

**Trading Account**

(Tick whichever is applicable)

**Facilities / Services**

(For securities only)

Securities

Derivatives

Conventional Trading

Shariah Trading

Intraday Short Selling (IDSS)

Online Trading

Leap Market

Margin Financing

Discretionary Financing

Foreign Trading

Others \_\_\_\_\_

Please complete using BLOCK LETTERS. Any amendment made must be counter-signed by the applicant.

**A. APPLICANT'S INFORMATION**

Name (as per NRIC/Passport & to attach a copy of NRIC/Passport)

NRIC No./Passport No.

Date of Birth

Gender

Male

Female

Marital Status

Single

Married

Email Address (Mandatory for eStatement purpose)

Mobile / Tel. No.

No of Dependents: \_\_\_\_\_

Nationality:

Malaysian  Others \_\_\_\_\_

Residential Address

As per NRIC.

As follows:

Postcode \_\_\_\_\_

Correspondence Address (If different from Residential Address)

Postcode \_\_\_\_\_

**B. EMPLOYMENT / BUSINESS**

Employed

Self-Employed

Unemployed / Retiree / Student / Housewife

Name of Employer/ Business/ Previous Employment (for Retiree/ Unemployed only)

If own business, state % of ownership \_\_\_\_\_

Address

Occupation

Tel. No.

Nature of Business

Year(s) in Employment/Business

Year of Last Employment (for Retiree/ Unemployed only)

Note: If unemployed/ housewife/ student, to state the sponsor (details) of the applicant's investment fund in Section D.

**C. FINANCIAL AND INVESTMENT PROFILE**

Gross Annual Income (RM)

Estimated Net Worth (RM)

Source of Funds

Salary/Commission

Investment Return

Business Income

Savings

Pension Fund/EPF

(For trading purpose)

Rental/Interest Income

Inheritance

From Parent/Children/Spouse

Others \_\_\_\_\_

Investment Objective  Hedging

Dividend

Speculation

Capital Appreciation

Others \_\_\_\_\_

Investment Horizon

Long Term

Medium Term

Short Term

Risk Tolerance

Conservative

Moderate

Aggressive

Investment Experience

Securities; No. of Year(s): \_\_\_\_\_

Derivatives; No. of Year(s): \_\_\_\_\_

Trading Account with Other Brokers

Yes

No

Name of Broker

Account Type (Securities/Derivatives)

Trading Limit (RM)

**D. PARTICULARS OF SPOUSE / NEXT OF KIN / SPONSOR OF INVESTMENT FUND**

Name

NRIC No./Passport No.

Relationship with Applicant

Spouse  Others \_\_\_\_\_

Employment

Employed

Self-Employed

Others \_\_\_\_\_

Name of Employer/ Business/ Previous Employment (for Retiree/ Unemployed only)

Tel. No.

Nature of Business

Occupation

Gross Annual Income (RM)

Section D is mandatory for the sponsor of unemployed/ housewife/ student.

**E. AUTOMATED TRUST PAYMENT & TRUST MONIES WITHDRAWAL VIA ePAYMENT**

1. I hereby authorise Inter-Pacific Securities Sdn Bhd (hereinafter referred to as "IPS") to automatically credit all proceeds (including but not limited to net sales proceeds, contra gains and any other payments due to me) into my trust account maintained with IPS. I further authorise IPS to deal with my trust monies under my trust account as IPS deems fit, including placing my trust monies in short term placement and/or money market instruments during the period prior to my investment being effected and IPS shall have the absolute right to deal with the interest income accrued from such placement.
2. I hereby request and authorise IPS to remit my trust monies withdrawal(s) from my trust account into my designated bank account detailed herein below.

Name of Bank _____	Bank Account Number _____	Joint Account <input type="checkbox"/> Yes <input type="checkbox"/> No
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(To attach a copy of the applicant's Passbook/Latest Bank Statement for verification)

3. I do solemnly declare that **I am the beneficial owner of the above bank account** and this authorisation shall serve as my standing instruction for all future trust monies withdrawal(s). I further authorise my assigned Dealer's Representative and/or Registered Representative to communicate my withdrawal instruction(s) to IPS and third party payment is strictly prohibited.

