

# ACCOUNT OPENING FORM – NON INDIVIDUAL



Asset Management

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)

**For Office Use Only**

Account Number :

**A. INVESTMENT DETAILS**

Product Type  Unit Trust Fund  Wholesale Fund\* *\*Please fill up Sophisticated Investor Declaration Form*  Mandate

**B. PARTICULARS OF NON-INDIVIDUAL**

**Company / Institution Information**

Name of Company / Institution

(as per Certificate of Incorporation)

Business Registration / Certificate of Incorporation No.

Date of Incorporation  DD / MM / YYYY

Status  Incorporated in Malaysia  Other, please specify

Telephone no.: Office  Facsimile no. :

- Nature of Business
- |  |  |
|--|--|
| <input type="checkbox"/> Agricultural/Forestry           | <input type="checkbox"/> Manufacturing                               |
| <input type="checkbox"/> Audit/Accounting/Tax/Legal      | <input type="checkbox"/> Medical/Health Science                      |
| <input type="checkbox"/> Building/Construction Related   | <input type="checkbox"/> Mining/Quarring                             |
| <input type="checkbox"/> Education                       | <input type="checkbox"/> Money Service Business                      |
| <input type="checkbox"/> Energy/Utilities                | <input type="checkbox"/> Non-Governmental Organisation (NGO)         |
| <input type="checkbox"/> Engineering                     | <input type="checkbox"/> Pawnshop/Dealers in Precious Goods          |
| <input type="checkbox"/> Entertainment Outlets           | <input type="checkbox"/> Real Estate/Property                        |
| <input type="checkbox"/> Financial Institution/Insurance | <input type="checkbox"/> Trading/Restaurant/Hotel                    |
| <input type="checkbox"/> Government/Regulatory Authority | <input type="checkbox"/> Transport/Telecommunication                 |
| <input type="checkbox"/> Hotel/Travel Services           | <input type="checkbox"/> Others, please specify <input type="text"/> |
| <input type="checkbox"/> Import/Export                   |  |

Source of Funds for Investment  Capital Injection  Profits/Dividends  Sale of shares or other securities  Others, please specify

Type of Entity  Private Limited (Sdn Bhd)  Non-listed Public Limited  Partnership  Listed Public Limited (Bhd)  State / Federal Government  Trustee  Foundation  Society/Co-operative (Koperasi)  Others, please specify

Bumiputera Status  Bumiputera  Non-Bumiputera TIN No.

**Company / Institution Ultimate Beneficial Owner (UBO)**

Salutation  MR  MS  ENCIK  CIK  PUAN  Others, please specify:

Person Name

NRIC/Passport No.  Date of Birth  DD / MM / YYYY Contact No.

Email address:

Monthly Income  Below RM5,000  RM5,001 to RM8,000  RM8,001 to RM15,000  RM15,001 to RM20,000  Above RM20,001

Occupation  Housewife  Retiree  Student

Employed, please specify Employer Name & Designation \_\_\_\_\_

Self-employed, please specify \_\_\_\_\_

Others, please specify \_\_\_\_\_

Nature of Business

<input type="checkbox"/> Agricultural/Forestry	<input type="checkbox"/> Manufacturing
<input type="checkbox"/> Audit/Accounting/Tax/Legal	<input type="checkbox"/> Medical/Health Science
<input type="checkbox"/> Building/Construction Related	<input type="checkbox"/> Mining/Quarring
<input type="checkbox"/> Education	<input type="checkbox"/> Money Service Business
<input type="checkbox"/> Energy/Utilities	<input type="checkbox"/> Non-Governmental Organisation (NGO)
<input type="checkbox"/> Engineering	<input type="checkbox"/> Pawnshop/Dealers in Precious Goods
<input type="checkbox"/> Entertainment Outlets	<input type="checkbox"/> Real Estate/Property
<input type="checkbox"/> Financial Institution/Insurance	<input type="checkbox"/> Trading/Restaurant/Hotel
<input type="checkbox"/> Government/Regulatory Authority	<input type="checkbox"/> Transport/Telecommunication
<input type="checkbox"/> Hotel/Travel Services	<input type="checkbox"/> Others, please specify _____
<input type="checkbox"/> Import/Export	

