

# ACCOUNT OPENING FORM - MANDATE

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

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

## A. INVESTMENT ACCOUNT TYPE

- Individual     
  Joint     
  Company / Institution     
  Others, please specify \_\_\_\_\_

## B. PARTICULARS OF COMPANY / INSTITUTION

Name of Company / Institution <i>(as per Certificate of Incorporation)</i>																				
Business Registration / Certificate of Incorporation No.																				
Telephone no.: Office							Facsimile no. :													
Contact Person Name (1)																				
Salutation																				
NRIC/Passport No.							Contact No.							Designation						
Email address:																				
Contact Person Name (2)																				
Salutation																				
NRIC/Passport No.							Contact No.							Designation						
Email address:																				
Nature of Business																				
Source of Income	<input type="checkbox"/> Principal Business				<input type="checkbox"/> Subsidiaries				<input type="checkbox"/> Others, please specify _____											
Nature of Business Entity	<input type="checkbox"/> Company				<input type="checkbox"/> Sole Proprietorship				<input type="checkbox"/> Partnership											
	<input type="checkbox"/> Trust				<input type="checkbox"/> Club / Society / Charity				<input type="checkbox"/> Others, please specify _____											

## C. PARTICULARS OF FIRST APPLICANT

Salutation																				
Full Name <i>(as per NRIC / Passport No.)</i>																				
NRIC/Passport No.							Old NRIC No.							Date of Birth						
Telephone no.: House							Mobile No.:													
Email address:																				
Gender	<input type="checkbox"/> Female				<input type="checkbox"/> Male															
Nationality	<input type="checkbox"/> Malaysian				<input type="checkbox"/> Others, please specify _____															
	<input type="checkbox"/> US Citizen / Resident / Permanent Resident / Green Card Holder																			
Race	<input type="checkbox"/> Chinese				<input type="checkbox"/> Malay															
	<input type="checkbox"/> Indian				<input type="checkbox"/> Others, please specify _____															
Status	<input type="checkbox"/> Bumiputera				<input type="checkbox"/> Non-Bumiputera				<input type="checkbox"/> Not Applicable											
Marital Status	<input type="checkbox"/> Single				<input type="checkbox"/> Married															
	<input type="checkbox"/> Divorced				<input type="checkbox"/> Widowed															
Annual Income	<input type="checkbox"/> < RM500,000				<input type="checkbox"/> RM500,000 to RM1 Million															
	<input type="checkbox"/> RM1 - RM3 Millions				<input type="checkbox"/> > RM3 Millions															
Tax Status	<input type="checkbox"/> Resident				<input type="checkbox"/> Non-resident															
Employment	<input type="checkbox"/> Employed				<input type="checkbox"/> Self-employed, please state nature of self employment															
	<input type="checkbox"/> Housewife																			
	<input type="checkbox"/> Retiree				<input type="checkbox"/> Others, please specify _____															
Sources of Wealth for Investment	<input type="checkbox"/> Personal Savings				<input type="checkbox"/> Business Income															
	<input type="checkbox"/> Investments				<input type="checkbox"/> Inheritance															
	<input type="checkbox"/> Others, please specify _____																			

