



PM Securities Sdn. Bhd. (66299-A)
(A Participating Organisation of Bursa Malaysia Securities Berhad)

FOR OFFICE USE ONLY

Branch Code: _____ Client Code : _____
Dealer Code : _____
CDS A/C : _____

APPLICATION FOR OPENING OF TRADING ACCOUNT

- Please complete all information required in legible writing and attach details if space provided is insufficient. Any item that is not applicable must be crossed and stated as N/A.
- Any amendment made must be clear and legible and also countersigned by the Applicant.
- Form that is incomplete, illegible or defaced may result in the application being rejected.
- Please read the terms and conditions before completing the form.
- Supporting documents required: a) photocopy of NRIC or passport (foreigner), b) photocopy of latest bank statement or salary slip

Trading Margin / IPO Collateralised Individual Tick where appropriate Corporate / Institutional

NAME OF ACCOUNT (For Office Use Only)

Name of Applicant (As per registration document) **P M N O M I N E E S (T E M P A T A N) S D N B H D**
P L E D G E D S E C U R I T I E S A C C O U N T F O R

PERSONAL / CORPORATE DATA

Name of Applicant (As per registration document) _____

New NRIC / Passport No./ Registration No. _____ Old NRIC No. _____

Date of Birth / Incorporation _____ Bumiputera Yes No Male Female

Nationality / Place of Incorporation Malaysian Others Race _____ Marital Status Single Married

No. of Dependents _____ Tertiary / Professional Qualification Yes No Others _____

Registered Address (As per registration document) _____ Postcode _____

Mailing Address (If different from registered address) _____ Postcode _____

Residence / Business Premise Own Property Mortgaged Rental RM _____

Contact No. Home _____ * Mobile _____ Fax _____
(* Mandatory) * Office _____ * Email _____ Telex _____

EMPLOYMENT & SPOUSE / NEXT OF KIN DATA (For Individuals Only)**APPLICANT**

Employment Status Employed. ____ Years Self Employed. ____ Years Unemployed Retired

Name of Employer / Firm / Business _____

Nature of Business _____ Designation/Occupation If retired, state last position held _____

Office Address _____

Gross Annual Income Below RM25,000 RM25,001 - RM50,000 RM50,001 - RM75,000
 RM75,001 - RM100,000 RM100,001 - RM300,000 Above RM301,000

Tel No. _____

SPOUSE / NEXT OF KIN

Name of Spouse (if married) / Next of Kin (if single) _____ Relationship _____

New NRIC / Passport No. _____ Old NRIC No. _____

Employment Status Employed. Self Employed. Unemployed Retired

Name of Employer / Firm / Business _____

Contact No. Home _____ Mobile _____ Office _____
Email _____

* I / We have no objection to allow PM Securities Sdn Bhd contacting spouse / next of kin being part of the verification process.

Estimated Networth (Assets - Liabilities) Below RM50,000 RM50,001 - RM100,000 RM100,001 - RM200,000
 RM200,001 - RM500,000 RM500,001 - RM1,000,000 Above RM1,000,000

APPLICANT'S BANK ACCOUNT PARTICULAR

Saving Account Current Account

Bank _____ Account Number _____

Initial _____

MEMORANDUM OF DEPOSIT (Applicable to Collateralised Account Holder)

To: PM Securities Sdn Bhd (herein referred as "The Company")

Dear Sirs

IN CONSIDERATION of you granting and/or continuing to grant or make available to me/us facilities for the trading in stocks, shares and securities on Bursa Malaysia Securities Berhad and/or any other recognized stock exchange or otherwise, I/we, the undersigned, hereby pledge to you or in your favour:-

- i) all the stocks, shares and securities held from time to time in my/our trading account which have been fully paid for, my/our Central Depository System (CDS) account, and/or any nominee/custody account of which I am/we are the beneficiary (hereinafter to as the "Share Securities"); and
- ii) any monies held by you from time to time for me/us on my/our behalf, in trust or otherwise and/or in respect of any account which I/we hold with you (hereinafter referred to as the "Monetary Securities", which shall together with the Share Securities be referred to as the "Total Securities") and

upon the terms and conditions hereof.

I/We hereby confirm, agree, declare and/or undertake that:-

1. I am/We are the legal and beneficial owner of the Total Securities and am/are legally entitled and able to pledge the Total Securities to you.
2. The Total Securities shall be a continuing security to you for any and all debts owing from me/us to you, including but not limited to any monies now or hereinafter due or owing under my/our trading account.
3. In the event any debt remains outstanding for **fourteen (14) days** or any other period of time prescribed by you in your absolute discretion, you or any of your attorneys, nominees, employees or agents shall, at your sole discretion and without notice to me/us, be entitled to deal with all or any of the Total Securities in any manner you shall deem fit and do all other things as fully and effectively as I/we could do in connection therewith and in particular but without prejudice to the generality of the foregoing, to immediately utilise or off-set the Monetary Securities against the debt due or owing to you and/or to transfer, assign, charge and/or sell all or any of the Share Securities and do all whatsoever acts and execute all whatsoever documents to give effect to such transfer, assignment, charge and/or sale PROVIDED ALWAYS that you shall not deal with the balance of the Total Securities (if any) once all the debts remaining outstanding as aforesaid have been paid or repaid in full to you.
4. In the event of any transfer, assignment, charge or sale of all or any of the Share Securities, I/we shall have no recourse against you or your attorneys, nominee, employees or agents in respect of any loss what I/we may suffer arising out of or in relation to or connected with any such transaction. Further, you shall not be held liable for any loss or damage to any of the Total Securities howsoever occurring.
5. The Share Securities may be registered by you in your name or in the name of your nominee. If any of the Share Securities are held in my/our CDS account, you shall be empowered in accordance with section 40 of the Securities Industry (Central Depositories) Act 1991, to request the central depository to transfer such shares into your securities account or your nominee's securities account. Notwithstanding the aforesaid, neither you or your nominee shall be answerable or responsible for any diminution in value of any of the Share Securities, however arising, while the same are in the custody, possession or control of you or your nominee. Further, while the Share Securities are in the custody, possession or control of you or your nominee, you shall not be responsible to ensure that any rights, bonus or dividends declared in respect of the Share Securities are taken up, collected or received.
6. I/We shall, immediately upon your request and at my/our own cost and expense, deliver to you duly executed forms or other valid documents of transfer in respect of any or all the Share Securities and/or deposit further Monetary Securities as may be required by you.
7. You are irrevocably authorised to make enquiries and/or to request and receive ad-hoc statements of account in respect of my/our CDS account as aforesaid maintained with you as an Authorised Depository Agent, as and when you shall see fit and/or as deemed necessary by you in your absolute discretion without the need to seek my/our consent. You shall not be held liable for any claims, actions and/or proceedings of any kind and nature howsoever arising and I/we hereby undertake to indemnify you for any losses of any kind and any nature which are incurred or suffered by you in respect thereof in connection with or as a result of your exercise of your right under this paragraph 7.
8. You are entitled to amend, add to, delete or otherwise vary the terms and conditions herein at your absolute discretion, and I/we shall be bound by such variation, provided always that you shall have the absolute discretion and be at liberty to terminate and/or withdraw the arrangement and/or facilities allowed/granted pursuant hereto and to close all/any account(s) I/we have with you (whether a trading account or otherwise) without giving any reason therefor.
9. All charges, costs and expenses (including stamp duty) in connection with or incidental to this Memorandum and The Company's solicitors' fees (on a solicitor and client basis) in connection with the preparation and execution of this Memorandum and any other documents of whatsoever nature and all such sums of monies as you may incur in enforcing The Company's rights hereunder shall be borne and paid by me/us.

In addition to and without derogation of my/our undertaking and obligation above, in the event that any stamp duty or penalty remains unpaid on any instrument, you are at liberty at any time in your sole and absolute discretion to effect the said stamping and to make payment of the stamp duty and any charges, expenses and/or penalties on my/our behalf or account and I/we undertake to reimburse, make good and indemnify you and keep you fully indemnified for the same and any loss or expense suffered or incurred by you in connection therewith, and the same shall be a debt due from me/us to you.

10. The contract notes, statements and/or any other notices issued by you are deemed to have been received by me/us if mailed through the ordinary postal services, and further agree that written confirmation of contracts entered into and any statement of account furnished by you shall be conclusive and binding on me/us if not objected to by me/us in writing within the next business day after the same is deemed to have been received by me/us.
11. Any notice or demand required to be made or given to me/us hereunder may be sent by registered post to my/our address as stated or to my/our last known address and shall be deemed to have been received by me/us three (3) days after the date of posting notwithstanding that the letter may be returned in the post.