**Company / Institution Contact Person Information**

Salutation  MR  MS  ENCIK  CIK  PUAN  Others, please specify: \_\_\_\_\_

Contact Person Name (1) \_\_\_\_\_

NRIC/Passport No. \_\_\_\_\_ Contact No. \_\_\_\_\_ Designation \_\_\_\_\_

Email address: \_\_\_\_\_

Salutation  MR  MS  ENCIK  CIK  PUAN  Others, please specify: \_\_\_\_\_

Contact Person Name (2) \_\_\_\_\_

NRIC/Passport No. \_\_\_\_\_ Contact No. \_\_\_\_\_ Designation \_\_\_\_\_

Email address: \_\_\_\_\_

**C. MAILING DETAILS**

**Registered Address** (Company / Institution)

\_\_\_\_\_

\_\_\_\_\_

Postcode \_\_\_\_\_

City \_\_\_\_\_

State \_\_\_\_\_

Country \_\_\_\_\_

**Business / Correspondence Address** (if different from Registered Address)

\_\_\_\_\_

\_\_\_\_\_

Postcode \_\_\_\_\_

City \_\_\_\_\_

State \_\_\_\_\_

Country \_\_\_\_\_

## D. DISTRIBUTION & REPURCHASE PROCEED INSTRUCTION

Distribution Proceeds  Credit to Bank  Reinvestment

Bank Account No.\*

Name of Account\*

Bank Name

Bank Swift Code/Bank Code

Note: \* Third Party Account is not allowed

## E. INVESTOR SUITABILITY ASSESSMENT

**IMPORTANT NOTE: THIS INVESTOR SUITABILITY ASSESSMENT WILL GUIDE YOU IN CHOOSING THE FUNDS THAT SUIT YOUR INVESTMENT OBJECTIVES, RISK TOLERANCE, FINANCIAL PROFILE AND INVESTMENT EXPERIENCE. THE INFORMATION YOU PROVIDE WILL FORM THE BASIS OF OUR RECOMMENDATION. IT IS IMPORTANT TO PROVIDE ACCURATE AND COMPLETE INFORMATION TO ENSURE THAT SUITABLE FUNDS ARE RECOMMENDED ACCORDING TO YOUR INVESTMENT NEEDS AND OBJECTIVES. THE RECOMMENDATION IS MADE BASED ON INFORMATION OBTAINED FROM THE SUITABILITY ASSESSMENT. INVESTORS ARE ADVISED TO EXERCISE JUDGEMENT IN MAKING AN INFORMED DECISION IN RELATION TO THE FUNDS.**

### RISK PROFILING QUESTIONNAIRES

Please tick (✓) the desired answer and fill in the score in the score box. (The score is the number in the bracket)

1. How much is your company's latest audited profit?	Score
<input type="checkbox"/> < RM 500,000 (1) <input type="checkbox"/> RM500,001 - RM1,000,000 (2) <input type="checkbox"/> RM1,000,001 - RM3,000,000 (3) <input type="checkbox"/> RM3,000,001 - RM5,000,000 (4) <input type="checkbox"/> > RM5,000 001 (5)	
2. How much is your company's latest audited liability?	Score
<input type="checkbox"/> Above RM1,500,000 (1) <input type="checkbox"/> RM1,000,001 - RM1,500,000 (2) <input type="checkbox"/> RM700,001 - RM1,000,000 (3) <input type="checkbox"/> RM400,001 - RM700,000 (4) <input type="checkbox"/> RM100,000 - RM400,000 (5)	
3. What is your company's investment objective?	Score
<input type="checkbox"/> Capital Preservation (1) <input type="checkbox"/> Income (2) <input type="checkbox"/> Balanced (3) <input type="checkbox"/> Income and Growth (4) <input type="checkbox"/> Growth (5)	
4. To what extent is your company willing to bear the risk of capital loss?	Score
<input type="checkbox"/> Total loss 100% (6) <input type="checkbox"/> Loss more than 80% (5) <input type="checkbox"/> Loss more than 50% (4) <input type="checkbox"/> Loss more than 30% (3) <input type="checkbox"/> Loss more than 10% (2) <input type="checkbox"/> No capital loss (1)	
5. What is your company's expected return from this investment?	Score
<input type="checkbox"/> 3 - 5% p.a. (1) <input type="checkbox"/> 6 - 8% p.a. (2) <input type="checkbox"/> 9 - 11% p.a. (3) <input type="checkbox"/> 12 - 15% p.a. (4)	
6. Which of the following best fits your company's current investment portfolio?	Score
<input type="checkbox"/> 80% cash + 20% fixed income (1) <input type="checkbox"/> 50% cash + 30% fixed income + 20% equities (2) <input type="checkbox"/> 30% cash + 30% fixed income + 40% equities (3) <input type="checkbox"/> 10% cash + 20% fixed income + 70% equities (4)	
7. How long has your company been investing, not including property or bank deposit?	Score
<input type="checkbox"/> This is the first time (1) <input type="checkbox"/> 1 - 2 years (2) <input type="checkbox"/> 3 - 5 years (3) <input type="checkbox"/> 5 - 9 years (4) <input type="checkbox"/> More than 10 years (5)	
8. Has your company invested in any investment product before?	Score
<input type="checkbox"/> No (1) <input type="checkbox"/> Yes, last investment was 10 years ago (2) <input type="checkbox"/> Yes, last investment was 5 years ago (3) <input type="checkbox"/> Yes, last investment was 2 years ago (4)	
<b>TOTAL SCORE</b>	

