

Instructions to complete this Application Form

- Please read and understand the terms and conditions applicable to Applicant as posted at <https://www.apextrade.com/> carefully before completing the form.
- To provide the supporting documents as required, complete all applicable fields on this application form and tick (V) whichever is applicable.
- Note that usage of correction fluid is not permitted. Any amendments made must be counter-signed by the Applicant.

Securities					
Type of Account: <input checked="" type="checkbox"/> where applicable	<input type="checkbox"/> Retail	<input type="checkbox"/> CTA _____	<input type="checkbox"/> STA _____	<input type="checkbox"/> Margin	<input type="checkbox"/> Discretionary Trading
	<input type="checkbox"/> Other (pls. specify: _____)				
Type of Facilities: <input checked="" type="checkbox"/> where applicable	<input type="checkbox"/> Online Trading	<input type="checkbox"/> Foreign Trading	<input type="checkbox"/> Discretionary Financing		
Derivatives					
Type of Product: <input checked="" type="checkbox"/> where applicable	<input type="checkbox"/> Local Derivatives	<input type="checkbox"/> Foreign Derivatives	<input type="checkbox"/> Discretionary Trading		

1. INVESTOR PARTICULARS

Title Name of Applicant* * as per NRIC / Passport / Other ID ("ID")

ID No.* TIN No. E-Mail Address This e-mail address will be registered for electronic contracts & monthly statements

Date of Birth Gender Male Female Tel. No. (Mobile)

Nationality Malaysia _____ Country of Birth Malaysia _____ Town or City of Birth Resident Status Resident Non-Resident

Residential Address: as per enclosed NRIC / Passport / Other ID
 as per Correspondence Address below:

Correspondence Address:
(Please state if different from Residential Address)

1A. Background & Employment / Business Particulars

Race Malay Chinese Indian Others _____ Employer/Business Name

Marital Status Single Married Others _____ Nature of Business

Occupation Employed Self-Employed Others _____ Designation Tel.

Country of Employment Year(s) in Employment

1B. Spouse Information (if applicable)

Name* Employer/Business Name * as per NRIC / Passport / Other ID ("ID")

1C. Investment, Financial Standing and Risk Tolerance

Estimated Net Worth RM Investment Experience year(s) in Equities; year(s) in Derivatives

Gross Annual Income Below RM25,000 RM25,001- RM50,000 RM50,001- RM100,000 RM100,001- RM300,000 RM300,001- RM500,000 RM500,000- RM1 mil RM1 mil- RM3 mil Above RM3 mil

Source of Funds # Salary / Commission Business Income Family Support Investment Returns Rental Income Interest Income Others (Pls. state: _____)

Source of Wealth # Savings Family Inheritance Sale of Real Estate From EPF / Pension Fund Others (Pls. state: _____)

Investment Objective # Capital Appreciation Dividend Speculation Hedging Arbitraging Others (Pls. state: _____)

Risk Tolerance Aggressive Moderate Conservative

2. BANK PARTICULARS & PAYMENT STANDING INSTRUCTION

I hereby request all payments arising from my fund withdrawal requests to Apex Securities Berhad shall be credited directly into my designated bank account as specified below:

Bank Name: Bank Account No.:

As per enclosed details.

3. INVESTOR DISCLOSURE

- a) Is the Applicant related to any staff/ director/ capital market services representatives licence holder of Apex Securities Berhad? Yes. Name & Relationship: _____
 No
- b) Do any of the Applicant's related persons have Trading Account(s) maintained with Apex Securities Berhad? Yes. Name of Related Person: _____
Trading A/C No.: _____
Relationship: _____
 No

Related persons: spouse, partner, partnership, partner's spouse and companies under your control and/ or spouse's control.

c) **Political Exposed Person ("PEP")**

- No Yes. Name and relationship: _____
Country of PEP: _____
Position Held: _____

Political Exposed Person ("PEP"): Are/Were you (i) entrusted with any prominent public function such as head of state or government, senior politicians, senior government officials, judicial or military officials, senior executive of state owned corporations and important political party officials in Malaysia or any other country; or (ii) entrusted with a prominent function by an international organisation which refers to members of senior management e.g. directors, deputy directors and members of the board or equivalent function (PEP) or (iii) having any business relationship with a PEP or a PEP's family member / close associate ^{Note A}?

