



Number of Years with this Employer/in this Business

Source of Funds ☐ Salary/Employment ☐ Inheritance ☐ Investment Returns ☐ Business  
☐ Others: \_\_\_\_\_

#### Annual Gross Income and Estimated Net Worth Declaration Based on Personal

Annual Gross Income (RM) ☐ Up to RM60,000 ☐ RM60,001 to RM120,000 ☐ RM120,001 to RM180,000  
☐ RM180,001 to RM300,000 ☐ RM300,001 to RM500,000 ☐ Above RM500,000

Estimated Net Worth (RM) ☐ Up to RM100,000 ☐ RM100,001 to RM250,000 ☐ RM250,001 to RM500,000  
☐ RM500,001 to RM1,000,000 ☐ RM1,000,001 to RM3,000,000 ☐ Above RM3,000,000

## 2. DETAILS OF SPOUSE (compulsory if married)

Name (Full name as in NRIC/Passport)

NRIC/Passport/Other Identification No.

Passport Expiry Date

Date of Birth

Gender

☐ Female ☐ Male

Nationality ☐ Malaysian, Bumiputera ☐ Malaysian, Non-Bumiputera ☐ Foreigner, please specify country: \_\_\_\_\_

Race ☐ Malay ☐ Chinese ☐ Indian ☐ Others, please specify: \_\_\_\_\_

Occupation ☐ Employed ☐ Self-Employed ☐ Professional ☐ Unemployed ☐ Housewife ☐ Retiree ☐ Student

Mobile No.

Office No.

Ext.

## 3. FOREIGN ACCOUNT TAX COMPLIANCE ACT ("FATCA") DECLARATION

☐ Yes, I am a U.S. Person<sup>1</sup>. Please provide **IRS Form W-9**.

☐ No, I am a Non-U.S. Person, but I was born in the U.S. or I have a U.S. mailing address/U.S. passport. Please provide **IRS Form W-8BEN**.

☐ No, I am a Non-U.S. Person.

<sup>1</sup> U.S. Person refers to U.S. citizen, including naturalized U.S. citizen, U.S. tax resident and U.S. permanent resident for U.S. Internal Revenue Services ("IRS") tax purposes.

## B. COMMON REPORTING STANDARD ("CRS") SELF-CERTIFICATION

### 1. TAX RESIDENCY INFORMATION

Please complete the country and the related Taxpayer Identification Number ("TIN") that the Joint Holder is a tax resident of.

#### Part I: Country/Jurisdiction of Residence Declaration

☐ Malaysia Tax Resident (not required to complete Part II)

☐ Malaysia and Non-Malaysia Tax Resident (please complete Part II)

☐ Non-Malaysia Tax Resident (please complete Part II)

☐ No tax account, please provide reason: \_\_\_\_\_



## D. DECLARATIONS BY ACCOUNT HOLDER

### 1. DECLARATIONS, ACKNOWLEDGEMENT OF LIABILITY AND INDEMNITY

I hereby confirm, acknowledge and agree that:

- ☐ I have not been convicted by any court for criminal offences in Malaysia or overseas.
- ☐ I have not been subjected to any bankruptcy proceedings or failure to meet any judgement debts in Malaysia or overseas.
- ☐ I have read and fully understood all the Declarations, Acknowledgement of Liability and Indemnity by Account Holder(s) in **Section F(1)** of the **Master Account Opening Form**.

### 2. SOPHISTICATED INVESTOR DECLARATION

I hereby declare and confirm that I am a Sophisticated Investor<sup>4</sup> and wish to invest into Wholesale Fund<sup>5</sup> as defined in the Guidelines on Categories of Sophisticated Investors ("Guidelines") issued by the SC.

I am a Sophisticated Investor in reference to the code (Please refer to **Appendix B** at Page 6 for Code of Sophisticated Investor.):

<sup>4</sup> *Sophisticated Investor is defined in the Guidelines to mean any person who comes within any of the categories of investors set out in Part 1, Schedule 6 and 7 of the Capital Markets and Services Act 2007. Please refer to the Wholesale Fund's Product Highlight Sheet/Information Memorandum definition of Sophisticated Investor.*

<sup>5</sup> *Wholesale Fund is defined in the Guidelines and only Sophisticated Investor may invest in a Wholesale Fund. This is also applicable to all Joint Holder(s).*

