearing System (Derivatives Only)

Signature	Staff Name	Designation	Date

Data Entered by :

Approved by :

c) OMS (Derivatives Only)

Signature	Staff Name	Designation	Date

Data Entered by :

Approved by :

**B) ACCOUNT PROCESSING - TO BE COMPLETED BY CREDIT CONTROL AND SUPERVISION**

**i) Equities Trading**

BUY Limit (RM)	SELL Limit (RM)	Margin Facility Limit (RM)

Remarks :

Signature	Staff Name	Designation	Date

Recommended By :

Approved By :

**ii) Derivatives Trading**

Approved Intraday Margin Requirement

Products	% from Full Initial Margin
FKLI	
FCPO	

Products	% from Full Initial Margin

Signature	Staff Name	Designation	Date

Approved By :

Updated By :

Verified By :

**C) ACCOUNT PROCESSING - TO BE COMPLETED BY OPERATIONS**

**i) Document Scanning and Verification**

Verified and Scanned client signature and any relevant documents

Signature	Staff Name	Designation	Date

Entered by :

Checked by :

## IMPORTANT DOCUMENTS REQUIRED (GENERAL)

### INDIVIDUAL / JOINT (Joint - only applicable to Derivatives Trading)

1. Bursa Malaysia Depository's Application for Opening of Account Form.
2. Bursa Malaysia Depository's eDividend Form<sup>1</sup>.
3. Bursa Malaysia Depository's specimen signature cards. [2 sets]
4. Photocopy of NRIC / Passport / Armed Forces or Police Authority Card and change of address, if any<sup>2</sup>.
5. Photocopy of recent bank statement (not more than six (6) months) or recent pay slip or latest income tax assessment or employer's confirmation of salary or fixed deposit certificate.
6. Any other documents that may be required by RHBIB and / or regulatory bodies from time to time.
7. Bursa Malaysia Depository account opening fee.

Note: <sup>2</sup> The original documents to be sighted by the authorised personnel of RHBIB and signed off as "original sighted" on the photocopy obtained.

### COMPANIES (Certified true copy <sup>3</sup> – 2 sets required)

1. Bursa Malaysia Depository's Application for Opening of Account Form.
2. Bursa Malaysia Depository's eDividend Form<sup>1</sup>.
3. Bursa Malaysia Depository's specimen signature cards. [2 sets]
4. Board Resolution duly passed and approved, specifying the persons who are authorised to open and operate the trading account<sup>4</sup>.
5. Board Resolution duly passed and approved, specifying the persons who are authorised to open and operate the Bursa Malaysia Depository account. [2 sets]<sup>4</sup>
6. Certified true copy of Memorandum & Articles of Association (or its equivalent).
7. Certified true copy of Board Resolution incorporating (or its equivalent):
  - a list of authorised signatories with specimen signatures.
  - mode and manner of execution by the authorised signatories.
8. Certified true copy of Form 8 or 9 (or its equivalent) – Certificate of Incorporation of Public / Private Company or Form 13 (or its equivalent) – Certificate of Incorporation on Change of Company Name, if applicable.
9. Certified true copy of Form 24 (or its equivalent) – Return of Allotment of Shares.
10. Certified true copy of Form 44 (or its equivalent) – Notice of Situation of Registered Office and Office Hours.
11. Certified true copy of Form 49 (or its equivalent) – Particulars of Directors, Managers and Secretaries.
12. Power of Attorney (or its equivalent), if applicable.
13. Letter of Guarantee with photocopy of guarantor's NRIC upon request.
14. Latest audited financial statements / management accounts and / or the recent bank statements.
15. Any other documents that may be required by RHBIB from time to time.
16. Bursa Malaysia Depository account opening fee.

Note: <sup>3</sup> Certified true copies are to be duly certified by the director(s) and / or company secretary.

<sup>4</sup> The Board / Committee's Resolution must state the name, designation, NRIC / Passport number and specimen signature of person authorised / empowered to operate the account including transactions that they may execute and to execute all necessary documents; and

Should there be any amendments made, it must be legible and countersigned by the Client / authorised signatory. Forms defaced by erasure or any kind of correction fluid may result in the application being rejected.

Corporate client must affix the common seal (if stipulated in the Board / Committee Resolution) or company rubber stamp onto the application form.