Note A: Family member – parent, step-parent, spouse, child, adopted/step-child, sibling, adopted/step-sibling and spouse's parent; Close Associate – closely connected to a PEP, either socially or professionally and may include PEP's business partner or associate, extended family member such as relative (biological and non-biological relationship), close friend and financially dependent individual e.g. diver, bodyguard, secretary.

4. FOREIGN CURRENCY SECURITIES TRADING FACILITIES / FOREIGN FUTURES CONTRACT TRADING FACILITIES (DOMESTIC RINGGIT BORROWING)

I am resident of Malaysia and:

- I **DO NOT HAVE** domestic ringgit credit facilities^{Note B} and are thus allowed to convert up to RM50,000,000.00 in aggregate per calendar year for investment in foreign currency assets. I hereby to undertake to inform Apex Securities Bhd ("ASB") immediately should I obtain domestic ringgit facilities or upon request by ASB.
- I **HAVE** domestic ringgit credit facilities and are thus allowed to convert up to RM1,000,000.00 in aggregate per calendar year for investment in foreign currency assets.

I am non-resident of Malaysia.

Note B: Domestic ringgit credit facilities include any ringgit advance, loan, trade financing, hire purchase, factoring, leasing facilities, redeemable preference shares or similar facility in whatever name or form, **other than / except for** (i) trade credit terms extended by a supplier for all types of goods and services; (ii) forward exchange contracts entered into with licensed onshore banks; (iii) one personal housing loan and one vehicle loan obtained from residents; (iv) credit card and charge card facilities; and (v) inter company borrowing within a corporate group.

5. FOREIGN ACCOUNT TAX COMPLIANCE ACT ("FATCA") & COMMON REPORTING STANDARD ("CRS") SELF-CERTIFICATION

a) **Tax Residency Status:**

- Malaysia Tax Resident** **Multiple Tax Resident** **Non-Malaysian Tax Resident**

Country of Tax Residence	Tax Identification Number (TIN)	Reason (A, B or C), if TIN or equivalent unavailable

Reason A - Country does not issue TIN to its residents.

Reason B - No tax obligation (i.e. TIN application in progress, not required to register tax file, housewife / househusband, retiree, student, others).

Reason C - No TIN is required (note: only select this reason if the authorities of the country of residence for tax purposes do not require the TIN to be disclosed).

b) **Disclosure under CRS requirement:** Are you a Controlling Person (and holding directorship) of more than 25% shareholding?

- No
- Yes. Pls. enter the legally registered Name of Entity: _____ Percentage of Shareholding: _____%

c) If you are not the Account Holder please indicate the Capacity ^{Note D} in which you are signing the Form (for example "Authorised Officer"). If signing under a power of attorney please also attached a certified copy of the power of attorney.

Capacity ^{Note D}:

[Note D: The word "Capacity" refers to your designation / position (e.g. secretary / lawyer / etc.) or your relationship (e.g. wife / brother / etc.) with the Account Holder].

6. FOR DERIVATIVES TRADING ONLY – APPOINTMENT OF DESIGNATED REPRESENTATIVE (SCHEDULE 2)

I do solemnly declare that the dealings derivatives in respect of my trading account shall be conducted as follows:

- For me as principal**
- To empower and authorize the following person (hereinafter referred to as "Designated Representative") to give and place orders to Apex Securities Berhad on my behalf**

PARTICULARS

Designated Representative Name: _____ NRIC No./Passport No.: _____

Correspondence / Registered address: _____

7. DECLARATION, CONSENT AND AGREEMENT BY APPLICANT

By signing this Application Form, I hereby declare/agree/undertake that:

1. The information given herein, including all documents attached hereto, are true and complete in every respect and do not contain any false or misleading information and I have not wilfully withheld any facts. I shall keep you informed of any change in particulars given in this Application Form.
2. Pursuant to Bursa Malaysia Securities Berhad’s Rule 5.15 (8) and Rule 5.15 (9), I do solemnly declare that the dealings in securities in respect of my trading account are/shall be carried out for me as principal.
3. Apex Securities Berhad (“ASB”) shall have the right to reject my application at ASB’s sole discretion without any reason whatsoever.
4. I confirm that ASB is authorised to verify any information and/or make any checks and/or obtain any information and/or confirmation at any time and from time to time now and /or in the future, with or from any credit reference/reporting agencies, including but not limited to and/or any other agencies and/or from any financial institution and/or any other source(s) that ASB may in its sole discretion deem appropriate and to provide such aforesaid party(s) with the required information requested to enable ASB to ascertain my status and/or any other person, individual, its directors, shareholders, officers, personnel, guarantor, security provider and/or entity related to and/or associated with me as maybe required by ASB for the purpose of the consideration of this application and thereafter if this application is approved, for the purposes of continued maintenance of my trading account with ASB; and/or recovery of debts due and payable under my trading account; and/or any purpose related to or in connection with my trading account applied for; and/or for any other purpose, that is required or permitted by any law, regulations, guidelines and/or relevant regulatory authorities.
5. I am fully aware of and understand the processes, procedures and risks involved in using the services and executing transactions through the online trading facilities.
6. I am fully aware of and understand and agree to comply with the relevant laws, rules and regulations relating to the services provided by ASB to me under the ASB’s General Terms and Conditions for dealing in securities and/or derivatives, declarations, risk and obligations associated with the trading in securities and/or derivatives contracts, and/or supplementary terms and conditions.
7. In consideration of ASB agreeing to this request, I hereby agree that: (i) not to hold ASB responsible for any losses arising thereof and unconditionally indemnify ASB at all times against all claims, losses, liabilities, expenses, and cost whatsoever incurred by ASB in connection with this request herein; (ii) to refund to ASB of any payments inadvertently or erroneously made to me or credited into the above mentioned bank account; (iii) my above request shall remain in force until revoked in writing by me and the said revocation is received and acknowledged by ASB; and (iv) I shall indemnify ASB against any losses, damages, debts, charges, taxes and all other costs and expenses whatsoever incurred, withheld or suffered or which ASB may incur or suffer by reason of or in relation to or arising from or in connection with the provision of services by ASB to me under the ASB’s General Terms and Conditions for dealing in securities and/or derivatives, declarations, risk and obligations associated with the trading in securities and/or derivatives contracts, and/or supplementary terms and conditions.
8. I acknowledge and agree that ASB may retain, for the benefit of ASB and without any obligation to account to me, any interest ASB receives from my monies deposited into my trading account (the “Client’s Monies”). I further consent to ASB withdrawing the Client’s Monies and any interest received on the Client’s Monies from the Client’s Account, to the extent permitted by applicable laws, including but not limited to paying out such interest. ASB may in its sole and absolute discretion, taking into account any withholding tax and any administrative expenses incurred by ASB in maintaining the Client’s Account, pay any interest received on the Client’s Monies to me. I agree and acknowledge that any interest paid by ASB to me may be less than that received by ASB. I duly verify that this is my written direction allowing ASB to do the above.
9. I have read and fully understood the ASB’s General Terms and Conditions for dealing in securities and/or derivatives, declarations, risk and obligations associated with the trading in securities and/or derivatives contracts, and/or supplementary terms and conditions as posted at <https://www.apextrade.com/> (which shall include any amendment, variation, modification, supplement, substitution and replacement made by ASB from time to time), along with this Trading Account Application Form, collectively referred to as “Agreement”. I confirm that I shall be bound the terms, conditions and/or requirements in the Agreement or such additional amendments or terms and conditions as may be made, revised or updated from time to time (where applicable).
10. I hereby consent to receive my daily and monthly statements, invoices (which may be incorporated and issued as part of the daily contract/statements), or any other statements or notifications ("statements/notifications") that may be made available to me by ASB in electronic form and to be delivered to my email address as provided in this application form and which as may be updated from time to time in ASB’s record. I agree for ASB to adopt an alternative mode of delivery as may be determined by ASB in issuing and delivering the statements/notifications in the event of a system failure.
11. I hereby acknowledge that I have accessed, read and agreed to be bound by the Privacy Statement issued by ASB at posted at www.apexequity.com.my.