## E. ACCOUNT TERMS AND CONDITIONS

### 1. Rights of ACSB

- 1.1 The Terms and Conditions herein are not exhaustive and ACSB reserves the right to add, delete, vary or amend these Terms and Conditions at any time and from time to time at its sole and absolute discretion and the Account Holder(s) hereby agree to any such additions, deletions, variations or amendments to the Terms and Conditions. Where there are conflicting terms, the terms in ACSB's forms and/or Disclosure Documents shall prevail.
- 1.2 ACSB reserves the right to reject any application in whole or in part without assigning any reason. Rejected applicants will be notified.
- 1.3 Account Holder(s) is/are informed and has/have expressly agreed to be serviced by any assigned employee of ACSB in addition to the servicing Unit Trust Scheme Consultant ("UTSC"), including but not limited to any appointed Unit Trust Management Company ("UTMC"), personnel, business partner and distributor of ACSB, only when such service is conducted together with any assigned employee of ACSB. In performing their role, information of the Account Holder(s), including profile, financial and investment records will be made available to assigned employees in addition to the servicing UTSC. Such information shall also be made available to ArecaCapital Trustees Berhad ("ACTB"), being a part of the ACSB group, for the purpose of estate planning and/or setting up of private trust only.
- 1.4 Authorised or assigned employees of ACSB including but not limited to any appointed UTMC, personnel, business partner and distributor of ACSB, must advise and inform Account Holder(s) of their capacity in providing service and general advice. Account Holder(s) is/are advised to make their independent decision, which includes the option to seek other professional advice. Account Holder(s) must be well informed on the above in order to continue the business relationship with ACSB.
- 1.5 For any enquiries on the services and the rights of ACSB, Account Holder(s) may email to [invest@arecacapital.com](mailto:invest@arecacapital.com) or visit [www.arecacapital.com](http://www.arecacapital.com).

### 2. Account Holder(s)

- 2.1 A Joint Holder may be a minor, in which case, a signature may not be required. Specimen signature is required upon Account Holder reaching 18 years of age.
- 2.2 In the case of death of a non-Muslim Account Holder for unit trust fund(s) managed and/or distributed by ACSB, the surviving Joint Holder(s) will be the only person(s) recognised by ACSB and/or the trustee of the respective unit trust fund(s) as having title, right or interest to and in the units held, except where the units are under the EPF Members Investment Scheme, have been collateralised or charged to any institution.
- 2.3 The Controller refers to the individual on whom the account's risk profile and suitability assessment are based. This individual must be either the Principal Holder or Joint Holder of the account.

### 3. Anti-Money Laundering Statement

- 3.1 The source of all funds paid by the Account Holder(s) to ACSB from time to time shall originate from the Account Holder(s)'s legitimate source, for example, legitimate business activity.
- 3.2 Account Holder(s) must provide all information and documents required and declare that all particulars given are true and complete to allow ACSB to verify the Account Holder(s)'s identity(ies).
- 3.3 ACSB shall not be held liable for the action or omission of the Account Holder(s)'s for any reason whatsoever and the Account Holder(s) agree(s) to indemnify(ies) ACSB from any losses whatsoever as a result or in connection with any delay or failure to process any application/transaction if such information and/or documents are not provided on time to ACSB.
- 3.4 ACSB reserves the following rights to reject:-
  - (a) any application if the Account Holder(s) is/are not able to prove the information and/or documents required; or
  - (b) if the Account Holder(s) is/are found to have breached or in compliance with the laws, regulations and rules on Anti-Money Laundering, Anti-Terrorism Financing and Proceeds of Unlawful Activities Act 2001 and 'Know Your Customer' policy of the ACSB; or
  - (c) any applicant that falls under high risk category under the Anti-Money Laundering, Anti-Terrorism Financing and Proceeds of Unlawful Activities Act 2001 and 'Know Your Customer' policy of the ACSB.
- 3.5 ACSB shall notify any rejected applicant of such rejection in any manner deemed necessary by ACSB.

### 4. Personal Data Protection and Privacy Policy

- 4.1 The protection of personal data and privacy is an important concern to ACSB. Any personal data collected on this form will be treated in accordance with ACSB's Personal Data Protection and Privacy Policy ("PDPA Policy"). Kindly visit [www.arecacapital.com](http://www.arecacapital.com) to view the contents of the ACSB's PDPA Policy.
- 4.2 Account Holder(s) has/have ensured that they have read and understood the PDPA Policy and, where they have provided ACSB with the personal data of any other person, the said person has also read and understood the PDPA Policy. By executing this **Customer Information Form**, Account Holder(s) represent(s) that:
  - (a) they have read and understood the PDPA Policy and consent is given to ACSB to process their personal data; and
  - (b) where they have provided the personal data of any other person, the said person has read and understood the PDPA Policy and he/she consents to ACSB processing of his/her personal data.