**F. DISCLOSURE BY APPLICANT**

1. Do you have relatives working with IPS?       Yes. Name/Relationship \_\_\_\_\_  No
2. Do you have any related party# who maintains account with IPS?  Yes. Name/Relationship \_\_\_\_\_  No
3. Are you a guarantor of any account(s) held in IPS?       Yes. Name/Relationship \_\_\_\_\_  No
4. Will you be authorising a 3<sup>rd</sup> party to place order(s) on your behalf?       Yes. (To provide a letter of authorisation & 3<sup>rd</sup> party details)  No
5. Are you acting as a nominee of another person in transaction(s) via IPS?  Yes. Name/NRIC No. \_\_\_\_\_  No
6. Are you a Politically Exposed Person (PEP) or family member/an associate of PEP?  
 Yes. Name \_\_\_\_\_ Position \_\_\_\_\_ Relationship \_\_\_\_\_ Country \_\_\_\_\_  No
7. Are you attached with any securities/derivatives broker?       Yes. Company's Name/Designation \_\_\_\_\_  No
8. Do you have commitments with any financial institution(s)?  
 Yes. Bank's Name \_\_\_\_\_  No  
 Overdraft     Hire Purchase     Property Loan     Share Margin Financing     Others \_\_\_\_\_
9. Do you have any civil litigations and disputed accounts/amounts with any financial institution and/or securities/derivatives broker?  
 Yes. (to provide details) \_\_\_\_\_  No
10. Have you ever been subject to any bankruptcy, criminal, receivership or similar proceedings other than traffic offence in/outside Malaysia?  
 Yes. (to provide details) \_\_\_\_\_  No

Note: # Related party includes spouse, children, parents, siblings and/or companies in which you have at least 15% interest.

**G. FOREIGN ACCOUNT TAX COMPLIANCE ACT (FATCA) AND COMMON REPORTING STANDARD (CRS) SELF-CERTIFICATION**

1. Are you a U.S. Person for tax purpose under U.S. IRS Regulation?       Yes (to provide Form W-9 by IRS)       No
2. Are you a tax resident in Malaysia?       Yes       No
3. Do you have tax residency outside Malaysia?       Yes (to provide details below)       No

Country _____	Tax Identification No. (TIN) _____	Reason if without TIN _____
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(To attach a separate sheet if the space provided is insufficient)

I hereby acknowledge that the information contained in this form and the information relating to my account(s) with IPS may be provided to Inland Revenue Board of Malaysia (IRBM) and IRBM may exchange this information with tax authorities of other countries pursuant to intergovernmental agreements to exchange financial account information.

Note: The above information is collected pursuant to the requirements of FATCA of the United States of America (U.S.) (<http://www.irs.gov>) and CRS of the Organisation for Economic Co-operation and Development (OECD) (<https://www.oecd.org>)

**H. DECLARATION ON DOMESTIC RINGGIT BORROWING PURSUANT TO FOREIGN EXCHANGE ADMINISTRATION POLICY OF BNM**

1. I have been briefed that multi-currency securities and/or derivatives products listed on Bursa Malaysia and recognised/specified foreign exchanges are foreign currency assets, thus dealing in these products shall fall within the purview of Foreign Exchange Administration (FEA) Policy of Bank Negara Malaysia (BNM).
2. I do declare that (Tick whichever is applicable)  
 I am a resident of Malaysia and  
     I do not have Domestic Ringgit Borrowing.  
     I have Domestic Ringgit Borrowing and will manage my foreign currency conversion/ investment in compliance with BNM requirements. (Ringgit conversion limit for resident individual is RM1 million per calendar year)  
 I am a non-resident of Malaysia.
3. I hereby consent to abide with and be bound by the provision of the Exchange Control Act 1953 and BNM's FEA Policy as well as any subsequent variations and/or amendments thereof from time to time. In the event that there are changes in the details contained in this declaration, I undertake to inform IPS of the changes immediately, failing which IPS may proceed to take any action IPS deems fit without further reference to me.

