

Other Information

1. What is your investment objective in dealing securities?

Please tick where applicable: Trading Investment Others _____

2. Do you have any experience and knowledge in securities trading?

Please tick where applicable: No experience / Knowledge Limited Experience Experience (≥ 3 years)

3. Existing account with Apex Securities Berhad ?

Yes, Account No.: No

4. Any trading account maintained with other Participating Organisation of Bursa Malaysia Securities Berhad? (If yes, please specify name of the Participating Organisation)

i. _____

ii. _____

5. Is the Applicant related to any staff/ director/ capital market services representatives licence holder Apex Securities Berhad? (If yes, please provide name and relationship)

Name **Relationship**

i. _____

ii. _____

6. **COMPULSORY TO DISCLOSE** – Do any of the Applicant's related persons have Trading Account (Equities / Derivatives) maintained with Apex Securities Berhad? **Related persons: spouse, partner, partnership, partner's spouse and companies under your control and/ or spouse's control, OR for corporate / institutional the related persons which is the corporation and the corporation's Related Corporations and Associated Corporations.** (If yes, please provide name, account number and relationship; if no, please state "NO").

Name of Related Person **Trading Account Number** **Relationship**

a. _____

b. _____

c. _____

Note: Client / Authorised signatory(ies) is(are) to initial on any alteration(s)

Delivery of Electronic Contract Notes / Statements

I/ We refer to the opening of the trading account with you, APEX SECURITIES BHD and wish to request you to issue and deliver my daily and monthly statement/ custody statement in the following manner:

Mode of Delivery : E-mail only (as per email furnished)

Website (www.apexsecurities.com.my / www.apexsec.com.my)

Letter of Payment Instruction

I/ We hereby request all payments (including, but not limited to sales proceeds and credits) due to me/ us from Apex Securities Berhad, hereinafter, "ASB", from time to time under my/ our trading account opened with ASB be made in the following manners.

Credit into my ASB Account as Trust Monies (Default Credit ESP)

Credit Directly Into My/ Our Bank Account (Herein defined as ESP):

Bank Account No.: _____

Bank Name: _____

Account Type: Savings Current

In consideration of ASB agreeing to this request, I/ we hereby agree:-

- (i) Not to hold ASB responsible for any losses arising thereof and unconditionally indemnify ASB at all times against all claims, losses, liabilities, expenses, and cost whatsoever incurred by ASB in connection with this request herein.
- (ii) To refund to ASB of any payments inadvertently or erroneously made to me/ us or credited into the above mentioned bank account.
- (iii) The above request shall remain in force until revoked in writing by me/ us and the said revocation is received and acknowledged by ASB.

Initial	
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Declaration on Politically Exposed Person (PEP)

Declaration whether a PEP* (mandatory, please tick appropriately):

- NO**, I am not / we are not a PEP or close associate to PEP
- YES**, I am / we are PEP or close associate to PEP. [Kindly complete the following information required below]

1. Status of PEP: A Local PEP.
- A Foreign PEP.
2. Relationship with PEP: Is a close associate to local PEP.
- Is a close associate to foreign PEP.

* **Politically Exposed Person (PEP)** refers to a natural person who is or has been entrusted with prominent public functions, who is holding a senior position in government service, a senior politician, senior executive of state owned corporations, or an important political party officials (this is not intended to cover middle ranking or more junior officials), whether it is locally, or in a foreign country, or an international organization. **Close associates** to PEP herein refers to any individual who is closely connected to a PEP and this includes business partners or associates, immediate and extended family members (biological and non-biological, such as adopted or step children), close friends, financially dependent individuals, prominent members of the same organisation as the PEP, and individuals who are or have been working closely with a PEP.