Initial	
---------	--

FOREIGN SHARE TRADING

To: PM Securities Sdn Bhd

Dear Sirs,

By signing below, I/we hereby:-

1. wish to request to open a trading account or using the above existing trading account(s) maintained with you to trade in securities listed on foreign exchanges ("non-ringgit securities").
2. In connection with my/ our request, I/we hereby undertake and agree at all times to abide by the following terms and conditions:
 - 2.1. the terms and conditions herein contained are in addition and to supplement the Terms and Conditions of Trading (the "Original Terms") between me/us with PM Securities Sdn Bhd ("PMS") and the additional terms and conditions are to be read and construed with the Original Terms currently enforced.
 - 2.2. all transaction by PMS on my/our behalf shall be subject to the applicable constitution, by-laws, rules, regulations, customs, usage, rulings and interpretations ("Rules") of the relevant exchanges on which the non-ringgit securities are listed and its clearing organization on which such transactions are executed or cleared by PMS or its agents or any of its affiliates for my/our account, to all applicable Rules of governmental/foreign government authorities and self-regulatory organizations and to all applicable laws and regulations promulgated thereunder. Accordingly, PMS or its agents or any of its affiliates may be required to provided information relating to my/our account. PMS shall not be liable to me/us as a result of any action taken by PMS or its agents or any affiliates to comply with any such Rule, law or regulation, including, without limitation, any liquidation, in whole or in part, of my/our positions or any other action taken in the event that any exchange declares an emergency.
 - 2.3. the officers, employees, dealers or representatives of PMS are irrevocably authorized to furnish all information in relation to or arising from or in connection with my/our account to Bursa Malaysia Securities Berhad, authorities or such other authority having jurisdiction over PMS or to any other body or authority to whom PMS is associated with and its subsidiaries and or other affiliates of PMS at any time and from time to time inclusive foreign authorities as a result of my/our dealing in securities that are listed and quoted on selected foreign exchanges.
 - 2.4. that I/we shall be bound by any other terms and conditions of agreements executed between you and your foreign counter party(ies) in relation to services rendered to facilitate my/our trading in non-ringgit securities and shall also read and fully understand your Foreign Share trading requirement before commencing any Foreign Share Securities Trading activities.
 - 2.5. you may in your absolute discretion determine and vary the available limit based on the proportionate ratio determine by you from my/our approved limit or my/our securities deposited and maintained with you for my/our dealing in non-ringgit securities through conventional means, as the case may be. I/we further agree that you shall have the absolute right at any time to refuse my/our orders or limit the purchases/sales ordered by me/us.
 - 2.6. I/we undertake to pay you promptly any fees or other charges imposed by any relevant exchanges on which the non-ringgit securities are listed or any of its clearing organization; any taxes imposed by any competent authority on any account opened or transaction effected for me/us; and any fines or other penalties imposed by any competent authority except to the extent that such fines or other penalties may be imposed due to the gross negligence or willful misconduct of PMS
 - 2.7. I/we shall indemnify you and keep you indemnified from and against and in respect of all liabilities, losses, charges, expenses (inclusive legal fees and cost) claims, demands, actions and proceedings whatsoever which may be taken against or incurred or sustained by you directly or indirectly from or by reason of or in relation to or arising from or in connection with the use of the trading account or the existing trading account for trading in non-ringgit securities or breach of any of the provisions of the Original Terms and the additional terms and conditions of trading set out herein.
3. I/we acknowledge and am/are aware that, for purposes of funding my/our trading in non-ringgit securities, I/we shall at all times comply with the relevant Exchange Control Notices of Bank Negara Malaysia ("ECM")
4. I/we further declare and affirm as follows:
 - 4.1. Individual
I have not been adjudged a bankrupt and there is no pending bankruptcy against me as at the date hereof.
 - Corporate
 - a) No resolution for the winding up of the company has been proposed or passed and the company has not wound up and no winding up petition has been presented against the company.
 - b) No receiving and/or adjudication order has been made against the company and neither any winding up proceedings have been commenced or instituted against the company which is still pending or subsisting nor has any resolution ever been passed for the winding up of the company.
 - 4.2. As defined under the ECM, Tick where appropriate
 - I/we am/are a resident
 - I/we am/are a non-resident
 - I/we do not have domestic ringgit credit facilities
 - I/we have domestic ringgit credit facilities
 - 4.3. I/we make this declaration in full knowledge and awareness of the reliance placed by PMS on such declaration as a basis to make investments abroad on my/our behalf.
 - 4.4. I/we undertake to notify PMS immediately in writing of any changes of the declaration given herein.
 - 4.5. For transaction in US securities I/we have completed US Tax Declaration Form (8 BEN)

Initial	
---------	--

APPLICATION FOR MARGIN FINANCING : INDIVIDUAL / CORPORATE

Margin facility applied for : RM _____

I list below the shares that will be offered by me/us as collateral for the facility applied for. I understand that the amount of facility to be approved by the Company will be based on the value of collateral pledged.

I further confirm that should I be unable to offer part of the collateral listed below, alternative collateral equivalent in value in such appropriate quantity and quantum will be substituted. If I am unable to provide the equivalent collateral, I agree that the Company reserves the right to reduce the amount of margin facility offered, suspend the account and/or withdraw the facility.

Quoted Shares

Counter	Quantity	FOR OFFICE USE ONLY			
		Market Price	Market Value	Margin Rate	Margin Value
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____
_____	_____	_____	_____	_____	_____

Others (e.g Cash, Banker's Guarantee etc)

Description	Value
_____	_____
_____	_____

WARRANTY AND DECLARATION (Margin Facility)

1. I hereby represent warrant and covenant to you PM Securities Sdn Bhd as follows:-
 - a) There is no litigation or proceedings before any court of law, arbiter, governmental or other regulatory or agency bodies pending or contemplated against me/us, which would threaten me, my properties and assets and restrain the execution of any agreement, memorandum, security document or any other instrument as the case may be. There are also no contingent liabilities or other financial obligations, which are material in the aggregate except as disclosed in the financial statements/documents furnished herein.
 - b) There is no mortgage, charge, debenture, pledge, lien or encumbrance whatsoever upon any of the stocks, shares and other marketable securities to be pledged that will have priority over the charge(s) to be created in your favour. Saved as disclosed herein, none of my assets, revenues, properties and rights are affected by any assignment, mortgage, charge or any interest in any property whether movable or immovable of any kind whatsoever and any bill of exchange, promissory notes, debt, chose in action, guarantee or indemnify or any other security of any nature whatsoever (hereinafter referred to as *Security Interest*) nor is part to, or its assets bound by any order, agreement, or instrument under which is or in certain, circumstances may be required or create or permit to arise any Security Interest.
 - c) I am aware that the truth and correctness of the above warranties and undertakings hereby contained shall form the basis of your commitment to make and continue to make available the margin facility (if approved).
2. By signing below, I request that the Trading Account be opened for us and I agree to abide by the terms and conditions as amended from time to time governing such an account.
3. I agree that PM Securities Sdn Bhd shall incur no liability whatsoever to us or the Dealer's Representative in exercising any or some of its rights under the Agreement to be signed, a copy of which I confirm has been shown to me, or taking or not taking any action in connection with the Margin Trading Account granted hereunder or any transaction through or under the same.
4. I agree to be responsible to you and to indemnify you for any sums, expenses, costs, losses or shortfalls of whatever nature incurred by you under my account in the event that I fail to make payment to you on time when due and a letter of indebtedness signed by you shall be final and conclusive of such sums, expenses, costs, losses or shortfalls against me.
5. I hereby authorise you to verify, exchange and release information on myself or any of the names mentioned herein with any such third parties as you deemed appropriate. I also authorise you to make enquiries whenever deemed necessary for confirmation of the due particulars and for credit assessment.
6. I hereby declare that the information given are true and correct and that I have not withheld any material facts. I enclose herewith certified true copy of the following documents:

Initial	
---------	--

STRUCTURED WARRANT RISK DISCLOSURE STATEMENT

1. This statement is provided to you in accordance with the directive of the Committee of Bursa Malaysia Securities Berhad dated 6 December 1994 pursuant to the Articles of the Exchange.
2. The purpose of this statement is to inform you that the risk of loss in purchasing structured warrants can be substantial. You should therefore assess if the purchase of structured warrants is suitable for you in light of your financial circumstances. In deciding whether to purchase structured warrants, you should be aware of the following:-
 - i. The purchaser of a structured warrant is subject to the risk of losing the full purchase price of the structured warrant and all transaction costs;
 - ii. In order to realise any value from a structured warrant, it is necessary to sell the structured warrants or exercise the structured warrants on or before their expiry dates;
 - iii. Under certain conditions, it may become difficult to sell the structured warrants;
 - iv. Upon exercise of the structured warrants, the issuer may settle its obligations via actual delivery of the underlying assets, in cash or a combination of both depending on the terms of the issue of structured warrants;
 - v. Placing of contingent orders, such as "stop-loss" or "stop-limit" orders will not necessarily limit your losses to the intended amount. Market conditions may not make it possible to execute such orders; and
 - vi. The high degree of leverage that is obtainable from structured warrants because of the small initial outlay can work against you as well as for you. The use of leverage can lead to large losses as well as gain.
3. This brief statement cannot disclose all the risks and other aspects of purchasing structured warrants. You should therefore carefully study the terms and conditions of any structured warrant before you decide to purchase. If you are in doubt in relation to any aspect of this statement or the terms of a structured warrant, you should consult your broker.

