

# ACCOUNT OPENING FORM – INDIVIDUAL



In accordance with the requirements of the Capital Markets and Services Act 2007, this application form should not be circulated unless accompanied by the prospectus(es) and supplementary prospectus(es) (if any).

Kindly complete the form in CAPITAL LETTERS and tick ( P ) whenever appropriate.

- Maybank Asset Management Sdn Bhd (MAM)  
 Maybank Islamic Asset Management Sdn Bhd (MIAM)

<b>For Office Use Only</b>
Account Number : <input type="text"/>

## A. INVESTMENT DETAILS

- Product Type  Unit Trust Fund  Wholesale Fund\* \*Please fill up Sophisticated Investor Declaration Form  Mandate  
 Investment Type  Cash Plan  RSP Plan  EPF Plan EPF Membership No:   
 EPF Account Type:  Shariah  Conventional  
 Account Type  Individual  Joint Individual

## B. PARTICULARS OF FIRST APPLICANT

- Salutation  MR  MS  ENCIK  CIK  PUAN  Others, please specify: \_\_\_\_\_  
 Full Name   
 (as per NRIC / Passport No.)   
 NRIC No:  Other ID No  Date of Birth   
 Other ID Type:  Old IC  Army ID  Police ID  Birth Certificate  Passport  
 Telephone no.: House  Mobile No.:   
 Email address:   
 Gender  Male  Female  
 Nationality  Malaysian  Others: \_\_\_\_\_  
 US Citizen/Resident/Permanent Resident/Green Card Holder  
 Race  Malay  Chinese  Indian  Others: \_\_\_\_\_  
 Bumiputera Status  Bumiputera  Non-Bumiputera  
 Marital Status  Single  Married  Divorced  Widowed  
 No of Dependent (if applies)   
 Monthly Income  Below RM5,000  RM5,001 to RM8,000  RM8,001 to RM15,000  
 RM15,001 to RM20,000  Above RM20,001  
 Tax Status  Resident  Non-resident TIN No.   
 Occupation  Housewife  Retiree  Student  
 Employed (please specify Employer Name & Designation) \_\_\_\_\_  
 Self-employed (please specify) \_\_\_\_\_  
 Others (please specify) \_\_\_\_\_  
 Nature of Business  Agricultural/Forestry  Manufacturing  
 Audit/Accounting/Tax/Legal  Medical/Health Science  
 Building/Construction Related  Mining/Quarring  
 Education  Money Service Business  
 Energy/Utilities  Non-Governmental Organisation (NGO)  
 Engineering  Pawnshop/Dealers in Precious Goods  
 Entertainment Outlets  Real Estate/Property  
 Financial Institution/Insurance  Trading/Restaurant/Hotel  
 Government/Regulatory Authority  Transport/Telecommunication  
 Hotel/Travel Services  Others, please specify \_\_\_\_\_  
 Import/Export  
 Sources of Funds for Investment  Personal Savings  Employment  
 Investments  Inheritance, please specify \_\_\_\_\_  
 Business Income  Others, please specify \_\_\_\_\_





