

ISLAMIC STOCKBROKING WINDOW
INDIVIDUAL TRADING ACCOUNT APPLICATION FORM
CLIENT DETAILS

IOPA001(01July17)

PART A - APPLICANT

NAME OF APPLICANT:

(As per NRIC / Passport / Authority Card / Registration Document)

NEW NRIC NO.: - - OLD NRIC / PASSPORT / AUTHORITY CARD / REG. NO :

DATE OF BIRTH: - - GENDER: Male Female

RACE: Bumiputra Chinese Indian Other: _____
(please specify)

NATIONALITY: Malaysian Other: _____
(please specify)

MARITAL STATUS: Single Married Other: _____
(please specify)

REGISTERED ADDRESS:

(As per NRIC / Passport / Authority Card / Registration Document)

POSTCODE: TOWN:

STATE: _____ COUNTRY: _____

CORRESPONDENCE ADDRESS:

POSTCODE: TOWN:

STATE: _____ COUNTRY: _____

HOME PHONE NO.: MOBILE PHONE NO.:

EMAIL ADDRESS:

EMPLOYMENT DETAILS

EMPLOYMENT STATUS: Employed Self-employed Other: _____
(please specify)

OCCUPATION: YEARS IN EMPLOYMENT: / BUSINESS

NAME OF COMPANY:

NATURE OF EMPLOYMENT/ BUSINESS:

OFFICE PHONE NO.:

GROSS ANNUAL INCOME: RM ESTIMATED NET WORTH: RM

SPOUSE DETAILS

FULL NAME OF SPOUSE:

(As per NRIC / Passport / Authority Card / Registration Document)

NEW NRIC NO.: - - OLD NRIC / PASSPORT / AUTHORITY CARD / REG. NO :

OCCUPATION: YEARS IN EMPLOYMENT: / BUSINESS

NAME OF COMPANY:

MOBILE / HOME PHONE NO.: GROSS ANNUAL INCOME: RM

PART B - FINANCIAL PARTICULARS

BANK NAME: _____ JOINT ACCOUNT: Yes No

BANK ACCOUNT NO.:

PART C - INVESTMENT RISK PROFILE

1) What is your investment term? Short Term Mid Term Long Term

2) What is your investment objective? Capital Growth Savings Dividend

3) What is your risk tolerance level? Conservative Moderate Aggressive

4) What is your main source of funds for investment?..... Savings Salary Business Income Other: _____

5) How long have you been trading in the Malaysia market? 0 year < 1 year 1-5 years 6-10 years > 10 years

6) Do you have Trading Accounts with other brokers? No Yes: _____
(if yes, please specify)

PART D - DECLARATION BY APPLICANT

- 1) Do you have any spouse / relatives working in Malacca Securities Sdn Bhd?
(if yes, please specify) No Yes: _____
- 2) Is / Are there any account(s) holder(s) of Malacca Securities Sdn Bhd
which is / are related to you?
(if yes, please specify) No Yes: 1. _____
2. _____
3. _____
(please state the Name, Relationship and Trading Account No. of Account Holder(s))

DECLARATION OF POLITICALLY EXPOSED PERSONS (PEPs)

YOU ARE REQUIRED TO DECLARE WHETHER YOU / FAMILY MEMBER* / CLOSE ASSOCIATE** ARE CURRENTLY ENTRUSTED WITH A PROMINENT PUBLIC FUNCTION*** IN MALAYSIA OR A FOREIGN COUNTRY?

*"Family Member" includes parent, spouse, siblings, children and financial dependents

**"Close Associate" includes person(s) who are socially and/or professionally closely connected to a Politically Exposed Person

*** "Prominent Public Function" includes the roles held by a head of state, a head of government, government ministers, senior civil servants, senior judicial or military officials, senior executives of state owned corporations, senior political party officials, NGO, national and international sport bodies.

No, I am / My family member(s) / close associate(s) **are not** entrusted with a prominent public function

Yes, I am / My family member(s) / close associate(s) **are** entrusted with a prominent public function, these are detailed in the table below:

Name of person entrusted with Prominent Public Function	Your Relationship to person	Person's Role / Occupation	Person's Employer / Organization

DECLARATION PURSUANT TO COMMON REPORTING STANDARD (CRS) ON TAX RESIDENCY

I am a tax resident of another country(s) outside Malaysia : No Yes

If yes, please complete the CRS Tax-Residency Self-Certification form (Individual), which can be found at the following link:
<http://www.mplusonline.com.my/macsecos/openacc.asp>

DECLARATION PURSUANT TO RULE 5.15(9) OF THE BURSA MALAYSIA SECURITIES BHD.