TERMS AND CONDITIONS

To: PM Securities Sdn Bhd

Dear Sirs,

By signing below, I/we hereby:-

1. ACCOUNT OPENING, OPERATION AND MAINTENANCE

- 1.1 Account Opening: request PM SECURITIES SDN BHD ("The Company") to open for me/us or on my/our behalf a trading account for the trading in stocks, shares and securities listed on any Exchange approved by The Company (the "Trading Account") and undertake to abide by the rules, regulations and requirements of The Company and the laws, rules and regulations pertaining to the trading in shares on the stock market, including the rules and regulations of Bursa Malaysia Securities Bhd ("Bursa Securities"), Bursa Malaysia Depository Sdn Bhd ("Bursa Depository"), and/or other exchange and/or regulatory body and/or authority (collectively the "relevant authorities") and such other amended, revised or supplemented laws, rules and regulations being in force from time to time.
- 1.2 Personal Data Protection Act (PDPA): agree and indemnify The Company against all losses, costs, expenses, damages, liabilities, demands, claims, actions and proceedings which The Company may incur arising out of a breach as defined in the Personal Data Protection Act, 2010 (PDPA).
- 1.3 Security Deposit: undertake to pay and maintain the amount of security deposit as required by The Company and at any time to add to the said deposit as and when required by The Company, and further to make immediate payment against delivery of stocks, shares and/or other securities (hereinafter referred to as the "Securities") purchased by me/us and/or on my/our behalf and authorise The Company to apply such payment/deposit in any manner as The Company may in its absolute discretion decide. I/We further undertake to pay the amount of deposit required by The Company on purchase contracts made on my/our behalf, the balance of which, if any, shall be paid immediately on delivery of any Securities, or upon request by The Company.
- 1.4 Documents: Undertake to deliver to The Company promptly in accordance with the requirements, rules and/or regulations of any of the relevant authorities any transfer deeds, certificates and/or documents of title of Securities, valid and registrable, which The Company may have sold on my/our behalf, and all other documents as The Company may require from time to time. In the event any of the transfer deeds or certificates or documents of title are discovered to be forged, stolen or missing, I/we agree and undertake to replace the same immediately, falling which I/we authorise The Company to buy in the same to cover my/our position and I/we shall be liable for all costs incurred through the buying in.
- 1.5 Share Custody Account: undertake to collect all certificates for any securities purchased and paid for by me/us, falling which, I/we shall not hold The Company responsible for any loss or damage to the certificates and/or Securities, or subsequent entitlement arising therefrom. I/We further agree that, in the event I/we fail, refuse and/or neglect to collect or cause to be collected any certificates or documents of title of Securities purchased and paid for by me/us within fourteen (14) calendar days (or any other period which The Company may stipulate) from the date of allocation of the Securities to me/us, The Company is absolutely entitled, but not obliged, to open a Share Custody Account on my/our behalf and thereafter transfer my/our uncollected Securities to my/our Share Custody Account or such Share Custody Account as The Company may open on my behalf/our behalf. I/We covenant to be bound and to abide by all terms and conditions which govern the holder of a Share Custody Account at the time of transfer including without limitation the imposition of service charges for opening and operation of a Share Custody Account.
- 1.6 CDS Account: agree and undertake to open and maintain an account with Bursa Depository with The Company as authorised depository agent ("CDS Account") and to pay all relevant fees and charges in respect of such account and all transactions made thereunder.
- 1.7 Telephone Orders:
 - a) agree that all orders made through the telephone shall be deemed to be confirmed without any requirement of The Company's part to furnish any proof and any transactions if executed are at my/our own risk.
 - b) agree to telephone conversations being recorded (with or without use of an automatic tone-warning device) at the absolute discretion of The Company and to such recordings and transcripts being used as evidence in any dispute. The Company is not required to maintain copies of such recordings or transcripts.
- 1.8 Access to The Company Trading Website And Internet Orders:
 - a) agree to accept the terms and conditions to register and access The Company online trading website to view information on shares, securities and stocks.
 - b) agree that all orders made through the The Company trading website shall be deemed to be confirmed without any requirement of The Company's part to furnish any proof and any transactions if executed are at my/our own risk.
 - c) agree that the username, password and trading PIN to access and conduct trading in shares, stocks and securities are not shared, made known whether unintentionally or intentionally to third party.

Initial	
---------	--

TERMS AND CONDITIONS

2. INTEREST, COSTS AND CHARGES

- 2.1 Interest: Undertake to pay PMS interest in respect of any overdue amount at such rate and manner of calculation (including compounded/capitalised interest) as may be determined by The Company at its absolute discretion from time to time and agree that interest due subsequent to any judgement of a court shall be at a rate and manner of calculation to be specified.
- 2.2 Legal Costs/Charges: declare that I/we shall be liable to pay to The Company all legal costs, charges and expenses together with interest thereon which pms may incur in obtaining or seeking to obtain payment of all or part of the moneys owing to The Company.
- 2.3 Payment: undertake to pay The Company promptly interest and all charges including late payment charges at such rate(s) and manner of calculation as in determined by The Company on the outstanding debit balance of my/our account and pay all relevant fees, service fees, bank charges, commission and charges relating to the transactions which The Company shall establish from time to time including legal fees incurred by The Company on a solicitor-and-client basis in the enforcement of any of my/our obligations and/or liabilities.

3. DECLARATIONS, UNDERTAKINGS, REPRESENTATIONS AND WARRANTIES

- 3.1 Where I am a person, declare that I:-
- Qualification : am 18 years of age or over.
 - Bankruptcy : have not been adjudicated bankrupt and that there are no pending bankruptcy proceedings against me.
 - Employee of Participating Organization : am not at present in the employment of any stockbroking company/firm or a Participating Organization of Bursa Securities.
 - Anti Money Laundering and Anti Terrorism Act : I hereby declare my source of fund to transact and/or trade on shares, stocks and securities does not contravene Anti Money Laundering and Anti-Terrorism Financing Act (AMLATFA).
- 3.2 Where we are a company, declare that we
- Incorporation : have been properly and duly incorporated and are validly existing in accordance with all relevant laws.
 - Winding-up : have not been wound-up and there are no pending winding-up proceedings commenced against us.
- 3.3 Bursa Securities Rules : declare that I am/we will not breach any Bursa Securities Rules or any of the relevant authorities in dealing and/or trading in stocks, shares and securities through my/our trading account(s) opened/registered at The Company.
- 3.4 Bursa Depository / Central Depository System (CDS) : declare that I am/we responsible to check and ensure all the stocks, shares and securities are maintained correctly at The Company. I/we will inform and notify The Company in the event of any discrepancies on the stocks, shares and securities balances encounter before giving instructions to buy and/or sell the stocks, shares and securities.
- 3.5 Truth and Correctness of Information : declare that all information given herein is true and correct and that I/we have not willfully withheld any material fact. I/We further authorize The Company, at its absolute discretion, to verify all such information in any manner or with such other third parties as The Company may deem necessary. I/We undertake to provide such additional information as and when required by The Company.
- 3.6 Occurrence of Event of Default : undertake that in the event of the occurrence of any of the events sets out in 3.1 – 3.3, above, I/we will immediately cease trading and forthwith notify The Company in writing of the occurrence of the event. I/We agree that until written notice is received by The Company, all orders carried out by The Company under my/our trading account shall be valid and enforceable on me/us.
- 3.7 To settle losses : undertake to settle immediately all sums of money due on contra losses or other moneys howsoever owing under my/our trading account and authorize The Company to utilise any contra profit/gain or proceeds from any sales or moneys due to me/us to set-off my/our liabilities to The Company.
- 3.8 Good Title : represent and warrant that I/we have good title to any Securities that I/we sell through The Company and that such Securities are in the form of scripts held by me/us or are held by me/us in my/our CDS account and are available for delivery/transfer to The Company and/or the purchaser of the same (or his agent) in accordance with the requirements of any of the relevant authorities. I/We further undertake, where necessary, to promptly deliver to PMS any documents of title in respect of Securities sold by me/us or on my/our behalf.