<b>5. To what extent that you are willing to bear the risk of capital loss</b>	<b>Score</b>
<input type="checkbox"/> Total loss 100% (6) <input type="checkbox"/> Loss more than 50% (4) <input type="checkbox"/> Loss more than 10% (2) <input type="checkbox"/> Loss more than 80% (5) <input type="checkbox"/> Loss more than 30% (3) <input type="checkbox"/> No capital loss (1)	
<b>6. What is your expected return from this investment?</b>	<b>Score</b>
<input type="checkbox"/> At least 3 - 5% p.a. (1) <input type="checkbox"/> At least 9 - 11% p.a. (3) <input type="checkbox"/> At least 6 - 8% p.a. (2) <input type="checkbox"/> At least 12 - 15% p.a. (4)	
<b>7. Which of the following best fit your current portfolio?</b>	<b>Score</b>
<input type="checkbox"/> 80% cash + 20% fixed income (1) <input type="checkbox"/> 30% cash + 30% fixed income + 40% equities (3) <input type="checkbox"/> 50% cash + 30% fixed income + 20% equities (2) <input type="checkbox"/> 10% cash + 20% fixed income + 70% equities (4)	
<b>8. How long have you been investing, not including your own home or bank deposit?</b>	<b>Score</b>
<input type="checkbox"/> This is the first time (1) <input type="checkbox"/> 3 - 5 years (3) <input type="checkbox"/> More than 10 years (5) <input type="checkbox"/> 1 - 2 years (2) <input type="checkbox"/> 5 - 9 years (4)	
<b>9. Have you invested in any investment product before?</b>	<b>Score</b>
<input type="checkbox"/> No (1) <input type="checkbox"/> Yes, last investment was 5 years ago (3) <input type="checkbox"/> Yes, last investment was 10 years ago (2) <input type="checkbox"/> Yes, last investment was 2 years ago (4)	
<b>10. Are you 60 years old or above, and less comfortable using technology for investment purposes?</b>	
<input type="checkbox"/> Yes <input type="checkbox"/> No                      Remarks (if any): _____	
<b>11. Do you have difficulty to read or understand written information about unit trust investments?</b>	
<input type="checkbox"/> Yes <input type="checkbox"/> No                      Remarks (if any): _____	
<b>12. Do you find it challenging to understand unit trust products or have limited knowledge and experience in dealing with unit trust investments?</b>	
<input type="checkbox"/> Yes <input type="checkbox"/> No                      Remarks (if any): _____	
<b>13. Do you struggle with financial difficulties due to high debt, insufficient savings, or cash flow issues, making it difficult to manage unexpected expenses?</b>	
<input type="checkbox"/> Yes <input type="checkbox"/> No                      Remarks (if any): _____	
<b>14. Have there been any life changes that may have affected your financial disability? These may include events such as unemployment, the death or total permanent disability of the main income earner or any similar circumstances.</b>	
<input type="checkbox"/> Yes <input type="checkbox"/> No                      Remarks (if any): _____	
<b>15. Do you have any hearing, visual, speech, physical or learning disabilities that may affect your ability to make financial decisions?</b>	
<input type="checkbox"/> Yes <input type="checkbox"/> No                      Remarks (if any): _____	
<b>16. Are you registered with the Department of Social Welfare (Jabatan Kebajikan Masyarakat)?</b>	
<input type="checkbox"/> Yes <input type="checkbox"/> No                      Remarks (if any): _____	
<b>TOTAL SCORE</b>	

**PART 2: VULNERABLE CUSTOMER ASSESSMENT (TO BE COMPLETED BY CONSULTANT)**

Please tick (✓) the relevant checkbox below, where appropriate.

**1. Given your assessment and observations, do you consider the applicant to be a Vulnerable Customer?**

Yes                       No                      Remarks (if any): \_\_\_\_\_

**2. If applicant is identified as Vulnerable Customer, please tick (✓) the relevant vulnerable customer attributes.**

Aged 60 and above who may be less technologically able.  
 Financial resilience – individuals with a low ability to withstand financial shocks such as clients who are overly-indebted, have cash flow problems or have no savings.  
 Capability – individuals with low knowledge of financial matters, low confidence in managing money or low capability in other relevant areas such as literacy, language or digital skills.  
 Life Events – individual who has experienced adverse life events resulting in temporary or long-term financial hardship such as unemployment, or death or total permanent disability of the main breadwinner.  
 Disabilities – individual with disabilities that may affect their ability to make an informed decision such as hearing, visual, speech, physical or learning impairment.  
 Others, please specify. \_\_\_\_\_

## H. INVESTOR SUITABILITY ASSESSMENT ACKNOWLEDGEMENT

Please tick (P) the relevant checkbox below to indicate your risk class, where appropriate.

No	Risk classification to determine your investment profile from the assessment	Score	Tick (✓)
1	<b>Income</b> Wants to preserve capital but can accept slight fluctuation for potential capital gain about the same rate as inflation	9 to 15	
2	<b>Conservative</b> Willing to accept short-term fluctuation for a potential return slightly above inflation in the medium term (less than 2 years)	16 to 22	
3	<b>Balanced</b> Willing to accept potential short-term risks for a higher return in the medium term (2 years or more)	23 to 28	
4	<b>Growth</b> Willing to accept significant short-term risks for greater returns in the long term (up to 5 years)	29 to 34	
5	<b>Enhanced Growth</b> Willing to accept significant risks, even capital losses for maximised returns in the long term (5 years or more)	35 to 43	

The product distributor has explained and I / We have understood the features and risks of the product.  
 I acknowledge receipt of a copy of Product Highlight Sheet (PHS) and the relevant disclosure document which have been given to me.  
 I agree with the above risk class and acknowledge receipt of the list of funds offered by MAM / MIAM.  
 I disagree with the above profiling. I / We fully understand the investment risks involved and have decided to continue with our subscription / switching of / to the above fund(s). I / We acknowledge receipt of the list of funds offered by MAM / MIAM.  
 Reason: \_\_\_\_\_  
 I do not wish to be profiled. I / We fully understand the investment risks involved and have decided to continue with our subscription / switching of / to the above fund(s). I / We acknowledge receipt of the list of funds offered by MAM / MIAM.