**I. AUTHORISATION TO DISCLOSURE OF CDS SECURITIES BALANCES BY BURSA DEPOSITORY TO IPS**

1. I hereby give authorisation and consent to Bursa Malaysia Depository Sdn Bhd ("Bursa Depository") to disclose my account particulars, securities balances, transactions and/or other securities related information ("Securities Balances") relating to my affairs and CDS securities account(s) to IPS and to such agents, service providers and/or sub-contractors of IPS ("IPS and Associates") as informed by IPS to Bursa Depository. This authorisation and consent shall be valid until revoked by me in writing.
2. I further authorise IPS to disclose the Securities Balances to me and my Dealer's Representative(s) via IPS online trading systems, dealer's representative portal and/or any relevant sub-system for the purpose of viewing and facilitating my purchase(s) and/or sale(s) of securities through IPS under my securities account(s). I hereby acknowledge that the Securities Balances shown may not reflect the current status, hence, it must not be regarded as a conclusive representation of the actual Securities Balances in my CDS securities account(s). **I have been strongly advised to verify the Securities Balances status with my own records or IPS** in order to obtain confirmation on the accuracy of the Securities Balances in my CDS securities account(s) before placing any sell order.
3. I hereby agree that I shall not hold Bursa Depository, IPS and Associates as well as my Dealer's Representative(s) liable for any losses, claims and/or liabilities whatsoever in respect of such disclosure of the Securities Balances to me through IPS, including but not limited to the use of or reliance on the Securities Balances and execution of sale order(s) by me due to any inaccuracy of the Securities Balances provided by IPS.

**J. DECLARATION AND AUTHORISATION BY ACCOUNT HOLDER / APPLICANT**

I do solemnly declare that

1. I have read and fully understood the General Terms and Conditions governing my securities and/or derivatives account(s) as posted and available at [www.paconline.com.my](http://www.paconline.com.my) and [www.interpac.com.my](http://www.interpac.com.my) (hereinafter collectively referred to as "IPS Websites") as well as the relevant facilities/services in respect of dealing in securities and/or derivatives as stated in this Application. The General Terms and Conditions together with this application shall collectively be referred to as "the Agreement". I am fully aware of all risks and obligations associated with dealing in securities and/or derivatives and accept sole responsibility therefor. I shall be bound by the Agreement as well as any subsequent variations, amendments, addendums and/or insertions thereof from time to time. I further agree that **I shall refer to IPS Websites for the latest version of the Agreement at all material times.**
2. I have read, understood and consented to the following (where applicable):
  - (a) Acceptance of the Agreement
    - (i) Section A: Terms and Conditions for Dealing in Securities (Conventional / Shariah Trading);
    - (ii) Section B: Terms and Conditions for Dealing in Derivatives (Futures and Options Contracts);
    - (iii) Section C: Other Terms and Conditions Applicable to Dealing in Securities & Derivatives;
    - (iv) Section D: Other Miscellaneous Terms and Conditions
  - (b) Declaration pursuant to Electronic Statements and Electronic Payments;
  - (c) Consent for Credit Reference Check, Privacy Notice and Personal Data Protection Act;
  - (d) Declaration pursuant to Anti-Money Laundering, Anti-Terrorism Financing And Proceeds of Unlawful Activities Act 2001 (AMLATFA);
  - (e) Authorisation for Trading In Foreign Securities and Derivatives; and Dealing in Foreign Trust Monies and Settlement In Foreign Currencies;
  - (f) Declaration pursuant to IPS Online Trading Services;
 

***Applicable to Dealing in Securities only***
  - (g) Acceptance of Contra Guidelines and Structured Warrants Risk Disclosure Statement;
  - (h) Declaration pursuant to Share Margin Financing Facility;
  - (i) Declaration pursuant to Intraday Short-Selling (IDSS) Risk Disclosure Statement and Securities Borrowing for IDSS;
  - (j) Declaration pursuant to Discretionary Financing (DF) Facility;
  - (k) Declaration pursuant to Leap Market Risk Disclosure Statement;
  - (l) Declaration pursuant to Leveraged and Inverse Exchange Traded Funds (L&I ETFs) and its Risk Disclosure Statement;
 