4. AUTHORISATION

- 4.1 Release of Information: authorise The Company to provide the necessary information pertaining to my/our application, my/our trading account and any other dealings with The Company to any of the relevant authorities and/or any other party as required by law or as The Company shall otherwise in its absolute discretion deem fit, including a debt collection agent for the purpose of recovery of any sums due from me/us to The Company.
- 4.2 **Authority to Dealer's Representative: authorise my/our Dealer's Representative: _____**
Dealer's Representative License No.: _____, Dealer's Representative NRIC No.: _____
named herein to carry out the following acts on my/our behalf:-
- to deliver and collect transfer deeds, share certificates and/or other documents of title of Securities;
 - to claim and/or collect cheques and moneys due and payable to me/us;
 - to make payments for stocks, shares and/or Securities purchased by me/us or on my/our behalf;
 - to make all and any inquiries and obtain information from Bursa Malaysia Depository Sdn Bhd deemed by the Dealer's Representative necessary or prudent in respect of my/our CDS Account;
 - to carry out all and any other matters (administrative or otherwise) and any other acts deemed necessary by the said Dealer's Representative.
 - to substitute and appoint from time to time one or more other person(s) as my/our representative with the same powers and such substitute or appointee(s) at pleasure to remove and/or to appoint such other representatives.
- 4.3 Authority to Sell Out or Buy In: authorise The Company to sell out or buy in such Securities as may be required to settle my/our outstanding position with The Company and I/we undertake to indemnify The Company against any and all losses in the event I/we fail to comply with the requirements set out in clauses 1.2, 1.3, 3.6 and/or any other relevant provisions hereof.
- 4.3 Authority to Deal with Securities: without prejudice to any other provision herein, I/we further authorise The Company to deal with Securities bought for me/us or on my/our behalf (whether or not in any account) for which I/we have not paid in any manner The Company deems fit. The amounts realised by the exercise of this action shall be applied against my/our liabilities in such order of priority as The Company may in its absolute discretion determine. I/We further authorise The Company to withhold and/or deal with as The Company deems fit all or any of the Securities purchased and paid for me/us in my/our Trading Account or other account until the full and final settlement of any/or all losses in my/our Trading Account or other account. The Company is hereby authorised to report my/our delinquent debts to The Company to any of the relevant authorities.

Initial	
---------	--

TERMS AND CONDITIONS

5. RIGHTS OF THE COMPANY

- 5.1 Right to Reject Application: agree that my/our application herein is subject to the approval of The Company and The Company reserves the right to reject my/our application or impose such conditions and/or restrictions as The Company may deem fit without giving any reasons therefor.
- 5.2 Right to Refuse: agree that The Company shall have the right at any time to refuse any orders made by me/us or limit the purchases or sales ordered by me/us.
- 5.3 Right to Close Account: agree that The Company, its agents, servants or Dealer's Representatives may at any time at its/their absolute discretion suspend or close the Trading Account or vary the above rules and regulations without giving any reason therefor.
- 5.4 Right to Debit Account: in addition and without prejudice to any of the above, expressly, unconditionally and irrevocably authorise The Company to debit my/our account with The Company, including but not limited to my/our aforesaid Trading Account, with all or any amounts due or owing from me/us whether arising from or in respect of Securities purchased by me/us and/or contra losses incurred by me/us and/or all other moneys payable by me/us to The Company from time to time.

6. LIEN

- 6.1 Lien: agree that The Company shall have a lien on all the following for all losses from time to time incurred by me/us under the Trading Account and all other moneys of any kind or nature whatsoever from time to time hereafter howsoever due or outstanding from or owing or payable by me/us to The Company (including but not limited to all losses from time to time incurred by me/us under any one or more of my/our other accounts with The Company):-
- all shares and other securities (including but not limited to the Securities) from time to time deposited in or credited to my/our CDS account in relation to or for the purpose of my/our trading account;
 - all shares and other securities from time to time deposited in or credited to all other CDS accounts now and from time to time hereafter opened by me/us with The Company as authorised depository agent; and
 - all moneys now and hereafter standing to my/our credit with The Company under my/our trading account as well as all moneys whatsoever now and hereafter from time to time standing to my/our credit with The Company under all my/our other accounts with The Company from time to time.
- 6.2 The Company's right to dispose of Securities: agree that The Company shall be entitled, and is hereby irrevocably authorised from time to time and at any time or times, subject to it having first given to me/us at least seven (7) market days' prior written notice of its intention to sell or dispose of my/our Securities, to sell or otherwise dispose of all or any of my/our Securities at such time or times, at such price and in such manner as The Company at its absolute discretion deems fit and to apply the proceeds of such sale or disposal (after deduction therefrom of all costs and expenses incurred in such sale or disposal) in or towards satisfaction of the losses from time to time or at any time incurred by me/us under the trading account or any other account and/or other moneys whatsoever from time to time hereafter due from or owing or payable by me/us to The Company.
- 6.3 Right of set off: agree that The Company shall also be entitled, and is hereby irrevocably authorised, from time to time and at any time or times, without any prior or further notice to me/us to set off the whole or part or parts of the losses from time to time incurred by me/us under my/our trading account or any other account and/or any other moneys whatsoever from time to time hereafter due from or owing or payable by me/us to The Company against the moneys now or hereafter standing to my/our credit with The Company (whether under this trading account or under any other account I/we may from time to time have with The Company) and any other moneys then held to my/our order by The Company (whether placed in a trust account or not).
- 6.4 Right to withhold Securities and moneys: agree that The Company shall be entitled so long as any moneys are outstanding from or owing or payable by me/us to The Company under this trading account or any other account with The Company or in respect of or in relation to any transaction or contract whatsoever effected or executed by The Company for me/us or on my/our behalf, to withhold or refuse to allow the transfer or withdrawal by me/us of all or any of the shares and other Securities and/or all or part of the moneys on which The Company has a lien as aforesaid.
- 6.5 No encumbrance: agree and undertake with The Company that so long as any moneys are outstanding from or owing or payable by me/us to The Company under the trading account or any other account with The Company or in respect of or in relation to any transaction or contract whatsoever effected or executed by The Company for me/us or on my/our behalf, I/we will not pledge, charge, assign, hypothecate or otherwise howsoever create or allow to arise any encumbrance, security interest or any other interest or claim over the shares and other securities and moneys on which The Company has or is entitled to a lien as aforesaid.
- 6.6 No obligation: agree that, notwithstanding anything to the contrary express or implied in or by this Agreement or any other document or by law otherwise, The Company shall not be obliged to exercise its rights under Clause 6.2 and 6.3 above, which said rights are in addition and without prejudice to The Company's other rights, power and remedies under or pursuant to or in connection with this Agreement and all other rights, powers and remedies to which PMS is from time to time or at any time otherwise entitled (whether by operation of law, contract or otherwise).