\_\_\_\_\_ First Applicant's Signature  
 Name : \_\_\_\_\_  
 Date :   /   /

\_\_\_\_\_ Signature of Consultant  
 Name : \_\_\_\_\_  
 Date :   /   /

## I. FOREIGN ACCOUNT TAX COMPLIANCE ACT AND COMMON REPORTING STANDARD INDIVIDUAL SELF-CERTIFICATION

**IMPORTANT NOTE: Please read these instructions before completing the form.**

- 1) Under Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS), MAM/MIAM is required to collect and report certain information to the local tax authority on the status of our customers.
- 2) Should there is a change in circumstances relating to information, such as the account holder's tax status or other mandatory field information that makes this form incorrect or incomplete, please let us know by notifying us or providing us with an updated Self-Certification Form.
- 3) This form must be completed by any individual who wishes to open an account.
- 4) As a financial institution, we are not allowed to give tax advice. Kindly consult your tax or legal adviser should you have questions on or in relation to FATCA and CRS.

### Part 1: FATCA Self Certification

Definitions applicable

The term U.S. person or United States person means a person described in section 7701(a)(30) of the Internal Revenue Code:

The term "United States person" means a citizen or resident of the United States

Please tick (✓) Yes or No for each of the following questions:

NO	QUESTION	YES	NO
1	Are you a U.S. Citizen?		
2	Do you hold a U.S. Permanent Resident Card (Green Card)		
3	Are you a U.S. Resident?		
4	If you have ticked "No" to all three questions above, then please tick as Non U.S. Person.	Non U.S. person	
5	If you have ticked "Yes" to any of the three questions above, please tick as U.S. Person. <i>Please fill up U.S. IRS form W9 (<a href="https://www.irs.gov/pub/irs-pdf/fw9.pdf?portlet=103">https://www.irs.gov/pub/irs-pdf/fw9.pdf?portlet=103</a>)</i>	U.S. person	

### Part 2: Jurisdiction of Residence and Taxpayer Identification Number (TIN)

Complete the following table indication :

- (a) the jurisdiction of residence where the account holder is a resident for tax purposes (except for Malaysia) and
- (b) the account holder's TIN for each jurisdiction indicated. Indicate All jurisdictions of residence.

If a TIN is unavailable, indicate which of the following reason is applicable:  
Reason A – The jurisdiction where the account holder is a resident for tax purpose does not issue TINs to its residents.  
Reason B – The account holder is unable to obtain a TIN.  
Reason C – TIN is not required.  
(Note: Select this reason only if the authorities of the jurisdiction of residence do not require the TIN to be disclosed.)

No	Country of Tax Residence	Taxpayer Identification Number (TIN)	If no TIN available, indicate Reason A, B or C
1			
2			
3			

Please explain in the following boxes why you are unable to obtain a TIN if you selected **Reason B** above.

1	
2	
3	

Note: If the account holder is a resident for tax purpose in more than three countries, please use separate sheet.