***Applicable to Dealing in Derivatives only***
  - (m) Declaration pursuant to Risk Disclosure Statement for Futures and Options Contracts;
  - (n) Acknowledgement of Receipt of Explanatory Documents on the Nature of Futures and Options Contracts as well as Contract Specifications;
3. I have not been induced into entering this contract nor any other or all contracts which may now or hereafter be entered by me subsequent and pursuant by means of duress, coercion and/or undue influence on your part or on the part of your agents, representatives, employees or officers and that I shall not entitled to allege otherwise.
4. All information and particulars furnished herein as well as declarations, consents and authorisations made by me in this application are true, correct and complete to the best of my knowledge and belief, and that I have not withheld any material facts or information from IPS. I undertake to inform IPS in writing within 30 days of any change in the declarations given herein and to furnish relevant documents to IPS if required.
5. **I am neither insolvent nor an undischarged bankrupt** and I do not have any criminal records nor any litigation cases against me as at the application date. I further declare that:
  - (a) **I am not involved in any money laundering and/or terrorism financing activities** within the context of Section 3 of Anti-Money Laundering, Anti-Terrorism Financing and Proceeds of Unlawful Activities Act 2001 and I shall disclose the source of fund used for all settlement(s) of my securities and/or derivatives transactions upon receiving verbal/ written request(s) from IPS and/or any regulatory body and
  - (b) IPS shall have an absolute right to immediately freeze all assets under my account(s) and/or any asset under my control including those of my related account(s) maintained by IPS pursuant to any relevant Malaysian and/or international terrorism and proliferation financing laws, without further reference to me and/or related account holder(s).
6. IPS is authorised to verify and/or perform any credit reference check(s) and/or confirmation, disclose or give any credit information with or from or to any credit reporting agencies pursuant to Credit Reporting Agencies Act 2010, including but not limit to Experian Information Services (M) Sdn Bhd, LexisNexis and/or any other agencies and/or from any financial institution(s), any governmental and/or regulatory authority whether Malaysian or foreign entity, to whom IPS is under any obligation to make disclosure on the applicant(s) for any purpose(s) which IPS deems appropriate and relevant to its business at any material time. This consent or authority also applies to the provisions in Personal Data Protection Act 2010 (PDPA), Foreign Account Tax Compliance Act, Common Reporting Standard or any other laws enforced from time to time in respect of similar matter.
7. **The dealings in securities and/or derivatives in respect of my trading account(s) are/shall be carried out for me as principal and I am the beneficial owner of the trading account(s).** I hereby agree to be bound by the relevant laws, rules and regulations, regulatory directives and guidelines of Bursa and recognised/specified foreign exchanges as well as any amendment(s) and/or variation(s) subsequent thereof relating to dealing in securities and/or derivatives at all material times.
8. I am a Qualified Client for L&I ETFs listed on Bursa Malaysia Bhd and I hereby confirm that I have fulfilled or done one or more of the following:
 

***(For L&I ETFs application only. Tick whichever is applicable)***

I am a Sophisticated Investor;

I have a Margin Account;

I have executed at least 5 transactions in exchange traded derivatives, or structured warrants within the preceding 12 months; or

I have utilised a performance simulator which simulates trading in L&I ETFs units and undergone an e-learning tutorial developed by the Exchange for trading in L&I ETFs units.
9. Mr/Ms \_\_\_\_\_ is hereby **appointed and authorised to act as my assigned Dealer's Representative and/or Registered Representative** (the Assigned DR/RR) and/or any authorised Dealer's Representative(s)/Registered Representative(s) as the Assigned DR/RR or IPS deems appropriate, to handle my orders and transactions as well as to communicate my instruction(s) to IPS in relation to dealing in securities and/or derivatives as well as the operations of my securities and/or derivatives account(s). I further agree and undertake that I shall have no claim against IPS for all and any matter(s) relating to this authorisation and that IPS shall not be liable or responsible to me for any losses, damages, claims and/or all other liabilities of whatsoever nature and descriptions arising from this authorisation.
10. My application for securities and/or derivatives account(s) stated herein shall be subject to IPS approval and IPS reserves the right to reject this application or impose any trading condition(s) or restriction(s) as IPS deems appropriate without giving any reason(s) thereto.

Signature of Applicant

Sign Here

Name

Date

Signature of Witness \*

Name

NRIC / ID No.

Date

\* Acceptable Witness: Dealer's Representative / Registered Representative / IPS authorised officer / notary public / advocate & solicitor.