7. COLLATERALISED TRADING

Where I/we have applied/opted for a collateralised trading account ("Collateralised Account"), I/we understand and agree that in addition to the other provisions set out herein this Trading Account application and agreement, the following shall apply in respect of the Collateralised Account:-

7.1 Terms and Conditions:-

- the Collateral shall be a continuing security to The Company for any and all amounts outstanding or owing from me/us to The Company, including (but not limited to) any monies now or hereafter due or owing under the Collateralised Account;
- in the event any amount or debt remains outstanding for such period of time prescribed by The Company at its sole and absolute discretion, The Company shall, be entitled to deal with any or all of the Collateral in its sole and absolute discretion and in any manner and at any time it shall deem fit, without notice to me/us, for the purpose of settling such outstanding amount or debt;
- I/We shall have no claim or resource against The Company and The Company shall not in anyway be responsible for any losses or claims howsoever arising (whether direct or indirect) from sale, disposal, transfer, assignment or charge of any of the Collateral or from any delay in so dealing with the Collateral;
- authorise The Company to register the Securities in the name of The Company or its nominee. If any of the Securities are held in our CDS account, The Company shall be empowered in accordance with section 40 of the Securities Industry (Central Depositories) Act 1991, to request Bursa Depository to transfer such shares into the securities account(s) of The Company's or its nominee. Notwithstanding the aforesaid, while the Securities are in the custody, possession or control of The Company or its nominee, neither The Company or its nominee shall be answerable or responsible for any diminution in value of any of the Securities, however arising, or to ensure that any rights, bonus or dividends declared in respect of the Securities are taken up, collected or received;

Initial	
---------	--

TERMS AND CONDITIONS

- e) authorise The Company to make enquiries, request and/or receive ad-hoc statements of account in respect of my/our CDS account as aforesaid maintained with The Company as an Authorised Depository Agent, as and when The Company shall deem fit or necessary in its sole and absolute discretion without the need to seek my/our consent.

7.2 Operations:-

- a) collateral must be deposited with The Company and shall be of a type and amount acceptable to The Company. The trading limit for the Collateralised Account shall depend on the amount of the Collateral deposited provided always that The Company may impose a maximum limit for trading on the Collateralised Account;
- b) The Company may cap or discount the value of shares (or other securities) provided as collateral for the purpose of determining the trading limit of the Collateralised Account;
- c) to provide and deposit (at my/our cost and expense) additional Collateral at any time upon The Company's request, together with all required documents (e.g. duly completed and valid transfer forms, etc.);
- d) The Company may suspend, withdraw or terminate the Collateralised Account and release such suspension or convert the Collateralised Account to a regular Trading Account at any time at its sole and absolute discretion;
- e) where any amount outstanding or owing is not settled promptly (whether demanded or not) Collateral shall be utilized to settle the amount outstanding or owing. Utilisation/realisation of Collateral shall be in the priority as determined by The Company, and Collateral will be realised to the extent of the amount deemed required by The Company.

8. INDEMNITY AND LIABILITY

- 8.1 Indemnity: agree to at all times fully and effectively indemnify The Company and keep The Company fully and effectively indemnified against all actions, suits, proceedings, claims, demands, losses, charges, penalties, fees, fines, costs, debts, interests, legal fees (on a full indemnity basis) and expenses whatsoever made, taken, brought, instituted, imposed, suffered, incurred, prosecuted or payable in any way howsoever (including without limitation negligence on the part of PMS or its agents, employees or servants) against or by The Company to any person arising out of or incidental to all matters relating to my/our trading account or any other account with The Company or the authorisation granted herein including without limitation to the agreements, undertakings and covenants herein. The right of indemnity conferred upon The Company herein shall continue in full force and effect, and shall continue to subsist hereafter notwithstanding the suspension, termination or closure of any one or all of my/our accounts with The Company and shall be binding upon my/our heirs, personal representatives, executor/administrator, successors-in-title and/or permitted assigns.
- 8.2 Liability: agree and undertake that I/we shall not hold The Company or any of the officers, employees, or agents of The Company responsible or liable for whatever losses incurred as a result of the acts, representations, neglect, negligence and/or omissions of the said Dealer's Representative and I/we undertake to ratify and confirm all and whatever the said Dealer's Representative shall do in carrying out his/her duties in connection with this Trading Account.
- 8.3 Irrevocability: agree that the authorizations given hereunder shall be irrevocable and I/we shall be responsible and liable for the consequences of these authorizations.

9. NOTICE/SERVICE

- 9.1 Change of Particulars: undertake to notify The Company immediately in writing of any change of the particulars given herein. In the event of a change of my/our address as given herein, should I/we fail to so notify The Company or should The Company fail to receive my written notification, any notice inclusive of contract notes, contra statement, monthly statement of account sent by The Company to the address last known to The Company shall be deemed effected upon the expiry of three (3) days after the same is sent by ordinary post or registered post.
- 9.2 Notice via Post: agree that contract notes, statements and/or any other notices issued by The Company are deemed to have received by me/us if mailed through the ordinary postal services.
- 9.3 Conclusiveness: agree that written confirmation of contracts entered into and any statement of account furnished by The Company shall be conclusive and binding on me/us if not objected to by me/us in writing the next business day after the same is deemed to have been received by me/us.
- 9.4 Service of Legal Process: agree that service of any legal process which includes pleadings, all forms of originating process, interlocutory application of whatever nature, affidavits, orders and any such documents which are required to be served under the Rules of the High Court 1980, Subordinate Court Rules 1980, Companies Act 1965, Bankruptcy Act 1965, Bankruptcy Act 1967, Debtors Act 1957 and any other relevant laws and the rules made thereunder by prepaid registered post sent to the address as given by me/us in the application form or the new address as provided pursuant to clause 9.1 and shall be deemed to have been duly served and duly received by me/us upon the expiry of three (3) days after the same is effected.

10. MISCELLANEOUS

- 10.1 Delay: agree that failure of delay on the part of The Company to insist in any one or more instances upon the performance of any of the provisions contained herein or any continued course of such conduct on the part of The Company shall not be construed as a waiver or relinquishment of any of The Company's rights or privileges to performance, present or future, of such provision and my/our obligation in respect of such performance shall continue in full force and effect.
- 10.2 Unenforceability/Illegality: agree that in the event any one or more of the provisions contained herein shall for any reason be held to be unenforceable, illegal or otherwise invalid in any respect under the law governing the terms herein (being the law of Malaysia) or its performance, such unenforceability, illegality or invalidity shall not affect any other provisions herein and the provisions herein shall then be construed as if such unenforceable, illegal or invalid provisions had never been contained herein.
- 10.3 Headings: agree that the headings and sub-headings in this Agreement are inserted for convenience only and are to be ignored when construing the provisions of this Agreement.
- 10.4 Acknowledgement: acknowledge that I/we have read and clearly understood the provisions of this Application Form and agreement. I/We further confirm that my/our Dealer's Representatives has clearly explained the said provisions to me/us.

Initial	
---------	--

DECLARATION BY APPLICANT

I/We hereby confirm that all particulars and information given in this application is true and correct and that I/we have not withheld any material facts from PM Securities Sdn Bhd ("The Company").

I/We acknowledge that I/we have read and clearly understood the aforesaid Memorandum of Deposit (if applicable), structured Warrant Risk Disclosure Statement and the Terms and Conditions and hereby agree to be bound by all the terms and conditions accompanying this application form which The Company may vary from time to time at its absolute discretion.

Application's Signature / Authorised Signatory(ies) & Company Stamp/Common Seal

Name :

NRIC / Passport No. :

Date :

Witness' Signature

Name :

NRIC No. :

Date :

TO BE COMPLETED BY DEALER'S REPRESENTATIVE

How do I know Applicant : _____

Duration I have known Applicant : _____

Applicant's Investment Style : Always pays for purchases Most of the time pays for purchases Most of the time contra Always contra

Ability to Evaluate Risk in Good (has knowledge to evaluate risk, seeks and evaluate advice, does not trade on rumours)

Trading/Investing in Securities : Average (some knowledge to evaluate risk, listens to rumours, but seeks advice/confirmation)

Poor (lacks knowledge to evaluate risk, listens to rumours, acts impulsively and does not listen to advice)

Trading Limit Recommended : RM _____

Other Relevant Information to Justify Recommendation : _____

I hereby seek approval from The Company to register the abovenamed applicant as my client of The Company for my account and at my own risk and liabilities. As a Dealer's Representative of The Company, I hereby confirm that all the information given herewith by the said applicant is true and correct to the best of my knowledge and belief, and where the applicant is unable to read and understand the provisions (including the rights, convenants, undertakings and obligations of the applicant/client) as contained in the application form and trading account agreement of The Company, I have distinctly, clearly and audibly translated the same for the applicant into thelanguage / dialect which is the language/dialect understood by the applicant, and the applicant has appeared to clearly understand the same.

I hereby shall ensure and check my client's source of fund to transact and/or trade on shares, stocks and securities to comply with Anti Money Laundering and Anti-Terrorism Financing Act (AMLATFA)

I shall be responsible for making good any overdue payments or debts incurred or owing by the abovementioned applicant/client or otherwise incurred for his account and hereby undertake to indemnify The Company for any and all losses, costs, charges, expenses incurred and interests deemed by The Company to be due or owing (including professional fees/solicitors charges) and The Company shall be entitled to claim from me the whole or part of any monies owing by the abovementioned applicant/client notwithstanding that a claim therefor has not been made by The Company against the said applicant/client and whether or not action has been taken against the said applicant/client for recovery of such monies.