## F. SIGNATURE(S)

I hereby confirm, acknowledge and agree:-

- that I have read and fully understood the Terms and Conditions in this **Customer Information Form** and the **Master Account Opening Form** accompanied by the relevant Disclosure Documents of the respective unit trust fund(s) and agree to be bound by them.
- that the information provided above is accurate and complete and that I am the Joint Holder to the account. I agree to indemnify ACSB, its directors, officers, employees, agents and representatives against all actions, suits, proceedings, claims, damages and losses which may be suffered by ACSB as a result of any inaccuracy in the information provided herein.

**Please do not pre-sign or sign an incomplete form.**

Joint Holder

Name:

Date:

## FOR ARECA AUTHORISED UTSC USE ONLY

ARECA AUTHORISED UTSC DETAILS		
Signature:	Name:	FIMM Code:
MEETING NOTES		
Date:	Time:	Location:
Other Information:		

## FOR OFFICE USE BY ACSB

FOR AUTHORISED OFFICER USE ONLY	
Processed by:	Transaction Date:
Notes:	
CRS: <input type="checkbox"/> Reportable <input type="checkbox"/> Non-Reportable	

## FOR OFFICE USE BY ACSB (ARECA ONLINE REGISTRATION)

Login ID Assigned:	Processed by:	Verified by:
	Date:	Date:
Notes:	Notes:	Notes:

## APPENDIX A (CODE OF INDUSTRY/BUSINESS ACTIVITY)

Code	Industry/Business Activity
1	Casino / Snooker Center / Internet Café Operator / Betting or Other Gambling Related Activities (H1)
2	Company with Nominee Shareholders / Complex Legal Arrangement (H2)
3	High Value Goods Dealer Such as Jewel, Gems, Precious Metal or Antique Dealers (H3)
4	Laundromat / Vending Machines Operator, Restaurant, Recycling Business and etc. (H4)
5	Money Lender / Money Changer / Remittance Agency / Pawn Shop / Debt Collection Related Operators (H5)
6	Night Club / Karaoke / Other Alcoholic Establishment and etc. (H6)
7	Offshore Corporation / Persons Located in Tax Haven Jurisdictions & Non Cooperative Countries by FATF (H7)
8	Trust / Nominees / Special Purpose Vehicles ("SPVs") (H8)
9	Weapons / Armament Related Business Such as Manufacturers, Dealer or Intermediaries (H9)
10	Others

## APPENDIX B (CODE OF SOPHISTICATED INVESTOR)

Code	Definition of Accredited Investor
1	A licensed person or a registered person with SC.
2	A chief executive officer or a director of any person referred to in the Capital Markets and Services (Amendment of Schedules 5, 6 and 7) Order 2021.
Code	Definition of High-Net Worth Individual
3	An individual whose total net personal assets exceeding 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.
4	An individual whose total net joint assets with his or her spouse/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/child contribute not more than RM1 million of the total net assets.
5	An individual who has a gross annual income exceeding RM300,000 or its equivalent in foreign currencies in the preceding twelve months.
6	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 twelve months.
7	An Individual whose total net personal investment portfolio or total net joint investment portfolio with his or her spouse/child, in any capital market products exceeding RM1 million or its equivalent in foreign currencies.
8	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: (a) Bachelor's or Master's degree related to Finance, Economics or Actuarial Science (b) Bachelor's or Master's degree in Accounting (c) Master of Business Administration
9	An individual who holds the following membership in the associations as set out below: (a) Active Member of Chartered Financial Analyst (CFA) Institute (b) Chartered Banker of Asian Institute of Chartered Bankers (AICB) (c) Ordinary Member of Financial Markets Association Malaysia (FMAM) (d) Chartered Accountant, C.A(M) of Malaysian Institute of Accountants (MIA) (e) Ordinary Member of Malaysia Association of Tax Accountants (MATA) (f) Accredited Angel Investor of Malaysian Business Angel Network (MBAN) (g) Certified Member of Financial Planning Association of Malaysia (FPAM) (h) Ordinary Member of Malaysian Financial Planning Council (MFPC)
10	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.