**D. PARTICULARS OF JOINT APPLICANT (IF APPLICABLE)**

Salutation																										
Full Name <i>(as per NRIC / Passport No.)</i>																										
NRIC/Passport No.									Old NRIC No.									Date of Birth								
Telephone no.: House									Mobile No.:																	
Email address:																										
Gender	<input type="checkbox"/> Female												<input type="checkbox"/> Male													
Nationality	<input type="checkbox"/> Malaysian												<input type="checkbox"/> Others, please specify _____													
	<input type="checkbox"/> US Citizen / Resident / Permanent Resident / Green Card Holder																									
Race	<input type="checkbox"/> Chinese												<input type="checkbox"/> Malay													
	<input type="checkbox"/> Indian												<input type="checkbox"/> Others, please specify _____													
Status	<input type="checkbox"/> Bumiputera												<input type="checkbox"/> Non-Bumiputera								<input type="checkbox"/> Not Applicable					
Marital Status	<input type="checkbox"/> Single												<input type="checkbox"/> Married													
	<input type="checkbox"/> Divorced												<input type="checkbox"/> Widowed													
Annual Income	<input type="checkbox"/> < RM500,000												<input type="checkbox"/> RM500,000 to RM1 Million													
	<input type="checkbox"/> RM1 - RM3 Millions												<input type="checkbox"/> > RM3 Millions													
Tax Status	<input type="checkbox"/> Resident												<input type="checkbox"/> Non-resident													
Employment	<input type="checkbox"/> Employed												<input type="checkbox"/> Self-employed, please state nature of self employment _____													
	<input type="checkbox"/> Housewife																									
	<input type="checkbox"/> Retiree												<input type="checkbox"/> Others, please specify _____													
Sources of Wealth for Investment	<input type="checkbox"/> Personal Savings												<input type="checkbox"/> Business Income								<input type="checkbox"/> Inheritance					
	<input type="checkbox"/> Investments																									
	<input type="checkbox"/> Others, please specify _____																									
Relationship with First Applicant																										

**E. AUTHORISATION MATRIX (FOR JOINT ACCOUNT HOLDER / COMPANY / INSTITUTION)**

*Manner of Signing*

<input type="checkbox"/> First Applicant to sign only	<input type="checkbox"/> Either to sign
<input type="checkbox"/> All to sign	<input type="checkbox"/> Company / Institution (as per Board Resolution provided)

**F. MAILING DETAILS**

<input type="checkbox"/> Permanent / Residence Address (Individual Client - applicable to First Applicant only)																								
<input type="checkbox"/> Registered Address (Company / Institution)																								
Postcode																								
City																								
State																								
Country																								
<input type="checkbox"/> Mailing Address (if different from Permanent / Residence Address)																								
<input type="checkbox"/> Business / Correspondence Address (if different from Registered Address)																								
Postcode																								
City																								
State																								
Country																								

**G. DISTRIBUTION & PROCEED INSTRUCTION**

Investment Proceeds	<input type="checkbox"/> Credit to Bank								<input type="checkbox"/> Reinvestment								<input type="checkbox"/> Cheque*							
Account No.**																								
Name of Account**																								
Bank Name																								

\* Issuance of Cheque is only allowed with official written letter

\*\* Third Party Account is not allowed

Kindly circle at the score column.

1. Age	Score
Below 25	2
Between 25 to 40	4
Between 41 to 60	3
Above 61	1

Q1 Score:

2. Which of the following describe your current stage of life?	Score
Single: Ready to accumulate wealth for future short and long term goals	6
A couple without children: Preparing for future by establishing a home	5
Young family: Working to maintain mortgage and children costs	3
Mature family: Ready and start planning for retirement	4
Preparing for retirement: Working to ensure comfortable retirement	2
Retired: Rely on existing funds and investment to maintain lifestyle	1

Q2 Score:

3. How long do you plan to hold your investment?	Score
Less than 1 year	5
Between 2 years and 4 years	4
Between 5 years and 7 years	3
Between 8 years and 10 years	2
More than 10 years	1

Q3 Score:

4. What is your main purpose of investment?	Score
Saving for specific purpose / need within 5 years	1
Supplementing income in retirement to maintain lifestyle	2
General lump sum investment for growth and wealth accumulation	3
General lump sum investment for alternative regular income	4
Aim for short term appreciation	5

Q4 Score:

5. To what extent that you are willing to bear the risk of capital loss	Score
Total loss 100%	6
Loss more than 80%	5
Loss more than 50%	4
Loss more than 30%	3
Loss more than 10%	2
No capital loss	1

Q5 Score:

6. What is your expected return from this investment?	Score
At least 3 - 5% p.a.	1
At least 6 - 8% p.a.	2
At least 9 - 11% p.a.	3
At least 12 - 15% p.a.	4

Q6 Score:

7. Which of the following best fit your current portfolio?	Score
80% cash + 20% fixed income	1
50% cash + 30% fixed income + 20% equities	2
30% cash + 30% fixed income + 40% equities	3
10% cash + 20% fixed income + 70% equities	4

Q7 Score:

8. How long have you been investing, not including your own home or bank deposit?	Score
This is the first time	1
1 - 2 years	2
3 - 5 years	3
5 - 9 years	4
More than 10 years	5

Q8 Score:

9. Have you invested in any investment product before?	Score
No	1
Yes, last investment was 10 years ago	2
Yes, last investment was 5 years ago	3
Yes, last investment was 2 years ago	4

Q9 Score:

**Total Score:**

Kindly circle at the score column.

1. How much is your company's latest audited profit?	Score
RM0 - RM 50,000	1
RM50,001 - RM100,000	2
RM100,001 - RM200,000	3
RM200,001 - RM300,000	4
Above RM300 000	5

Q1 Score:

2. How much is your company's latest audited liability?	Score
Above RM1,500,000	1
RM1,000,001 - RM1,500,000	2
RM700,001 - RM1,000,000	3
RM400,001 - RM700,000	4
RM100,000 - RM400,000	5

Q2 Score:

3. What is your company's investment objective?	Score
Capital preservation	1
Income	2
Balanced	3
Income and Growth	4
Growth	5

Q3 Score:

4. To what extent is your company willing to bear the risk of capital loss	Score
Total loss 100%	6
Loss more than 80%	5
Loss more than 50%	4
Loss more than 30%	3
Loss more than 10%	2
No capital loss	1

Q4 Score:

5. What is your company's expected return from this investment?	Score
3 - 5% p.a.	1
6 - 8% p.a.	2
9 - 11% p.a.	3
12 - 15% p.a.	4

Q5 Score:

6. Which of the following best fits your company's current investment portfolio?	Score
80% cash + 20% fixed income	1
50% cash + 30% fixed income + 20% equities	2
30% cash + 30% fixed income + 40% equities	3
10% cash + 20% fixed income + 70% equities	4

Q6 Score:

7. How long has your company been investing, not including property or bank deposit?	Score
This is the first time	1
1 - 2 years	2
3 - 5 years	3
5 - 9 years	4
More than 10 years	5

Q7 Score:

8. Has your company invested in any investment product before?	Score
No	1
Yes, last investment was 10 years ago	2
Yes, last investment was 5 years ago	3
Yes, last investment was 2 years ago	4

Q8 Score:

Total Score:

**H. ACKNOWLEDGEMENT**

- 1) The product distributor has explained and I / We have understood the features and risks of the product.
- 2) I / We acknowledge receipt of a copy of Product Highlight Sheet (PHS) and the relevant disclosure document which have been given to me.

Risk classification to determine your investment profile from the assessment	Individual	Company / Institution
Income - Wants to preserve capital but can accept slight fluctuation for potential capital gain about the same rate as inflation	9 to 15	8 to 13
Conservative - Willing to accept short-term fluctuation for a potential return slightly above inflation in the medium term (less than 2 years)	16 to 22	14 to 19
Balanced - Willing to accept potential short-term risks for a higher return in the medium term (2 years or more)	23 to 28	20 to 25
Growth - Willing to accept significant short-term risks for greater returns in the long term (up to 5 years)	29 to 34	26 to 30
Enhanced Growth - Willing to accept significant risks, even capital losses for maximised returns in the long term (5 years or more)	35 to 43	31 to 38

- I / We agree with the above risk class and acknowledge receipt of the list of funds offered by MAM.
- 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.
- 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. For execution basis only.
- My / Our risk class remains.