Signature of Dealer's Representative

Name :

Dealer's Representative License No. :

NRIC No. :

Date

FOR OFFICE USE ONLY

Approved Trading Limit : RM _____

Brokerage Code : _____ Client Type : _____

Approved Foreign Share Trading Limit : RM _____

Brokerage Code : _____ Client Type : _____

Approved by & Date :

Keyed in by : _____ Checked by: _____

Name :

Date : _____ Date : _____

Remarks :

Remarks : _____

ADDITIONAL SUPPORTING DOCUMENTS REQUIRED CHECKLIST

Individual :

- CDS / Trading A/C statement (if no income supporting documents)
- Letter of Guarantee, copy of guarantor's NRIC and income supporting documents (if applicable)
- Any other documents which may be required by The Company from time to time

Corporation :

- Board Resolution
- CTC of Memorandum & Articles of Association / By-Laws
- CTC of Form 8/9 - Certificate of Incorporation
- CTC of Form 13 - Change of Company Name (if applicable)
- CTC of Form 24 - Return of Allotment of Shares
- CTC of Form 44 - Notification of Situation of Registered Office
- CTC of Form 49 - Particulars of Directors, Managers and Secretaries

- CTC of latest audited accounts
- For foreigners, documents equivalent to the above
- Letter of Guarantee, Indemnity Agreement, copy of guarantor's NRIC and income supporting documents
- Photocopy of Director's NRIC
- Stamping fees, service charges and GST
- Any other documents which may be required by PMS from time to time

PM SECURITIES SDN BHD (66299-A)

INTRA-DAY TRADE

TERMS AND CONDITIONS

Company : PM SECURITIES SDN.BHD.
Applicant's Name : _____
Client Code : _____
Dealer Rep, Code : _____

In consideration of the company allowing me/us to operate the Intra-Day Trade facility in my/our Trading Account with the Company, I/we hereby Irrevocably and unconditionally agree on the following terms and conditions: -

1. The brokerage to be charged is as follows: -

0.15% (being the Intra-day Rate) on the transaction value of trades. The minimum amount of the transaction value for each counter and the counters allowed to qualify for the Intra-day Rate shall be as determined by the Company from time to time.

2. All positions must be cleared **In full by end of T-day**. There must not be any outstanding trades in the account by end of T-day, Failure to clear the position by T-day, e.g. a purchase contract that is not closed or fully closed and a sale contract to close purchase(s) done on T- day, shall result in the revision to normal brokerage rate on the outstanding contracts charged by the Company in accordance with the brokerage rates as determined by Bursa Malaysia Securities Berhad from time to time.

3. Purchase of counters that are suspended during the day shall be deducted from the Approved Limit. Trading limit shall be adjusted / calculated after this deduction.

4. Direct Business Transactions are strictly prohibited.

5. Short Selling, price manipulation or creation of false volume is strictly prohibited.

6. Partial contra of Purchase Contract is not allowed on T-day.

7. The company reserves the sole and absolute right to suspend the account in the event of any failure by the client to observe any of the terms and conditions.
8. The company reserves its sole and absolute rights to vary, amend or alter any of the above terms and conditions as Company deems fit.
9. The above terms and conditions are in addition to and not in derogation to the existing terms and conditions as stipulated in the Retail Application Form.

I/We agree to able to all terms and conditions as stated above. I/we understand all terms and conditions are subject to change at the sole discretion of the Company.

Signed By:

Witnessed By:

 Applicant's Name:
 NRIC No:
 Date:

 DR's Name:
 DR's Code:
 Date:

FOR OFFICE USE ONLY	
Credit Management Department / Credit Control Department	Approving Authorities
Recommended by: Name: Date:	Approved by: Name: Date:

PM Securities Sdn Bhd
FATCA/CRS Self-Certification (Individual)

Dear PM Securities Clients,

Please be informed that PM Securities Sdn Bhd is required to obtain its client's tax information and other relevant information in line with the Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS) legislation requirement. Hence, account openings request submitted is required to be accompanied with the self-certification form to our company. Please note that, PM Securities Sdn Bhd is required to share the declared financial information relating to your account with our local tax authority which is the Inland Revenue Board of Malaysia (IRBM) and they may share this information with other tax authorities of other jurisdictions in relation to the intergovernmental agreements.

Definition of Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS)

FATCA is a United States ("US") legislation that aims to prevent tax evasion by U.S persons/taxpayers by using non-US financial institution and other offshore investment entities. FATCA will also require foreign financial institution to report directly to the local tax authority and local tax authority to report to U.S tax authority. Non-financial institution to identify U.S Persons and based on the citizenship of the customer.

You may refer to the following website for further enquiries on FATCA matters:
<https://www.irs.gov/businesses/corporations/summary-of-fatca-reporting-for-us-taxpayers>

CRS was developed by the Organisation for Economic Cooperation and Development (OECD) to combat tax evasion. CRS is a global effort model of automatic exchange of information for the purpose of tax compliance. Financial account information will be exchanged between jurisdictions and financial institutions required to carry out with the reporting requirement and common due diligence procedures. Under the CRS, Malaysian Financial Institutions (MYFIs) are required to collect and report to Inland Revenue Board of Malaysia (IRBM), financial account information on non-residents, clients who are having tax residency of another country. IRBM will then proceed to exchange this information with the participating foreign tax authorities of those non-residents. Malaysia would also be receiving financial information of Malaysian residents from other countries' tax authorities. You may refer to the following website for further enquiries on tax residency status: <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/#d.en.347760>

Both legislations will help to ensure that residents with financial accounts in other countries are complying with their domestic tax laws.

PM Securities Sdn Bhd is categorized as financial institution; and we are not allowed to give tax advice to our clients. Your tax adviser may be able to assist you in answering specific questions listed on this form. Please find the summaries of defined terms in the Appendix.

Who is required to complete the FATCA/CRS Forms?

Customers (Individual/Entity) is required to provide their FATCA and CRS status by completing the self-declaration form.

If you are an **individual account holder**; please complete:
FATCA/CRS Individual Self Declaration Form

*If you are **completing this form on behalf of someone else**, please inform the person and inform us in what capacity you are signing the form (example custodian, nominee, under power of attorney, legal guardian on behalf of an account holder who is a minor).

If you are an **entity or required to self-certify on behalf of an entity**, please complete:
FATCA/CRS Entity Self Declaration Form

If you are a **controlling person of an entity**, please complete:

For FATCA -FATCA Entity Self Declaration (Section B-Declaration of U.S Controlling Persons of Passive NFFE)

For CRS -CRS Controlling Person Self Declaration Form

SECTION A: CLIENT'S PARTICULARS
(Please complete all sections in BLOCK CAPITALS)

<input type="checkbox"/> I am an individual	
Name	
Date of Birth (DD/MM/YYYY)	
NRIC/Passport Number	
Nationality	
Residential/Registered/Permanent Address	
Town or City	
Country & Postal Code/ZIP Code (If any)	
P.O. box or a postal box (If any)	
Mailing Address (if different from the stated address above)	
Town or City	
Country & Postal Code/ZIP Code (If any)	
P.O. box or a postal box (If any)	

SECTION B: CLIENT SELF DECLARATION FOR FATCA
Declaration of U.S. Citizenship/U.S. Residence for Tax purposes

Please select the following U.S Indicia (if you possess/maintain any of it).

