

# SOPHISTICATED INVESTOR DECLARATION FORM



**Maybank**

Asset Management

**Only a Sophisticated Investor may invest in a Wholesales Fund as defined in Capital Market and Services (Amendment of Schedules 5, 6 and 7) Order 2021.**

## **Main Applicant**

Full Name (as per NRIC/Passport):

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NRIC/ Passport No.: -----

## **Joint Applicant**

Full Name (as per NRIC/Passport):

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NRIC/ Passport No.: -----

## **Non-Individual Applicant**

Corporate/Institution Name:

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Business Registration/Company Reg. No.:

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- I/We, as mentioned above, hereby declare and confirm that I/We am/are eligible to invest in sophisticated investor products/ services offered by Maybank Asset Management Sdn Bhd.
- I/We acknowledge that Maybank Asset Management Sdn Bhd accepts this investment based on this Declaration.
- I/We further affirm that this Declaration is accurate as stated and am/are ready to provide any documentary evidence to verify its accuracy.
- In any case, I/We agree to indemnify and hold Maybank Asset Management Sdn Bhd harmless from any costs, expenses, fines, penalties, or other losses that it may incur if this Declaration is found to be untrue or incorrect in any manner.

Please review the categories of Sophisticated Investors listed below and select the one that applies to you.

## Individual (Only applicable to Main Applicant)

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| <input type="checkbox"/> An individual whose total net personal assets, or total net joint assets with his or her spouse, exceeds RM3 million or its equivalent in foreign currencies, provided that the net value of the primary residence of the individual contribute not more than RM1 million of the total net assets   | <input type="checkbox"/> An individual whose total net joint assets with, (a) his or her spouse; or (b) his or her child, exceeding RM3 million or its equivalent in foreign currencies, provided that the net value of the primary residence of the individual with his or her spouse or child contribute not more than RM1 million of the total net assets   |
| <input type="checkbox"/> An individual who has a gross annual income exceeding RM300,000 or its equivalent in foreign currencies per annum in the preceding 12 months  | <input type="checkbox"/> An individual who jointly with his or her spouse or child, has a gross annual income exceeding RM400,000 or its equivalent in foreign currencies in the preceding 12 months   |
| <input type="checkbox"/> An individual whose total net personal investment portfolio or total net joint investment portfolio with his or her spouse or child, in any capital market products exceeding RM1 million or its equivalent in foreign currencies   | <input type="checkbox"/> An Individual who has 5 consecutive years of working experience in a capital market intermediary relating to product development, corporate finance, deal advisory, investment management, sales and trading, investment research and advisory, financial analysis, or the provision of training in investment products.  |
| <input type="checkbox"/> An individual who holds the following membership in the associations:<br>(A) Active Member of Chartered Financial Analyst (CFA) Institute;<br>(B) Chartered Banker of Asian Institute of Chartered Bankers (AICB);<br>(C) Ordinary Member of Financial Markets Association Malaysia (FMAM);<br>(D) Chartered Accountant, C.A(M) of Malaysian Institute of Accountants (MIA);<br>(E) Ordinary Member of Malaysia Association of Tax Accountants (MATA);<br>(F) Accredited Angel Investor of Malaysian Business Angel Network (MBAN);<br>(G) Certified Member of Financial Planning Association of Malaysia (FPAM); or<br>(H) Ordinary Member of Malaysian Financial Planning Council (MFPC); | <input type="checkbox"/> An Individual who holds any of the following qualifications and has 5 consecutive years of relevant working experience in finance, economics, actuarial science or accounting.<br>(A) holds a Bachelor's or Master's degree related to Finance, Economics or Actuarial Science;<br>(B) holds a Bachelor's or Master's degree in Accounting; or<br>(C) holds a Master of Business Administration |
| <input type="checkbox"/> A licensed person or a registered person by SC  | <input type="checkbox"/> A chief executive officer or a director of a holder of a capital markets services license   |

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Asset Management

## Non-Individual

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|--|---|
| <input type="checkbox"/> A company that is registered as a trust company under the Trust Companies Act 1949 and has assets under its management exceeding ten million ringgit or its equivalent in foreign currencies. | <input type="checkbox"/> A corporation that is a public company under the Companies Act 2016 which is approved by the SC to be a trustee under the CMSA and has assets under its management, exceeding ten million ringgit or its equivalent in foreign currencies or is carrying on the regulated activity of fund management solely for the benefit of its related corporations and has assets under its management exceeding ten million ringgit or its equivalent in foreign currencies |
| <input type="checkbox"/> A corporation with total net assets exceeding ten million ringgit or its equivalent in foreign currencies based on the last audited accounts.   | <input type="checkbox"/> A partnership with total net assets exceeding ten million ringgit or its equivalent in foreign currencies  |
| <input type="checkbox"/> A statutory body established under any law whose function or mandate is investment in capital market products   | <input type="checkbox"/> A pension fund approved by the Director General of Inland Revenue under the Income Tax Act 1967  |
| <input type="checkbox"/> An exchange holding company, a stock exchange, a derivatives exchange, an approved clearing house, a central depository or a recognized market operator                                       | <input type="checkbox"/> A corporation that is licensed, registered or approved to carry on any regulated activity or capital market services by an authority in Labuan or outside Malaysia which exercises functions corresponding to the functions of the SC  |
| <input type="checkbox"/> A bank licensee or an insurance licensee as defined under the Labuan Financial Services and Securities Act 2010 [Act 704].  | <input type="checkbox"/> An Islamic bank licensee or a takaful licensee as defined under the Labuan Islamic Financial Services and Securities Act 2010 [Act 705].   |

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**Signature of Main Applicant/  
Authorized Signatories & Date**

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**Signature of Joint Applicant**

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**Common Seal/ Company's  
Stamp**