## J. DECLARATION

By signing this Form,

- 1) I/We represent and declare that all the information provided above is true, accurate, and complete.;
- 2) This investment is consistent with my/our investment risk requirement and profile.
- 3) The concept of investment risk has been explained to me/us, and I/we understand the risks involved.
- 4) I am/We are not an undischarged bankrupt.
- 5) All monies and other properties to be injected for investment activities by MAM/MIAM are free from any money laundering activities in accordance with the Anti-Money Laundering, Anti-Terrorism Financing And Proceeds of Unlawful Activities Act 2001.
- 6) I/We hereby confirm that I am/we are a "qualified investor"\* (for wholesales funds only).
- 7) I/We acknowledge that this application form has been circulated with the information memorandum(s)/prospectus(es) and supplementary prospectus(es) (if any).
- 8) I/We have read and understood the content of the information memorandum(s)/prospectus(es) and supplementary prospectus(es) (if any) before completing this application form.
- 9) I am/We are aware of the fees and charges that we will incur directly or indirectly when investing in the fund.
- 10) I/We hereby authorize the Manager to execute all transactions that I/we may request via facsimile, email, or by-hand.
- 11) I/We agree and acknowledge that instructions made via facsimile and/or email may not be safe and secure. In this respect, I/we will hold MAM/MIAM harmless from all costs, claims, damages, or losses that I/we may suffer or incur due to MAM/MIAM's reliance on my/our instructions made via facsimile transmissions and/or emails.
- 12) I/We have been informed that any misleading, inaccurate, or incomplete information provided by me/us will affect the outcome of the recommendation made from the suitability assessment. In such a case, MAM/MIAM may not be held liable for such recommendation.
- 13) I/We acknowledge that I am/we are responsible for my/our tax affairs and declare that to the best of my/our knowledge, I/we have not committed or been convicted of any tax crimes.
- 14) I/We hereby undertake to inform MAM/MIAM in writing as soon as possible of any material variation to the information provided.
- 15) I/We declare that I/we have made my/our independent decision to proceed with my/our investments with MAM/MIAM, and that my/our decisions are solely that of mine/ours. MAM/MIAM shall not be liable for my/our decisions and has in no way prejudiced my/our decision.
- 16) I/We acknowledge and hold MAM/MIAM, its employees, and/or agents harmless for the information provided as it is believed to be accurate and true at the point the information was provided.

## FATCA AND CRS

- 1) I/We declare that the information provided in this form regarding FATCA and CRS is true, accurate and complete.
- 2) I/We understand that the term "U.S. person"\*\*\* means any citizen or resident of the United States.
- 3) I/We declare that I am not/we are not a U.S. person\* and in the event of a change in my/our status that I/we become a U.S. Person, I/we shall notify MAM/MIAM of the change.
- 4) I/We certify that I am/we are authorized to sign for the Account Holder in respect of all the account(s) to which this form relates.
- 5) I/We hereby consent to MAM/MIAM or its related entities disclosing the financial accounts information to regulatory authorities in accordance with the requirements of FATCA and CRS as may be stipulated by applicable laws, regulations, agreements, or regulatory guidelines or directives.
- 6) I/We agree that MAM/MIAM may classify me/us as a reportable account and/or suspend, recall, or terminate my/our account(s) and/or facilities granted to me/us, in the event I/we fail to provide accurate and complete information and/or documentation as MAM/MIAM may require.
- 7) I/We agree that MAM/MIAM may withhold from my/our account(s) such amounts in accordance with the provisions of the Foreign Account Tax Compliance Act or as may be stipulated by applicable laws, regulations, agreements, or regulatory guidelines or directives.
- 8) I/We undertake to notify MAM/MIAM in writing within 30 calendar days of any change in circumstances which causes the information contained herein to become incorrect.

### Definition:

\* The definition of "Qualified investors" as defined by Securities Commission Malaysia (SC) means a) Individuals: Total net personal assets or joints assets with his or her spouse, exceeds RM3 millions or its equivalent in foreign currencies excluding the value of the individual's primary residence or b) Corporations: Total Net Assets exceeding RM10 million or its equivalent in foreign currencies based on the last audited account.

\*\*The term "U.S. person" means: a) A U.S. citizen (including dual citizen); b) A U.S. resident alien for tax purposes; c) A domestic partnership; d) A domestic corporation; e) Any estate other than a foreign estate; f) Any trust if: (i) A court within the United States is able to exercise primary supervision over the administration of the trust, and (ii) One or more United States persons have the authority to control all substantial decisions of the trust; and g) Any other person that is not a foreign person.

#### **COLLECTION AND DISCLOSURE OF INFORMATION AND DATA**

MAM/MIAM refers to Maybank Asset Management Sdn Bhd / Maybank Islamic Asset Management Sdn Bhd being entities licensed to carry on the business of fund management granted by the Securities Commission Malaysia in accordance with the Capital Markets and Services Act 2007 to me/us. The Maybank Group refers to entities within the Group, its overseas branches as well as parent company (where applicable) and its local and overseas subsidiaries.