No	U.S Indicia Status	Declaration
1.	Are you a U.S Citizen/resident/tax resident? (Example: U.S passport, green card holder, U.S taxpayer etc) If you have selected "Yes", please provide the Tax Payer Identification Number (TIN) or Social Security Number (SSN) :	<input type="checkbox"/> Yes <input type="checkbox"/> No
2.	Is U.S your country of birth?	<input type="checkbox"/> Yes <input type="checkbox"/> No
3.	Do you have U.S Mailing/Residence/including P.O Box (post office box)?	<input type="checkbox"/> Yes <input type="checkbox"/> No
4.	Do you have a current U.S Telephone Number?	<input type="checkbox"/> Yes <input type="checkbox"/> No
5.	Do you have any standing instruction to transfer funds from PM Securities Sdn Bhd to an account maintained in the U.S?	<input type="checkbox"/> Yes <input type="checkbox"/> No
6.	Do you currently have a 'hold mail' or 'in care of' address located in the U.S. as your sole address?	<input type="checkbox"/> Yes <input type="checkbox"/> No

7.	Did the power of attorney or signatory authority granted a U.S address?	<input type="checkbox"/> Yes <input type="checkbox"/> No
I fully understand the above questions pertaining to FATCA requirements and hereby declare that: I am a Non U.S Individuals with No U.S Indicia(s) which stated in (No.1-7)		<input type="checkbox"/> Yes <input type="checkbox"/> No
Required Documents/Information to be furnished: (Individual client who is Non U.S. Individual with No U.S. Indicia to provide a copy of Malaysian NRIC)		
I am a Non U.S Individuals with U.S Indicia		<input type="checkbox"/> Yes <input type="checkbox"/> No
Required Documents/Information to be furnished: (Individual client who is Non U.S. Individual with U.S. Indicia to provide U.S IRS Form W-8BEN-Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting Individuals and a copy of Malaysian NRIC/Malaysian Passport or other relevant documents)		
I am a U.S Individual		<input type="checkbox"/> Yes <input type="checkbox"/> No
Required Documents/Information to be furnished: (Individual client who is a U.S. Individual to provide U.S IRS Form W-9-Request for Taxpayer Identification Number and Certification and a copy of U.S Passport)		
I was born in the U.S (or a U.S territory) BUT I am no longer a U.S citizen as I have surrendered my citizenship voluntarily.		<input type="checkbox"/> Yes <input type="checkbox"/> No
Required Documents/Information to be furnished: (Individual client to provide the evidence of citizenship suspension or other relevant documents)		

SECTION C: CLIENT SELF DECLARATION FOR CRS
 Declaration for Tax Residency in any country/jurisdictions

Please tick one option and complete as appropriate.

- a) **Malaysia tax resident** (Not required to complete the country/jurisdiction of tax residence for table below)
- b) **Malaysia and Non-Malaysia tax resident** (Please provide the tax residency information in the following table below and TINs for each country/jurisdiction indicated)
- c) **Non-Malaysia tax resident** (Please provide the tax residency information in the following table below and TINs for each country/jurisdiction indicated)

If you are a Non-Malaysian Tax resident, please declare the following information and submit the relevant supporting documents (if applicable):

No	Country/Jurisdiction of tax residence	Taxpayer Identification Number (TIN)	If no TIN available enter Reason A, B or C	Please provide further explanation if you select Reason B.
1.				
2.				
3.				

- If a TIN is unavailable please provide the appropriate reason A, B or C where indicated below:

Reason A - The country where the Account Holder is liable to pay tax does not issue TINs to its residents.

Reason B - The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the above table if you have selected this reason).

Reason C - No TIN is required. (Note: Only select this reason if the authorities of the country of tax residence entered below do not require the TIN to be disclosed).

- If the Account Holder is tax resident in more than three countries/jurisdictions, please use a separate sheet.

SECTION D: CLIENT'S DECLARATIONS & SIGNATURE

- 1) I would like to declare that the information provided above is true, accurate and complete.
- 2) I clearly understand that the term "U.S. Person" means that any citizen or resident of the United States.
- 3) I hereby provide my permission for PM Securities Sdn Bhd including its branches to disclose my accounts information or any reportable accounts to tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in accordance with the requirements of Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS).
- 4) I hereby agree that PM Securities Sdn Bhd may classify me as reportable person/account as well as to suspend, recall or terminate my account(s) in the event if I provide inaccurate and incomplete information and/or documentation as the company may require.
- 5) I hereby agree that the PM Securities Sdn Bhd may withhold from my account(s) such amounts in accordance with the provisions of Foreign Account Tax Compliance Act (FATCA) or as may be stipulated by applicable laws, regulations, agreement or regulatory guidelines or directives.
- 6) I undertake to notify PM Securities Sdn Bhd in writing within 30 calendar days of any change in circumstances which causes the information contained herein to become incorrect and affects the tax residency status and to provide with a suitably updated self-certification and Declaration.
- 7) I certify that where I have provided information regarding any other person (such as a Controlling Person or other Reportable Person to which this form relates) that I will, within 30 days of signing this form, notify those relevant persons that I have provided such information to PM Securities Sdn Bhd and that such information may be provided to the tax authorities of the country in which the account(s) is/are maintained and exchanged with tax authorities of another country or countries or jurisdiction in which the person may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

Name:	Signature:	Date (DD/MM/YYYY):
NRIC/Passport Number:		

Note: Please confirm and indicate the capacity you are signing this form (If you are not the Account Holder). If signing under a power of attorney please also attach a certified copy of the power of attorney.

- I confirm that I am an authorized representative for the Individual account holder and below is the detail of my capacity for signing this form.
- Relationship.....
- Capacity.....

Appendix–Summary Descriptions of Select Defined Terms (FATCA & CRS)

Note:

These are the selected summaries of defined terms provided to assist you with the completion of this form. Further details can be found within the U.S IRS website and Organisation for Economic Cooperation and Development (OECD) website. Or you may refer to the Inland Revenue Board of Malaysia (IRBM) for further details. If you have any questions then please contact your tax adviser or domestic tax authority.

“Account Holder” The term means the person listed or identified as the holder of a Financial 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. In these circumstances that other person is the Account Holder. For example in the case of a parent/child relationship where the parent is acting as a legal guardian, the child is regarded as the Account Holder. With respect to a jointly held account, each joint holder is treated as an Account Holder.

“Control” over an Entity is generally exercised by the natural person(s) who ultimately has a controlling ownership interest (typically on the basis of a certain percentage (e.g. 25%) in the Entity. Where no natural person(s) exercises control through ownership interests, the Controlling Person(s) of the Entity will be the natural person(s) who exercises control of the Entity through other means. Where no natural person or persons are identified as exercising control of the Entity through ownership interests, the Controlling Person of the Entity is deemed to be the natural person who holds the position of senior managing official.

“Controlling Person” This is a natural person who exercises control over an entity. Where an entity Account Holder is treated as a Passive Non-Financial Entity (“NFE”) then a Financial Institution must determine whether such Controlling Persons are Reportable Persons. This definition corresponds to the term “beneficial owner” as described in Recommendation 10 and the Interpretative Note on Recommendation 10 of the Financial Action Task Force Recommendations (as adopted in February 2012). 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 .

“FATCA” Foreign Account Tax Compliance Act - A reporting regime for Financial Institutions with respect to certain accounts. The underlying policy goal of FATCA is to improve tax compliance <https://www.irs.gov/businesses/corporations/summary-of-fatca-reporting-for-us-taxpayers>.

“Intergovernmental Agreement (IGA)”- An agreement or arrangement between the U.S. or the Treasury Department and a foreign government or one or more agencies to implement FATCA.

“Malaysia Tax Resident” Please refer to the following link for the definition of Malaysia Tax Resident:
<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/Malaysia-Residency.pdf>

“Tax Resident” refers to the definition of tax residence by each participating jurisdiction. In certain circumstances may cause you to be resident elsewhere or resident in more than one country/jurisdiction at the same time (dual residency). For more information on tax residence, please consult your tax adviser or the information at the OECD automatic exchange of information portal mentioned above.
<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/#d.en.347760>

“TIN” (including “functional equivalent”) The term “TIN” means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual or an Entity and used to identify the individual or Entity for the purposes of administering the tax laws of such jurisdiction. Further details of acceptable TINs can be found at the OECD automatic exchange of information portal

<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/#d.en.347760> &
<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-identification-numbers/#d.en.347759>

Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a “functional equivalent”). Examples of that type of number include, for individuals, a social security/insurance number, citizen/personal identification/service code/number, and resident registration number.

“US Person”- A US citizen or resident individual, a partnership or corporation organized in the US or under the laws of the US or any State thereof, a trust if (i) a court within the US would have authority under applicable law to render orders or judgments concerning substantially all issues regarding administration of the trust, and (ii) one or more US persons have the authority to control all substantial decisions of the trust, or an estate of a decedent that is a citizen or resident of the US.

“US Reportable Account”- A Financial Account maintained by a Reporting MYFI and held by one or more Specified US Persons or by a Non-US Entity with one or more Controlling Persons that is a Specified US Person.

Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding

OMB No. 1545-1621

▶ Section references are to the Internal Revenue Code. ▶ See separate instructions.
 ▶ Give this form to the withholding agent or payer. Do not send to the IRS.