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

SUBSCRIBED AND SOLEMNLY declared by the account holder:

Signature of Client : _____

Signature of Witness : _____
(Licensed DR/Remisier/RR/FBR or Authorized Personnel / Management of Apex Securities Bhd or a Commissioner for Oaths / Notary Public)

Name of Client : _____

Name of Witness : _____

Date : _____

NRIC / Passport No. : _____

8. FOR DEALER'S REPRESENTATIVE ("DR/REMISIER") / REGISTERED REPRESENTATIVE ("RR/FBR") USE

How long have I known the Applicant: _____ Year Any relationship / introduced by: _____

Margin Facility / Trading Limit / Position Limit Requested: (RM) _____ Contract to average: YES NO

Proposed Brokerage for Equities Account			
	Up to RM 100K	Above RM 100K	Min. Brokerage
<input type="checkbox"/> As per my default rate			
Offline	%	%	RM
Online	%	%	RM
Cash Upfront	%	%	RM
Intraday Allowed	<input type="checkbox"/> Yes <input type="checkbox"/> No		
Approved by			

Proposed Brokerage for Derivatives Account				
Product Type	Position Limit	Intraday (per lot)	Overnight (per lot)	Spread (per lot)
Approved by				

Other information (if any): _____

Declaration by DR / Remisier / RR / FBR

I, the DR / Remisier / RR / FBR servicing this account, hereby confirm that I have explained to the Applicant and the Applicant has understood the terms and conditions herein, the contents of the Agreement (where applicable), and the risks and obligations associated with the trading in securities and/or derivatives. I confirm that the information given by me above is true and I have not withheld any information which might prejudice this application.

I agree to allow the Applicant to use the online trading facility to effect the transactions and I confirm that the Applicant has the knowledge of the process of entering orders through the online trading facility. I also aware that the Applicant is required to comply with all the terms and conditions accompanying this Trading Account Application Form which ASB may vary from time to time at its absolute discretion.

I hereby give consent to Apex Securities Bhd ("ASB") to process all the particulars given herein with regards to my recommendation for the opening of this trading account by the Applicant, including any subsequent transactions that are related to it, and when necessary, for the consent of PDPA purposes, to disclose the particulars for this or for a purpose directly or indirectly related to this purpose, to its employees, consultants and any third-party service providers.

I (applicable to Remisier or commissioned RR/FBR only) undertake to indemnify ASB against any losses, damages, debts, charges and all other costs and expenses whatsoever incurred or suffered or which ASB may incur or suffer in relation to ASB opening this trading account by the Applicant, and the subsequent operation thereof and in connection with the provision of services by ASB to the Applicant.

I further declare and agree that the management of ASB have the sole-discretion to request for additional supporting document and I'm obliged to comply with the request.

Signed by: _____ Name: _____

Date: _____ NRIC/ID No. : _____ Trader Code: _____

9. FOR OFFICE USE ONLY

Date Received: _____ Initial: _____ Name: _____

Client Trading a/c no.: Client CDS a/c no.:	Trading Limit: Grouping:
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10. IMPORTANT DOCUMENTS REQUIRED

Supporting Documents required to be submitted by Applicant:

- Legible copy of NRIC or Passport or Authority Identity Card (front and back portion in the same page of A4 size paper).
- Document showing the bank account is registered under the Applicant's name.
- Supporting Document to support the investor financial status - Latest Bank Statement / Payslip / Income Tax Return / Fixed Deposit Certificate / Employees' Provident Fund Statement / Bachelor's or Master's Degree Certification / Membership Certification / Relevant Documents.
- The applicant is also required to complete the Form W-8BEN. For US citizen / where applicable, please submit Form W-9.
- Applicant residing outside Malaysia is required to arrange for a Notary Public, or in countries that do not have a Notary Public, advocates and solicitors or officers authorized by a licensed derivatives broking company with a recognized derivatives exchange, or authorised officer of a Malaysian Embassy or High Commission Consulate, to authenticate the Account Application Form and the photocopy of supporting documents. Definition of Resident:

Resident	Non-Resident
(a) a citizen of Malaysia, excluding a citizen who has obtained permanent resident status in a country or a territory outside Malaysia and is residing outside Malaysia;	(a) any person other than a resident;
(b) a non-citizen of Malaysia who has obtained permanent resident status in Malaysia and is ordinarily residing in Malaysia.	(b) a Malaysian citizen who has obtained permanent resident status of a country or territory outside Malaysia and is residing outside Malaysia.