Declaration on Foreign Currency Securities Trading Facilities

I/we am/are acknowledged and aware that I/we shall at all times comply with the applicable BNM FEA for the purposes of investment in foreign currency assets¹. In order to comply with the BNM FEA, I/we do solemnly and sincerely declare and affirm as follows (mandatory, please tick appropriately) :

- a. **I/We am/are resident of Malaysia and**
- I/We DO NOT HAVE domestic ringgit credit facilities² and hereby undertake to inform the Company immediately should I/we obtain domestic ringgit facilities or upon request by the Company.
- I/We HAVE domestic ringgit credit facilities and are thus allowed to convert up to RM1,000,000.00 in aggregate³ for individual or up to RM50,000,000.00 in aggregate for corporation, on a corporate group basis per calendar year for investment in foreign currency assets.
- b. **I/We am/are non-resident of Malaysia.**

¹ Foreign Currency assets include:

- a) Equity/portfolio investment abroad
- b) Loan to non-residents
- c) Foreign currency deposits onshore and offshore; and
- d) Investment in approved foreign currency product marketed by licensed onshore banks, licensed international Islamic banks and any residents permitted by controller or Foreign Exchange.

² Domestic ringgit credit facilities refers to any credit facility, financing facility, trade guarantee or guarantee for payment of goods, redeemable preference shares or similar facility in whatever name or form, **other than / except for** :

- a) Trade credit terms extended by a supplier for all types of goods and services;
- b) Forward contract with a licensed onshore bank excluding a contract that involves the exchanging or swapping of ringgit or foreign currency debt obligation with another foreign currency debt obligation; or the exchanging or swapping of foreign currency debt obligation with a ringgit debt obligation;
- c) A credit facility or financing facility obtained by a Resident individual from a Resident to purchase one residential property and one vehicle;
- d) Credit card and charge card facility obtained by a Resident individual from a Resident;
- e) Performance guarantee or financial guarantee;
- f) Operational leasing facility; or
- g) Factoring facility without resource.

³ In aggregate means the cumulative amount outstanding so far and not based on calendar year.

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Declaration on Foreign Account Tax Compliance Act (FATCA)

DECLARATION WHETHER UNITED STATES OF AMERICA (“US”) PERSONS (Tick one only)

- I am/ we are **NOT** a US person/corporation as defined under FATCA.
- I am/ we are a US person/corporation*. [I/we understand that I/We must complete form W-9 which can be obtained from ASB website (www.apexsecurities.com.my) when I/we trade on US markets.]

US Identification Number: _____ US Taxpayer Identification Number: _____

- We are a FATCA registered Foreign Financial Institution (FFI). GIIN: _____
- We are **NOT** a FATCA registered Foreign Financial Institution (NFFI).

* A US person is defined as a US citizen, green cardholder or resident in the US for 183 days or more in a calendar year or any person liable to pay tax in the US.

CRS Self-Certification (Client with Tax Residency Outside of Malaysia)

KINDLY COMPLETE THE CRS SELF-CERTIFICATION FORM AND PROVIDE UP TO DATE INFORMATION ABOUT YOUR TAX RESIDENCY. IF YOU ARE COMPLETING THIS FORM ON BEHALF OF SOMEONE ELSE/ ENTITY, PLEASE ENSURE THAT YOU INDICATE THAT YOU HAVE DONE SO AND INDICATE WHAT CAPACITY YOU'RE SIGNING FOR THIS CRS SELF-CERTIFICATION FORM.

FOR ENQUIRIES OF TAX RESIDENCY STATUS, PLEASE VISIT THE OECD WEBSITE AT [HTTP://WWW.OECD.ORG/TAX/AUTOMATIC-EXCHANGE/COMMON-REPORTING-STANDARD/](http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/) OR CONSULT PROFESSIONAL TAX ADVISERS AS WE ARE NOT ALLOWED TO GIVE TAX ADVICE.