## F. 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	8 to 13	
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)	14 to 19	
3	<b>Balanced</b> Willing to accept potential short-term risks for a higher return in the medium term (2 years or more)	20 to 25	
4	<b>Growth</b> Willing to accept significant short-term risks for greater returns in the long term (up to 5 years)	26 to 30	
5	<b>Enhanced Growth</b> Willing to accept significant risks, even capital losses for maximised returns in the long term (5 years or more)	31 to 38	

The product distributor has explained and I / We have understood the features and risks of the product.  
 I / We acknowledge receipt of a copy of Product Highlight Sheet (PHS) and the relevant disclosure document which have been given to me/us.  
 I / We agree with the above risk class and acknowledge receipt of the list of funds offered by MAM / MIAM.  
 I / We 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 / We 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.

*Authorised Signatory	*Authorised Signatory	Signatory of Consultant/Representative
Name : _____	Name : _____	Name : _____
Date : <input type="text" value="DD"/> <input type="text" value="DD"/> / <input type="text" value="MM"/> <input type="text" value="MM"/> / <input type="text" value="YYYY"/> <input type="text" value="YYYY"/>	Date : <input type="text" value="DD"/> <input type="text" value="DD"/> / <input type="text" value="MM"/> <input type="text" value="MM"/> / <input type="text" value="YYYY"/> <input type="text" value="YYYY"/>	Date : <input type="text" value="DD"/> <input type="text" value="DD"/> / <input type="text" value="MM"/> <input type="text" value="MM"/> / <input type="text" value="YYYY"/> <input type="text" value="YYYY"/>

*\*Authorised signatory(ies) as per Board Resolution with Maybank*

## G. FOREIGN ACCOUNT TAX COMPLIANCE ACT AND COMMON REPORTING STANDARD ENTITY 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) For sole-proprietorship owned by an individual, please complete the FATCA/CRS Individual Self-Certification Form.
- 5) 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: 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:  
 (1) if the Entity is not a tax resident of any country, please indicate above (line1) its place of effective management or country in which its principal office is located.

**Part 2: FATCA Status**

The Entity is incorporated, established, constituted or organized in the United States of America.

- Yes. Please complete and submit U.S. IRS Form W9 (<https://www.irs.gov/pub/irs-pdf/fw9.pdf>).  
 No. Please proceed to Part 3 and/or Part 4.

**Part 3: Financial Institution (FI)**

No	Type	FATCA/CRS Status
a	The Entity is a Participating Foreign Financial Institution. Global Intermediary Identification Number (GIIN) [ ][ ][ ][ ][ ][ ][ ][ ][ ] - [ ][ ][ ][ ][ ][ ][ ][ ][ ] - [ ][ ][ ] - [ ][ ][ ][ ][ ]	<input type="checkbox"/> Participating FFI <input type="checkbox"/> Reporting Model 1 FFI <input type="checkbox"/> Reporting Model 2 FFI <input type="checkbox"/> Registered deemed-compliant FI
b	<input type="checkbox"/> The entity is a Non-Participating Foreign Financial Institution	Non-Participating FFI
c	<input type="checkbox"/> Other types of Foreign Financial Institutions. Please complete and submit U.S. IRS Form W8BENE ( <a href="https://www.irs.gov/pub/irs-pdf/fw8bene.pdf">https://www.irs.gov/pub/irs-pdf/fw8bene.pdf</a> )	

**CRS Status**

d	<input type="checkbox"/> It is an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution. (Please complete Part 5 – Controlling Person if ticking this box)	Non-Participating FI
e	<input type="checkbox"/> It is a Depository Institution, Custodial Institution or Specified Insurance Company	Financial Institution

**Part 4: Non Financial Entity (NFE)**

No	Type	FATCA/CRS Status
a	<input type="checkbox"/> <b>Active Business</b> - At least 50% of its gross income (for the previous calendar year) from these business activities and not from passive income such as investments, dividends, interest, rents or royalties. - At least 50% of assets held by produce or are held to produce active income.	Active NFFE
b	<input type="checkbox"/> <b>Start Up Company</b> - Date of incorporation not more than 24 months. - Not yet operating a business and has no prior operating history. - Investing capital in assets with the intent to operate a new line of business other than that of a financial institution.	Excepted non-financial start-up company