**I. DECLARATION**

By signing this Form,

- 1) All the information given above is true, complete and correct;
- 2) This investment is consistent with my 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 am / are not an undischarged bankrupt;
- 5) All monies and other properties to be injected for the purpose of investment activities by MAM are clean and clear from any money laundering activities by virtue of the provisions of Anti-Money Laundering and Anti-Terrorism Financing Act 2001; and
- 6) I / We hereby confirm that I am / we are a "qualified investor" \* (for wholesale fund only)

I/We declare that I am/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 shall notify MAM of the change.

I/We hereby acknowledge that I/we are responsible for my/our tax affairs and declare that to my/our best knowledge, have not committed or been convicted of any tax crimes.

I/ We hereby undertake to inform MAM in writing as soon as possible of any material variation to the information provided.

I/ We hereby declare that I/we have made our independent decision to proceed with my/our investments with MAM, and that my/our decisions are solely that of mine/ours. MAM shall not be liable for our decisions and has in no way prejudiced our decision.

I/We acknowledge and hold MAM, 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.

I/ We hereby give consent to MAM to disclose information for the purposes of forming part of a database to enable the Manager to evaluate the suitability of other products and services and to thereafter dispatch information on other products or services to me/us, whether provided by MAM, related entities within the MAM Group, or any third party as appointed by MAM.

\* 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.

\*\*\* This includes Maybank Asset Management Singapore Pte Ltd, Maybank Asset Management Sdn Bhd, and all companies under the Maybank Asset Management Group.

Important Notice (PDPA)
<p>The Government of Malaysia has gazetted the Personal Data Protection Act 2010 (PDPA) with effective of 15 November 2013. This act protects the individual's personal data in relation to commercial transactions. If you agree to disclose your personal data to Maybank Asset Management Sdn Bhd ("MAM") and its related entities for marketing purposes or other purposes than for the fulfilment of the service that you have subscribed for with MAM, please select "Yes", Otherwise, select "No" if you do not wish to disclose any of your personal matter other than to MAM.</p> <p><input type="checkbox"/> Yes      <input type="checkbox"/> No</p>

\_\_\_\_\_  
First Applicant's Signature/\*Authorised Signatory

Name : \_\_\_\_\_  
Date :  /  /

\_\_\_\_\_  
Joint Applicant's Signature/\*Authorised Signatory

Name : \_\_\_\_\_  
Date :  /  /

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

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

**IMPORTANT NOTES**

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

Required Documents	Individual / Joint	Company / Institution	Partnership	Sole Proprietor	Club / Society / Charity	Others
Bank statement as indicated in Section G (shows client's name and account number)						
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)						
Certified true copy of NRIC or Passport No.						
Certificate of Incorporation (Form 9)/ Certificate of Registration Certificate / Relevant Constituent documents or other similar documents						
Duly certified true copy of latest Form 24 & 49						
Duly certified true copy of a Memorandum and Articles of Association or Constitution						
FIMM Pre-Investment Form*						
Personal Data Protection Act (PDPA): 1. MBB Private Notice 2. FAQs						
Anti Money Laundering Checklist						
FATCA Supplementary Form						

- 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).
- 3) Exemption for directors / shareholders / partner's identification documents:
  - Public listed companies & government linked companies are subjected to regulatory disclosure.
  - Financial Institutions licensed under Financial Services Act 2013, Islamic Financial Services Act 2013 and Labuan Financial Services and Securities Act 2010 (Act 704).
  - Financial Institutions prescribed under Development Financial Institutions Act 2002.

\*Applicable to unit trust funds only.

**FOR INTERNAL USE ONLY**

Signature : \_\_\_\_\_

Name : \_\_\_\_\_

PF No. / Staff ID No. : \_\_\_\_\_

Date :  /  /

UTC / CMSRL Holder Name : \_\_\_\_\_

FIMM / CMSRL No. : \_\_\_\_\_

Originating Centre / Branch : \_\_\_\_\_