Do not use this form for:

- A U.S. citizen or other U.S. person, including a resident alien individual W-9
- A person claiming that income is effectively connected with the conduct of a trade or business in the United States W-8ECI
- A foreign partnership, a foreign simple trust, or a foreign grantor trust (see instructions for exceptions) W-8ECI or W-8IMY
- A foreign government, international organization, foreign central bank of issue, foreign tax-exempt organization, foreign private foundation, or government of a U.S. possession that received effectively connected income or that is claiming the applicability of section(s) 115(2), 501(c), 892, 895, or 1443(b) (see instructions) W-8ECI or W-8EXP

Instead, use Form:

Note: These entities should use Form W-8BEN if they are claiming treaty benefits or are providing the form only to claim they are a foreign person exempt from backup withholding.

- A person acting as an intermediary W-8IMY

Note: See instructions for additional exceptions.

Part I Identification of Beneficial Owner (See instructions.)

1 Name of individual or organization that is the beneficial owner	2 Country of incorporation or organization															
3 Type of beneficial owner: <table style="width: 100%; border: none;"> <tr> <td><input type="checkbox"/> Individual</td> <td><input type="checkbox"/> Corporation</td> <td><input type="checkbox"/> Disregarded entity</td> <td><input type="checkbox"/> Partnership</td> <td><input type="checkbox"/> Simple trust</td> </tr> <tr> <td><input type="checkbox"/> Grantor trust</td> <td><input type="checkbox"/> Complex trust</td> <td><input type="checkbox"/> Estate</td> <td><input type="checkbox"/> Government</td> <td><input type="checkbox"/> International organization</td> </tr> <tr> <td><input type="checkbox"/> Central bank of issue</td> <td><input type="checkbox"/> Tax-exempt organization</td> <td><input type="checkbox"/> Private foundation</td> <td colspan="2"></td> </tr> </table>		<input type="checkbox"/> Individual	<input type="checkbox"/> Corporation	<input type="checkbox"/> Disregarded entity	<input type="checkbox"/> Partnership	<input type="checkbox"/> Simple trust	<input type="checkbox"/> Grantor trust	<input type="checkbox"/> Complex trust	<input type="checkbox"/> Estate	<input type="checkbox"/> Government	<input type="checkbox"/> International organization	<input type="checkbox"/> Central bank of issue	<input type="checkbox"/> Tax-exempt organization	<input type="checkbox"/> Private foundation		
<input type="checkbox"/> Individual	<input type="checkbox"/> Corporation	<input type="checkbox"/> Disregarded entity	<input type="checkbox"/> Partnership	<input type="checkbox"/> Simple trust												
<input type="checkbox"/> Grantor trust	<input type="checkbox"/> Complex trust	<input type="checkbox"/> Estate	<input type="checkbox"/> Government	<input type="checkbox"/> International organization												
<input type="checkbox"/> Central bank of issue	<input type="checkbox"/> Tax-exempt organization	<input type="checkbox"/> Private foundation														
4 Permanent residence address (street, apt. or suite no., or rural route). Do not use a P.O. box or in-care-of address.																
City or town, state or province. Include postal code where appropriate.	Country (do not abbreviate)															
5 Mailing address (if different from above)																
City or town, state or province. Include postal code where appropriate.	Country (do not abbreviate)															
6 U.S. taxpayer identification number, if required (see instructions)	7 Foreign tax identifying number, if any (optional)															
8 Reference number(s) (see instructions)																
<input type="checkbox"/> SSN or ITIN <input type="checkbox"/> EIN																

Part II Claim of Tax Treaty Benefits (if applicable)

9 I certify that (check all that apply):

- a The beneficial owner is a resident of _____ within the meaning of the income tax treaty between the United States and that country.
- b If required, the U.S. taxpayer identification number is stated on line 6 (see instructions).
- c The beneficial owner is not an individual, derives the item (or items) of income for which the treaty benefits are claimed, and, if applicable, meets the requirements of the treaty provision dealing with limitation on benefits (see instructions).
- d The beneficial owner is not an individual, is claiming treaty benefits for dividends received from a foreign corporation or interest from a U.S. trade or business of a foreign corporation, and meets qualified resident status (see instructions).
- e The beneficial owner is related to the person obligated to pay the income within the meaning of section 267(b) or 707(b), and will file Form 8833 if the amount subject to withholding received during a calendar year exceeds, in the aggregate, \$500,000.

10 Special rates and conditions (if applicable—see instructions): The beneficial owner is claiming the provisions of Article _____ of the treaty identified on line 9a above to claim a _____ % rate of withholding on (specify type of income): _____
 Explain the reasons the beneficial owner meets the terms of the treaty article: _____

Part III Notional Principal Contracts

11 I have provided or will provide a statement that identifies those notional principal contracts from which the income is **not** effectively connected with the conduct of a trade or business in the United States. I agree to update this statement as required.

Part IV Certification

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- 1 I am the beneficial owner (or am authorized to sign for the beneficial owner) of all the income to which this form relates,
- 2 The beneficial owner is not a U.S. person,
- 3 The income to which this form relates is (a) not effectively connected with the conduct of a trade or business in the United States, (b) effectively connected but is not subject to tax under an income tax treaty, or (c) the partner's share of a partnership's effectively connected income, **and**
- 4 For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner.

Sign Here ▶

Signature of beneficial owner (or individual authorized to sign for beneficial owner) Date (MM-DD-YYYY) Capacity in which acting

To:

INDIVIDUAL

PM Securities Sdn. Bhd,
Mezzanine & First Floor, Menara PMI
No 2, Jalan Changkat Ceylon,
50200 Kuala Lumpur

Date:

Re: Letter of Consent for Disclosure of Credit Information

Pursuant to the Credit Reporting Agencies Act 2010 ("Act"),

I (Name): _____

Of NRIC: _____ do hereby give consent to PM Securities Sdn Bhd

To obtain and/ or disclose any Credit Information (as defined in the Act relating to me from and/or to RAM Credit Information Sdn Bhd or any source deemed appropriate to verify our credit history as you and/or RAM Credit Information Sdn Bhd or any source deemed appropriate may deem fit under any applicable law, regulation, guidelines, requirement or directive in relation to my credit application or transaction with you for the following purpose (but not limited to):

- Opening of account
- Credit evaluation
- Credit /account review
- Credit/ account monitoring
- Debt recovery purposes
- Scoring solutions
- Employment evaluation
- Employment evaluation
- Legal documentation and/or action consented to a contract or facility granted

This consent shall remain applicable as long as I am maintaining an account/loan/credit/any transaction with you.

(Signature)

Email: _____

Handphone: _____

*Email & Handphone is for RAM Credit Information to notify you in the event any parties conducted a Credit Information search on you

Date:

PM Securities Sdn Bhd
Mezzanine & 1st Floor, Menara PMI
No. 2, Jalan Changkat Ceylon
50200 Kuala Lumpur

Dear Sirs,

Re: **LETTER OF AUTHORISATION**

AUTOMATIC SET-OFF FROM CREDIT BALANCE INTO CLIENT’S TRUST ACCOUNT

I/We(NRIC/Reg.No).....)

hereby agree and authorise you to do the following from time to time without my/our prior consent:

1.0 To Set-off Credit Balance against Purchase Contract(s)/Contra Losses/Debit Bills: -

- a) To set-off the Credit Balance **and/or** any part thereof, against any outstanding amount under any of my/our account(s), maintained with you (Including without limitation purchase contract(s), contra losses, debit bills and all **and/or** expenses reasonably incurred by you in compliance with this letter), whenever due to you, **and**,
- b) Notwithstanding the provisions in paragraph 1.0 **above**, in the event the Credit Balance is insufficient to settle such outstanding amount, you may at your absolute discretion, immediately set-off the Credit Balance **and/or** any part thereof against any of the outstanding amount you **may and/or shall** deem appropriate without reference to me.

2.0 Credit into Trust Account for Contra Gains and Sales Proceed(s): -

- a) To credit into the Trust Account not later than **FIVE (5)** trading days for contra gains and sales proceed(s).

Notwithstanding any of the **ABOVE** provisions, nothing in this letter shall prejudice and/ or affect your right to be indemnified by me/us in respect of any outstanding amount due to you and that this Letter of Authorisation shall be effective from the date hereof and will remain valid until and after it is revoked by me/us in writing addressed to you.

Your faithfully,

.....

Signature of Client

Name :

NRIC :

Date :

.....

Signature of Witness

Name :

NRIC :

Date :