c	<input type="checkbox"/> <b>Charity/Non-Profit Organisation</b> - Entity that is a religious, charitable, scientific, artistic, cultural or educational that is exempt from income tax in its country of residence. - Professional organization, business league, chamber of commerce, labour organisation, agricultural or horticultural organization, civil league or an organization operated exclusively for promotion of social welfare. - Has no shareholders or members who have a proprietary or beneficial interest in its income or assets. - Its formation documents or the local law do not permit the distribution of any income or assets to or for the benefit of a private person or non-charity entity except for payment as reasonable compensation for services or distribution in accordance with the charity's charitable activities. - Its formation documents or the local law require all of the charity's assets to be distributed to a government entity or other non-profit organization upon the charity's dissolution or liquidation.	Non Profit Organisation
d	<input type="checkbox"/> <b>Excepted non-financial entity in liquidation or bankruptcy</b> - An entity that is not Financial Institution or investment entity in the past five years. - An entity in the process of liquidation or bankruptcy or re-organising with the intent to continue or recommence operations in business other than that of a Financial Institution.	Excepted non financial entity in liquidation or bankruptcy
e	<b>Publicly Listed Company or its Related Entity</b> <input type="checkbox"/> - The entity is a corporation that is not a financial institution. - The stock of such corporation is regularly traded on one or more established securities markets, including _____ (name one securities exchange upon which the stock is regularly traded) <input type="checkbox"/> - The entity is a corporation that is not a financial institution. - The entity is a member of the same expanded affiliated group as an entity the stock of which is regularly traded on an established securities market. - The name of the entity, the stock of which is regularly traded on an established securities market, is _____ and - The name of the securities market on which the stock is regularly traded is _____	NFFE that is publicly traded or affiliate of a publicly trade NFE
f	<input type="checkbox"/> <b>Passive Investment Entity</b> It derives more than 50% of its gross income from passive income such as investments, dividends, interests, rents or royalties. (Please complete Part 5 – Controlling Person if ticking this box)	Passive NFFE
g	<input type="checkbox"/> <b>Exempt Beneficial Owners</b> Central Banks, Government agencies, Statutory Boards, Entities owned by Statutory Boards, Foreign Embassies or Trade Representative Offices, International Organisations.	Entities wholly owned by exempt beneficial owners
<b>Note:</b> If you do not belong to any of the above, please complete and submit U.S IRS Form W8BENE ( <a href="https://www.irs.gov/pub/irs-pdf/fw8bene.pdf">https://www.irs.gov/pub/irs-pdf/fw8bene.pdf</a> ).		

**Part 5: Controlling Person**

Indicate the name of all Controlling Person(s) of the Account Holder:

- 1 \_\_\_\_\_
- 2 \_\_\_\_\_
- 3 \_\_\_\_\_

Note:

(1) Complete the FATCA/CRS Controlling Person Self Declaration Form for each of the Controlling Person.

(2) If there is no natural person(s) who exercise control of the account holder then the Controlling Person will be the natural person(s) who hold the position of senior managing official.

## H. 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/We represent that there are no insolvency, winding up and/or similar proceedings commenced against us
- 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.

#### **PERSONAL DATA PROTECTION ACT (PDPA) 2010**

#### **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](http://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/\*Authorised Signatory

Name :

Date : 

D	D	/	M	M	/	Y	Y	Y	Y
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\_\_\_\_\_  
Joint Applicant's Signature/\*Authorised Signatory

Name :

Date : 

D	D	/	M	M	/	Y	Y	Y	Y
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*\*Authorised signatory(ies) as per Board Resolution with Maybank*

Affix Seal or Company Stamp Here  
(Applicable for Institutional Applicant only)

## 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					
Bank statement as indicated in Section D (shows client's name and account number)	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)						
Certificate of Incorporation (Form 9)/ Certificate of Registration Certificate / Relevant Constituent documents or other similar documents						
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						
Duly certified true copy of a Memorandum and Articles of Association or Constitution						
Latest Audited Annual Report						

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

### FOR INTERNAL USE ONLY

Signature : _____	PF No. / UTC/MR Code : _____
Name : _____	UTC / MR Contact No : _____
Date : <span style="border: 1px solid black; padding: 2px;">D</span> <span style="border: 1px solid black; padding: 2px;">D</span> / <span style="border: 1px solid black; padding: 2px;">M</span> <span style="border: 1px solid black; padding: 2px;">M</span> / <span style="border: 1px solid black; padding: 2px;">Y</span> <span style="border: 1px solid black; padding: 2px;">Y</span> <span style="border: 1px solid black; padding: 2px;">Y</span> <span style="border: 1px solid black; padding: 2px;">Y</span>	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> <u>or</u> 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 <u>only</u> a <b>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"/>

No	U.S Indica Status	To tick (✓)		Action required if "Yes" (CRS Documentation Checklist)
		Yes	No	
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 of other Jurisdiction?			
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 identification purposes

\*\*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.

**DECLARATION AND ACKNOWLEDGEMENT**

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	:	_____
Name	:	_____	Date	:	_____