I/We acknowledge and agree that: -

- (a) Collection of Data: In addition to the information and data (which may include personal data) provided herein, MAM/MIAM may obtain and collect the required information and data (which may include personal data) from time to time, from any relevant sources, including but not limited to publicly available sources, credit information from the Inland Revenue Authorities, Employees Provident Fund ("EPF"), other financial institutions, Central Credit Reference Information System (CCRIS), SME Credit Bureau, any other credit reference agencies, Maybank Group's own database and systems, and any other person, individual and / or entity which the required information and data (which may include personal data) in relation to the purpose of the products and/or services offered to me/us, and to carry out any commercial transactions entered into with MAM/MIAM and/or the Maybank Group, as deemed appropriate.
- (b) Processing of Data: For the purpose in relation to the products and/or services offered to me/us, to carry out any commercial transactions entered into with MAM/MIAM and/or the Maybank Group, for any business and/or operational requirements of MAM/MIAM and/or Maybank Group and to exercise MAM/MIAM's and/or Maybank Group's rights and obligations, MAM/MIAM may need to process, transfer, store, maintain my/our information and data (which may include personal data) relating to my/our affairs, accounts and business;
- (c) Disclosure to Maybank Group: MAM/MIAM may, in addition to the specific terms and conditions governing the financings, products, and/or services, disclose my/our information and data (which may include personal data) collected and processed as above, to the Maybank Group including overseas, for any business and/or operational requirements of MAM/MIAM and/or Maybank Group, and to exercise MAM/MIAM's and/or Maybank Group's rights and obligations;
- (d) Disclosure to External Parties: MAM/MIAM may, in addition to the specific terms and conditions governing the financings, products, and/or services, disclose my/our information and data (which may include personal data) collected and processed as above, to the following parties within and outside Malaysia (where necessary), including but not limited to ("External Parties"):
  - 1) governmental and regulatory bodies such as Bank Negara Malaysia and Securities Commission or to the Credit Bureau established by Bank Negara Malaysia or any other banking or any other regulatory authorities to whom MAM/MIAM/Maybank Group is required or permitted to make such disclosure;
  - 2) Maybank Group's auditors, legal advisors and other professional advisors, any credit agencies, debt collection agencies, asset tracing specialists, association of banks or similar industry bodies;
  - 3) any actual or potential participant or transferee of MAM/MIAM's and/or Maybank Group's rights or obligations related to the financings, products and/or services made available to me/us;
  - 4) any representative, agent, service provider, outsourcing service provider, strategic business partner, financial institution, financial services provider or any other entity that MAM/MIAM or Maybank Group may use or engage with and/or have a contractual relationship with, both in and outside of Malaysia;
  - 5) any security party, any guarantor and/or surety, co-debtor, and where applicable any joint account holder, and/or party making a claim under any third party payment instrument or person who has undertaken liability for the financings, products and/or services made available to me/us;
  - 6) any owner/manager of products and services, where MAM/MIAM or Maybank Group act as agents for such owners/managers;
  - 7) any other financial institution, where applicable, in relation to the products and/or services made available by MAM/MIAM;
  - 8) any person, agency, governmental authority or body pursuant to any laws or regulations;
  - 9) any legal dispute forum (e.g. court, arbitration proceeding, mediation bureau, tribunal) pursuant to any law or regulation, in accordance to any court order or other legal process or in connection with any action, suit or proceeding; and/or
  - 10) EPF, if applicable, information pertaining to my/our account for any applications for withdrawal submitted by me/us and/or if such information and/or verification is sought by EPF, and to entities within Maybank Group to facilitate any of my/our application for financings, products and/or services that I/we have subscribed to (i.e. Will/ Wasiat and/or insurance products) and for verification purposes required by the said entities within Maybank Group.

These External Parties, where permitted, may transfer, store, maintain and/or process my/our information and data within or outside of Malaysia.

#### **Disclosure to Bank Negara Malaysia**

I/We agree that MAM/MIAM may be or are required, whether pursuant to law or otherwise, to provide information to Bank Negara Malaysia regarding the financings, products and/or services granted to me/us, or my/our accounts, and/or any commercial transactions entered into with MAM/MIAM and/or Maybank Group. I/We expressly consent to MAM/MIAM disclosing such information to Bank Negara Malaysia (including for the purpose of collation of information from banks regarding their customers), to enable participating banks and other financial institutions to assess the credit worthiness of existing or potential customers. MAM/MIAM will not be liable whether directly or indirectly to me/us or any other persons for such disclosure.