### <sup>1</sup> SUPPORTING DOCUMENTS FOR e-DIVIDEND FORM

Two certified true copies of bank statement / bank savings passbook / details of your bank account obtained from your bank website / any letter from bank confirming your bank account details / Bank-In receipt / Cheque Deposit receipt / Debit Invoice / Bank Identification card / Cheque Book (disclose part containing your bank account particulars only).

Note: All Bursa Malaysia Depository related forms are only applicable to Equities Trading.

## IMPORTANT DOCUMENTS REQUIRED (FOR SPECIFIC PRODUCT)

### EQUITIES (For Share Buy Back Purpose, if applicable)

1. Certified true copies of the Memorandum & Articles of Association (or its equivalent) shall indicate that the company may purchase its own shares. [2 sets]
2. Certified true copies of Board Resolution incorporating a declaration on Share Buy Back. [2 sets]
3. Share Buy Back declaration from DR.

Note: All documents other than in English or Bahasa Malaysia submitted by foreign incorporated companies (as defined in the Companies Act 1965) must be accompanied with certified true copy(ies) of the document translated into English by certified translator.

### FEDERAL / STATE / LOCAL / STATUTORY AUTHORITIES INCORPORATED BY AN ACT OF PARLIAMENT

1. Bursa Malaysia Depository's Application for Opening of Account Form.
2. Bursa Malaysia Depository's eDividend Form<sup>1</sup>.
3. Bursa Malaysia Depository's specimen signature cards. [2 sets]
4. Letter of Authority stating the amount, period, authorised signatories and mode and manner of execution by the authorised signatories.
5. A list of authorised signatories with specimen signatures.
6. Any other documents that may be required by RHBIB from time to time.
7. Bursa Malaysia Depository account opening fee.

### SOLE-PROPRIETORSHIP AND PARTNERSHIP (only applicable to Derivatives Trading)

#### (Certified true copy <sup>5</sup> – 2 sets required)

1. Certified true copy of Business Registration forms:
  - Form A – Business Registration which consists of PNA 1 and one copy of PNA 1A for each owner / partner; or
  - Form B – Registration for change in business which consists of PNA 2, PNA 2A and one copy of PNA 1 for each owner / partner; or
  - Maklumat Perniagaan (a computerised print-out)
2. Certified true copy of Form D – Certificate of Registration for current year.
3. Mandate for Account of a partnership incorporating:
  - a list authorised signatories with specimen signatures.
  - mode and manner of execution by the authorised signatories.
4. Deed of Partnership, if applicable.
5. Photocopy of NRIC / Passport of the authorised signatories.
6. Any other documents that may be required by RHBIB from time to time.

Note: <sup>5</sup> Certified true copies are to be duly certified by advocates and solicitors. Original documents must be sighted by the authorised personnel of RHBIB and signed off as "original sighted" on the photocopy obtained.

### EXECUTORS / ADMINISTRATORS / TRUST FOUNDATION (Certified true copy <sup>6</sup> – 2 sets required)

1. Bursa Malaysia Depository's Application for Opening of Account Form.
2. Bursa Malaysia Depository's eDividend Form<sup>1</sup>.
3. Bursa Malaysia Depository's specimen signature cards. [2 sets]
4. Certified true copy of Grant of Probate (only applicable for Executors).
5. Certified true copy of Letter of Administration (only applicable to Administrators).
6. Certified true copy of Trust Deed (only applicable to Trust Foundation).
7. A list of authorised signatories with specimen signatures.
8. Any other documents that may be required by RHBIB from time to time.
9. Bursa Malaysia Depository account opening fee.

Note: <sup>6</sup> Certified true copies are to be duly certified by advocates and solicitors. Original documents must be sighted by the authorised personnel of RHBIB signed off as "original sighted" on the photocopy obtained.

### ASSOCIATIONS / CLUBS / SOCIETIES AND POLITICAL PARTIES (Certified true copy <sup>7</sup> – 2 sets required)

1. Bursa Malaysia Depository's Application for Opening of Account Form.
2. Bursa Malaysia Depository's eDividend Form<sup>1</sup>.
3. Bursa Malaysia Depository's specimen signature cards. [2 sets]
4. Certified true copy of Board Resolution incorporating:
  - a list of authorised signatories with specimen signatures.
  - mode and manner of execution by the authorised signatories.
5. Certified true copy of Certificate of Registration.
6. Certified true copy of Rules / By-laws.
7. Any other documents that may be required by RHBIB from time to time.
8. Bursa Malaysia Depository account opening fee.

Note: <sup>7</sup> Certified true copies are to be duly certified by the secretary and / or the chairman.