Declaration of the Tax Residency (Tick one only)

- My taxable income are subject to tax in Malaysia ONLY or not subject to tax anywhere.
- My taxable income are subject to tax outside of (other than) Malaysia. **[Kindly complete and provide the following information required below]**

1. Taxpayer Identification Number (“TIN”)

Country of Tax Residence (1): _____ TIN (1): _____

Country of Tax Residence (2): _____ TIN (2): _____

(Please add if more than 2)

Please state the reason if the TIN are unobtainable: _____

2. Please enter the legal name of the relevant Entity Account Holder(s) of which you are a Controlling Person (and holding directorship) of more than 25% shareholding. (IF APPLICABLE)

Legally Registered name of **Entity 1**: _____ (1) % Shareholding: _____ %

Legally Registered name of **Entity 2**: _____ (2) % Shareholding: _____ %

Note: If you are not the Account Holder please indicate the capacity* in which you are signing the Form (for example ‘Authorised Officer’). If signing under a power of attorney please also attach a certified copy of the power of attorney.

Capacity*: _____

* The word “capacity” refers to your designation/ position (e.g. secretary/ lawyer/ etc.) OR your relationship (e.g. wife/ brother/ etc.) with the Account Holder.

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Form of Disclosure by Client

THIS DECLARATION IS REQUIRED AS PER BMSB RULE 5.15 (8) & (9), YOU ARE REQUIRED TO DISCLOSE WHETHER ANY DEALING IN SECURITIES IN RESPECT OF YOUR TRADING ACCOUNT IS CONDUCTED FOR YOURSELF OR ON BEHALF OF ANOTHER PERSON.

I/ We do solemnly declare that the dealings in securities in respect of my/ our trading account shall be conducted :-

- For me as principal
- For and on behalf of the party set out below, from whom, through whom or on whose behalf the securities are to be dealt with

PARTICULARS

Name of party concerned: _____

* Company No. /NRIC No /Passport No.: _____
 [*Delete where not applicable]

Correspondence / Registered address: _____

Declaration and Agreement by the Client

I/ We hereby declare that I/ We have read and fully understood the terms and conditions for dealing in securities, declarations, risk and obligations associated with the trading in securities, and/or supplementary terms and conditions as posted on the Company website at <https://www.apextrade.com/> (which shall include any amendment, variation, modification, supplement, substitution and replacement made by Apex Securities Berhad from time to time), along with this Securities Trading Account Opening Application Form, collectively referred to as "Agreement", as prescribed at the following.

I/ We confirm that I/ We have read and understood the following sections and shall be bound by the terms, conditions and/or requirements in the Agreement, and agree to abide by the same:

Please tick where applicable

	Risk Disclosure Statement
	Terms & Conditions
	Letter of Pledge (For Securitised Trading Accounts – STA) – If Applicable Facility Limit Requested (RM): _____
	Authorization to Set Off, Lien over Securities and Indemnity (For Collateralised Trading Account – CTA) – If Applicable Facility Limit Requested (RM): _____
	Delivery of Electronic Contract Notes / Statements
	Letter of Payment Instruction
	Declaration on Politically Exposed Person (PEP)
	Declaration on Foreign Currency Securities Trading Facilities
	Declaration on Foreign Account Tax Compliance Act (FATCA)
	CRS Self-Certification (Client with Tax Residency Outside of Malaysia)
	Form of Disclosure by Client
	The Company's Privacy Statement (Please refer: www.apexequity.com.my)

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

SUBSCRIBED AND SOLEMNLY declared by the account holder:

This day of _____ 20

Signature of Client : _____
(Individual / Corporate) (Authorised Signatory/ ies)
 Delete where not applicable

Signature of Witness : _____
 (Licensed Dealer's Representative, Authorised Personnel or Management of ASB or a Commissioner for Oaths / Notary Public)

Name of Client / Company: _____

Name of Witness : _____

NRIC / Passport No. / Registration Number : _____

NRIC / Passport No. : _____

Designation : _____

Please affix company stamp / seal (if applicable) (for Corporate Application only) : _____