**Maybank Group's Privacy Statement**

- 1) The Maybank Group Privacy Statement which is posted on the MAM/MIAM website at maybank-am.com.my/privacy\_policy ("Privacy Statement") outlines how MAM/MIAM processes, collects, uses, maintains, stores, discloses, secures and retains (including for the purposes of statistical analysis and market research) personal data as defined in the Privacy Statement. I/We agree that the Privacy Statement has been referred to prior to me/us providing MAM/MIAM with any personal data and information and acknowledge that I/we have read, understood and agree to the terms of the Privacy Statement.
- 2) I/We hereby give my/our explicit consent for MAM/MIAM to collect and process my/our sensitive personal data which is required to assess and administer the products or services that I/we have applied for, pursuant to Personal Data Protection Act 2010.

**Disclosure of Personal Data of Individuals**

- 1) In the event MAM/MIAM requests from time to time that I /we provide the personal data and information of the following persons (where applicable), who might be individuals:
  - a) my/ our guarantor(s);
  - b) my/our any other security party;
  - c) our directors, shareholders, employees, agents, representatives and/or those of any guarantor, security party; or
  - d) any other individual,  
(each an **"Individual"**) in the course of my/our transactions with MAM/MIAM;
- 2) I/we warrant that I/we have full legal authority and have complied with the Personal Data Protection Act 2010 by obtaining the relevant consent from the Individual to furnish his or her personal data to MAM/MIAM (save and except for personal data collected from public domain or official documents) for MAM/MIAM to process such personal data under the terms and conditions governing this application form and the Privacy Statement. I/We further undertake to inform and furnish the Privacy Statement to the Individual before providing MAM/MIAM with the Individual's personal data and shall, if requested, immediately provide evidence of my/our compliance with the above to MAM/MIAM.

**Declaration for Promotion and Direct Marketing (where applicable)**

With regards to promotions and direct marketing of product and services: -

- Yes, I/we expressly agree to MAM/MIAM/Maybank Group and/or Other Entities disclosing, sharing and processing my/our information and data (which may include my/our personal data) and contacting me/us for promotions and direct marketing of products and services.
- No, I/we do not agree to MAM/MIAM/Maybank Group and/or Other Entities disclosing, sharing and processing my/our information and data (which may include my/our personal data) and contacting me/us for promotions and direct marketing of products and services.

**Revocation for Consent**

I/We understand that I/we may at any time revoke my/our consent provided above insofar as the revocation would not impact the provisions of the services/products applied for or MAM/MIAM's compliance to legal and regulatory requirements.

**Acknowledgment**

I/We acknowledge and declare that I/we have read, understood and agree to the above terms and conditions and am/are expressly consenting to and authorising MAM/MIAM and Maybank Group to act in accordance with the above terms and conditions.

\_\_\_\_\_  
First Applicant's Signature

Name :

Date : 

D	D	/	M	M	/	Y	Y	Y	Y
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\_\_\_\_\_  
Joint Applicant's Signature

Name :

Date : 

D	D	/	M	M	/	Y	Y	Y	Y
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**DOCUMENT CHECKLIST**

The following documents must be submitted together with this form. The Manager may request for additional documents (where applicable).

Required Documents	To Tick (✓)					
	Individual / Joint	Company / Institution	Partnership	Sole Proprietor	Club / Society / Charity	Others
Certified true copy of NRIC or Passport		N/A	N/A	N/A	N/A	N/A
Bank statement as indicated in Section F (shows client's name and account number)		N/A	N/A	N/A	N/A	N/A
Board Resolution (including specimen signature(s) and list of authorised signatory(ies) or authorisation for any person(s) to represent / open / operate on behalf of the organisation)		N/A	N/A		N/A	N/A
Certificate of Incorporation (Form 9)/ Certificate of Registration Certificate / Relevant Constituent documents or other similar documents		N/A	N/A	N/A	N/A	N/A
Duly certified true copy of latest Form Section 58 Companies Act 2016, Section 68 Companies Act 2016, 24, 44, 49 and 32A or other similar documents		N/A	N/A			N/A
Duly certified true copy of a Memorandum and Articles of Association or Constitution		N/A			N/A	N/A
Latest Audited Annual Report		N/A	N/A	N/A	N/A	

NOTE:

- For company / institution, all documents must be certified true copy by the company secretary.
- Appointed authorised signatory(ies) must submit photocopy of NRIC and to be certified true copy / original sighted by authorised licensed holder only.