**K. DECLARATION BY DEALER'S REPRESENTATIVE / REGISTERED REPRESENTATIVE**

**1. Know Your Client** (Tick whichever is applicable)

- (a) How do you know the applicant?  Relative/Friend  Walk-in Client  Others \_\_\_\_\_
- (b) How long have you known the applicant?  < 1 year  1-5 years  6-10 years  > 10 years
- (c) Have you sighted the original NRIC/Passport of the applicant?  Yes  No
- (d) Do you have information on the applicant's financial background?  Yes  No
- (e) Did you have any previous trading experience with the applicant?  Yes  No
- (f) Is the applicant involved in any illegal financial/investment scheme?  Yes  No  
If Yes, please give details. \_\_\_\_\_
- (g) Is the applicant cooperative in giving information during account opening process?  Yes  No

**2. Recommendations for Trading Limit, Products and Brokerages**

**Securities**

Trading Account	Trading Limit	Online Brokerage Rates		Margin Financing		Collateral to be Deposited	
<input type="checkbox"/> Conventional <input type="checkbox"/> Shariah	RM	Up to RM100K	%	Interest	%	Cash	RM
<input type="checkbox"/> DF Facility <input type="checkbox"/> Online Trading		Above RM100K	%	Equity Ratio	%	Shares	
<input type="checkbox"/> Margin <input type="checkbox"/> Foreign Trading		Min Brokerage	RM	Rollover Fee	%		
<input type="checkbox"/> Others _____		Intraday	%	Facility Limit	RM		

**Justification for the Recommended Trading Limit** (Tick whichever is applicable)

- Source of fund from the applicant's income/saving/pension etc.  Others. (Please specify below)
- Investment financed by spouse/parent/sibling/children.
- The applicant has previous trading experience with other broker(s).

**Derivatives Brokerages**

Derivatives Products	Intraday Rate (RM)	Overnight Rate (RM)	Spread Rate (RM)	Remarks

**3. Declaration**

I hereby request IPS to approve the application to open trading account(s) for \_\_\_\_\_ with IPS and to allow me to act as the Dealer's Representative and/or Registered Representative for the abovenamed applicant.

As a Dealer's Representative and/or Registered Representative of IPS, I hereby confirm that:

- all information furnished herewith by the abovenamed applicant is true, correct and complete to the best of my knowledge and I have not withheld any material fact and information from IPS. I further confirm that **the signature under Section J of this application is that of the applicant.** I hereby acknowledge that the applicant is known to me personally and was introduced to IPS by me in my capacity as a Dealer's Representative and/or Registered Representative.
- I have at my best effort explained, described and translated all requirements, obligations and undertakings as contained in the securities and/or derivatives application(s) as well as the General Terms and Conditions governing the securities and/or derivatives account(s) to the applicant and the applicant appears to explicitly understand the same. I have evaluated the suitability of the applicant in applying for the securities and/or derivatives account(s) including all facilities/ services applied by taking into consideration of the applicant's financial standing as well as investment objectives and experience.
- I have agreed to allow the applicant to access IPS online trading services in order to deal in securities and/or derivatives under the applicant's account(s). I further confirm that the applicant is aware and fully understand the regulatory requirements and procedures as well as all risks associated with execution of online orders. I hereby undertake that all online orders executed by the applicant, shall be deemed as orders duly executed by me under the applicant's account(s) and I will monitor the applicant's securities and/or derivatives orders in order to avoid any market misconduct at all material times.

I hereby agree to abide by the Terms and Conditions in the Standard Remisiers' Agreement, the Remisier's Guidelines, Dealer's Agreement and/or Registered Representative's Agreement with IPS. I further agree and undertake to indemnify and keep IPS fully indemnified against any losses, damages, debts, charges and all other costs and expenses whatsoever incurred or suffered or which you may incur or suffer by you in relation to the opening of the securities and/or derivatives account(s) of the abovenamed applicant and the subsequent operations thereof.

Signature of Dealer's Representative/ Registered Representative

(Tick whichever is applicable)

- Designation  Dealer's Representative (DR)  
 Registered Representative (RR)

Name

NRIC. No.

DR/RR Code

Date

**L. APPROVAL (FOR OFFICE USE ONLY)**

Approved Trading Limit (RM) (For securities only)		Remark		
Initial/ Signature	Verified by	Approved by	Data Entry by	Checked by
Name				
Designation				
Date				
Client Code		CDS Account No: 054 -		