YOU ARE REQUIRED TO DISCLOSE WHETHER ANY DEALING IN SECURITIES IN RESPECT OF YOUR TRADING ACCOUNT(S) IS CONDUCTED FOR YOURSELF OR ON BEHALF OF ANOTHER PERSON

I do solemnly declare that the dealings in securities in respect of my trading account(s) 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. I shall however remain liable for the dealings without prejudice to your right against the said party:-

NAME OF PARTY CONCERNED : _____
COMPANY / NRIC / PASSPORT NO. : _____
CORRESPONDENCE / REGISTERED ADDRESS : _____

and I make this solemn declaration conscientiously believing the same to be true

DECLARATION PURSUANT TO TERMS AND CONDITION FOR THE OPERATION OF SECURITIES TRADING ACCOUNT(S) IN ISLAMIC STOCKBROKING WINDOW OF MSSB

I hereby declare/agree/undertake that:

- I have attained the age of eighteen (18) years and all particulars and information furnished by me in this Islamic Stockbroking Window Trading Account Application Form ("TAAF") is true and correct and I have not withheld any material fact or information from Malacca Securities Sdn Bhd ('the Company')
- I have not been adjudicated or declared a bankrupt and have not committed an act of bankruptcy and have no knowledge of any bankruptcy petition presented against me in any court of competent jurisdiction and I have not been listed as a defaulter by Bursa Malaysia Securities Berhad.
 - Upon the occurrence of any of the events rendering the above declaration in Clauses(a) and (b) becoming inaccurate or untrue, I agree and undertake to immediately cease trading and cease utilizing the services of the Company and shall forthwith notify the Company in writing of the occurrence of such event(s). Without prejudice to the aforementioned, upon the Company having knowledge of the occurrence of any of the such events, the Company shall have the right and discretion to immediately cease my trading and the Company shall have the right to cease the provision of all its/their services or any part thereof. However, all orders carried out for me under any of the Client's Securities Account(s) (hereinafter defined) and all orders, instructions and communications carried out by the Company prior to the aforesaid cessation shall be valid and enforceable against me.
- I understand and acknowledge that the Company do not provide any investment advice, suggestions or recommendations;
- I understand that my application to open any account and any other services and facilities are subject to the Company's approval as the case may be and the Company is absolutely entitled at it/ their respective discretion to reject my application or impose such conditions and/or restrictions as it / they may deem fit without giving any reasons thereof.
- I undertake to furnish the Company with such additional particulars, information and declaration as the Company may require at any time and from time to time. I further undertake to promptly notify the Company should there be any changes to the particulars, information or the declaration given to the Company as the case may be.
- I also authorise the Company to verify the particulars and information provided from any source and in such manner as it/they shall deem fit.
- I consent to the Company to conduct any check on the credit standing / financial status with any person or institution or credit reporting agency that it/ they may deem necessary at any point of time.
- I have been advised to seek independent legal advice on the effects and consequences of the terms and conditions of this TAAF Form and the Terms and Conditions for the Operation of Securities Trading Accounts in Islamic Stockbroking Window of MSSB (" Terms ") and any failure to do so shall be at my risk.
- I enclose herewith one (1) copy of my New NRIC/Passport/Authority Card duly certified as the true copy
- Online Client:** I have read and understood the full contents of this TAAF and the Terms posted at the Company website www.mplusonline.com.my. I fully accept and agree to be bound by the said TAAF and Terms and agree that the said Terms may be varied and/or supplemented by the Company from time to time. (Please refer to the Company website www.mplusonline.com.my for the Terms and the updated version of the Terms)
Non-Online Client: I acknowledge that I have received a copy of the Terms. I have read and understood the full contents of this TAAF and the Terms. I fully accept and agree to be bound by the said TAAF and Terms and agree that the said Terms may be varied and/or supplemented by the Company from time to time. (Please refer to the Company website www.mplusonline.com.my for the Terms and the updated version of the Terms)
- I shall adhere to the Best Practices for Shariah Investing which is available at www.mplusonline.com.my

SUBSCRIBED AND SOLEMNLY
declared by the account holder

PLEASE PRINT THE COMPLETED FORM
AND PHYSICALLY SIGN WITHIN THE BOX

DIGITAL SIGNATURE IS NOT ACCEPTED

Signature of Applicant

Applicant Name : _____

Date : DD-MM-YYYY

Before me,

Signature of Witness

Witness Name : _____

Witness NRIC : []-[]-[]-[]-[]-[]-[]-[]-[]-[]-[]

Date : DD-MM-YYYY