FOR INTERNAL USE ONLY			
Signature	:	_____	PF No. / UTC/MR Code : _____
Name	:	_____	UTC / MR Contact No : _____
Date	:	[D][D] / [M][M] / [Y][Y][Y][Y]	UTC / MR Email Address : _____

**FATCA AND CRS ASSESSMENT (FOR INTERNAL USE ONLY)**

Reasonable Test:

This section is to be completed by Consultant/Relationship Manager of MAM/MIAM. Questions below to be considered in conjunction with all documents & forms collected from customers (including this form).

**Applicant Name:** \_\_\_\_\_ **NRIC / Other ID No:** \_\_\_\_\_

No	U.S Indica Status	To tick (✓)		Action required if "Yes" (FATCA Documentation Checklist)
		Yes	No	
1	Have the account holder(s) provided a <b>U.S. place of birth</b> ?			a. If account holder is confirmed U.S person: - <b>Form W-9</b> or b. If account holder is non U.S person: - Certificate of Loss of Nationality, and appropriate documentation(*) NI or - Form W-8BEN N3(***)
2	Have the account holder(s) provided any indication that the account holder(s) are <b>U.S. citizen or resident</b> ?			a. If account holder is confirmed U.S person: - <b>Form W-9</b>
3	Have the account holder(s) provided a <b>U.S. address</b> (including P.O. Box)?			b. If account holder is non U.S person: - Appropriate documentation(*) or - Form W-8BEN(**)
4	Have the account holder(s) provided <u>only</u> a <b>U.S. telephone number</b> ?			
5	Have the account holder(s) provided a <b>U.S. telephone number and a non U.S. telephone number</b> ?			

6	Have the account holder(s) provided any <b>standing instructions to transfer funds to an account maintained in the U.S.?</b>		
7	Have the account holder(s) <b>granted Power of Attorney to a Person with a U.S. address?</b>		
8	Have the account holder(s) provided <b>only a U.S. "hold mail" or "in care of" address</b> , that is the sole address for this account?		

<b>Customer(s)' FATCA Classification:</b>		<b>To Tick (✓)</b>
Non. U.S. Person		<input type="checkbox"/>
U.S. Person		<input type="checkbox"/>
Recalcitrant customer with U.S. Indicia		<input type="checkbox"/>
Recalcitrant customer without U.S. Indicia		<input type="checkbox"/>
Recalcitrant customer that is U.S. Person		<input type="checkbox"/>
Recalcitrant customer that is dormant account		<input type="checkbox"/>

<b>No</b>	<b>U.S Indica Status</b>	<b>To tick (✓)</b>		<b>Action required if "Yes" (CRS Documentation Checklist)</b>
		<b>Yes</b>	<b>No</b>	
1	Have the account holder(s) provided any indication that the account holder(s) are from other Jurisdictions N3?			Documentary evidence to establish the Account Holder's Jurisdiction status.
2	Have the account holder(s) provided any other Jurisdiction address (including P.O. Box)?			
3	Have the account holder(s) provided one or more telephone numbers in other Jurisdiction?			
4	Have the account holder(s) provided any standing instructions to transfer funds to an account maintained in other Jurisdictions?			
5	Have the account holder(s) granted Power of Attorney to a Person with address Jurisdictions, that is the sole address for this account?			
6	Have the account holder(s) provided "hold mail" or "in care of" address of other Jurisdictions, that is the sole address for this account?			

**Notes:**

\*Customer can also provide alternative documentation, a form of documentary evidencing citizenship in a country other than the United States, and a reasonable written explanation of the account holder's renunciation of U.S. citizenship at birth in order to establish the account holder's status as a foreign person (i.e. other than U.S.) such as:

- Certificate of residence
- Individual government identification with respect to an individual (e.g. Identification Card)
- Any valid identification issued by an authorised government body (e.g. a government or agency thereof, or a municipality) that is typically used for

\*\*In the absence of any appropriate documentation evidencing account holder is non U.S. person, Relationship Manager should obtain form W-8BEN.

\*\*\*Jurisdictions: Country (ies) other than Malaysia and U.S.

<b>DECLARATION AND ACKNOWLEDGEMENT</b>			
I declare that: the required account opening checks have been performed for the customer(s) listed above; and that the information provided is true, correct and updated.			
Signature	: _____	PF No. / UTC/MR Code	: _____
Name	: _____	Date	: _____