

# INDIVIDUAL TRADING ACCOUNT APPLICATION FORM

## PRODUCT DETAILS

OPA001B(11April16)

### PART ONE - ACCOUNT DETAILS

NAME OF APPLICANT:

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

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

CLIENT CODE:   
(existing client only)

### PART TWO - ACCOUNT TYPE

Account Description: (please select one)

- M+ Silver - Cash Upfront Account
- M+ Gold - Flexi-rate Collateralised T+3 Account
- M+ T7 - Discretionary Financing Account

Other, please specify: \_\_\_\_\_

### PART THREE - ONLINE TRADING FACILITY

I would like to apply for online trading:  Yes  No

If Yes, please provide your preferred first and second choice user ID preferences (alphanumeric, min 6 characters, maximum 10 characters)

User ID first preference:

User ID second preference:

### PART FOUR - FOR DISCRETIONARY FINANCING ACCOUNT

- I wish to apply for the Discretionary Financing (DF) account maintained with MSSB and agree to be bound by the terms and conditions for DF.
- I understand and agree that, all terms and conditions and agreements in respect of trading/collateralized accounts remain applicable and binding and that MSSB may make such amendments or variations thereto in its sole and absolute discretion.
- I confirm that I have the financial ability to settle any amounts due or owing from me whether arising from or in respect of purchases of securities by me and/or contra losses incurred by me in this account.
- I hereby irrevocably authorize MSSB to utilize/drawdown my DF for my outstanding purchases contract after T+3 and under such circumstance, I shall be deemed to have given my instruction/notification/application to MSSB for utilization of DF facility and MSSB may at its absolute discretion approve/reject such instruction/notification/application in respect of any securities or group of securities which I have purchased under the aforementioned account.
- I further confirmed and affirmed that MSSB has a lien either directly, indirectly, constructively and in whatsoever form on any of my shares, cash and otherwise, within the control of MSSB.

### PART FIVE - DECLARATIONS BY APPLICANT

I hereby solemnly, voluntarily, conscientiously, irrevocably and unconditionally declare (conscientiously believing the same to be true), that I have read and fully understood the full contents of the following:

- I acknowledge and agree to abide by all the terms in the Trading Account Application "Client Details" Form, Trading Account Application "Product Details" Form (collectively referred to as "Application Forms") and Terms and Conditions for the Operation of Securities Trading Account(s) in MSSB.
- The particulars and information given in the Application Forms are true and correct and I have not withheld any materials facts or information from Malacca Securities Sdn Bhd ("MSSB"). I undertake to furnish MSSB with such additional particulars as MSSB may require from time to time. I further authorize MSSB to verify the information given by me from any source (including third parties) and in such manner as MSSB shall deem fit. I undertake to inform MSSB in writing should there be any change(s) to my particulars declared in the Application Forms.
- I hereby agree that all payments (including but not limited to sales proceeds, contra gain and credits) due to me shall be auto credited to my trust account maintained with MSSB.
- I have read and understood the risks in investing in structured warrants.

PLEASE PRINT THE COMPLETED FORM AND PHYSICALLY SIGN WITHIN THE BOX

Digital signature is not accepted



Signature of Applicant

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

Date:  -  -

### PART SIX - TO BE COMPLETED BY DEALER'S REPRESENTATIVE

How do I know the applicant: \_\_\_\_\_ No. of years I have known the applicant:  years

Existing trading limit with other broker: RM  Name of broker: \_\_\_\_\_

Applicant knowledge of trading rules:  Poor  Average  Above Average  Excellent

Cash / Shares to be deposited:  Cash - RM   Shares - Please provide counters: \_\_\_\_\_

Intra Day Trade:  Yes  No

Proposed Trading Limit Recommended: Trading Account: (A) RM  Collateralized Account: (L)/(U)/(Z) RM

Other relevant information to justify the recommendation: \_\_\_\_\_

**Declaration by Dealer's Representative**

- I hereby:
1. Submit this application to open trading account(s) with Malacca Securities Sdn Bhd and request you to approve this application and allow me to act as the Dealer's Representative for the said applicant.
  2. Confirm that the information given by me above is true and I have not withheld any information which might prejudice this application ; where the Applicant is unable to read and understand the provisions (including the rights, covenants, undertakings and obligations of the Applicant) as contained in the application form, I have distinctly, clearly and audibly translated the same for the Applicant into the ..... language / dialect which is the language / dialect understood by the Applicant, and the Applicant has appeared to clearly understand the same.
  3. Undertake to indemnify Malacca Securities Sdn Bhd against any losses, damages, debts, charges and all other costs and expenses whatsoever incurred or suffered or which Malacca Securities Sdn Bhd may incur or suffer in relation to or arising from Malacca Securities Sdn Bhd opening the account of this Applicant and the subsequent operation thereof.

PLEASE PRINT THE COMPLETED FORM  
AND PHYSICALLY SIGN WITHIN THE BOX



Signature of Dealer's Representative

Digital signature is not accepted

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

DR Code: \_\_\_\_\_

Date:   -   -

**FOR INTERNAL USE ONLY - DOCUMENT CHECKLIST**

NRIC / Passport Enclosed:  Yes  No      Existing Account :  Yes  No  
 Correspondence Address:  Yes  No      If YES, Account No: \_\_\_\_\_  
 Signature Verified:  Yes  No  
 ML/TF Client Profiling:  Low Risk  Medium Risk  High Risk  
 Verified By: \_\_\_\_\_ Date: \_\_\_\_\_

**RECOMMENDED BY CREDIT CONTROL**

	Remarks
Credit Search Done: <input type="checkbox"/> Yes <input type="checkbox"/> No	_____
Bankruptcy / Summons: <input type="checkbox"/> Yes <input type="checkbox"/> No	_____
Other Related Account(s): <input type="checkbox"/> Yes <input type="checkbox"/> No	Account(s)/Relationship: _____
<b>BMSB Defaulter (Reference Only)</b>	
Recommended Limit: (A) RM	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/>
(C) RM	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/>
(L)/(U)/(Z) RM	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/>
(X) RM	<input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> <input type="text"/> - <input type="text"/> <input type="text"/>

Justification: \_\_\_\_\_  
\_\_\_\_\_

Recommended By: \_\_\_\_\_

Operations

Customer ID:        
 CDS ACCOUNT:    -    -        
 Intermediate A/c Code:          
 DR Code:      
 Account Type:  /   
 Country Code:    
 Intraday:   
 Data Entry by : \_\_\_\_\_  
 Checked by : \_\_\_\_\_  
 Date: \_\_\_\_\_

Date

Approved Limit: (A) RM       -    
 (C) RM       -    
 (L)/(U)/(Z) RM       -    
 (X) RM       -

Approved By : \_\_\_\_\_

Approving Authority

Date

Trading Limit Keyed-in By : \_\_\_\_\_

Operations

Date

Reviewed By: \_\_\_\_\_

Compliance Officer

Date