ACCOUNT OPENING & INVESTMENT FORM

• Entities / corporates. Complete all applicable fields. * Required.

1 APPLICATION TYPE

Entity type *	☐ Company ☐ Partnership / LLP ☐ Trust / Foundation ☐ Statutory body / Pension fund ☐ Other: _____
Investment	☐ New ☐ Additional

2 ENTITY DETAILS

Full name of entity *			
Registration no. *		**Date of incorporation / registration (DD / MM / YYYY) ***	
Country of incorporation *		**Tax identification no.* (TIN) If no TIN, please state reason.**	
Nature of business *			
Listing status *	☐ Listed ☐ Unlisted	**Stock code (if listed)**	
Annual revenue (RM) *		**Total net assets (RM, audited) ***	
Paid-up capital (RM)		**Financial year end**	
Holding company (if any)			
Website		**Country of tax residence ***	

3 AUTHORISED SIGNATORIES • *Persons authorised by board resolution to operate the account*

ITEM	AUTHORISED SIGNATORY 1	AUTHORISED SIGNATORY 2
Full name (NRIC / Passport) *		
Identification number *		
Nationality *		
Designation / position *		
Mobile *		
E-mail *		
Specimen signature *		
Signing mandate *	☐ Any one signatory ☐ Any two signatories ☐ All signatories ☐ Other: _____	

4 DIRECTORS

FULL NAME	NRIC / PASSPORT NO.	NATIONALITY	DESIGNATION

5 SHAREHOLDERS AND BENEFICIAL OWNERS

List every shareholder and every individual who ultimately owns or controls the Entity, including anyone holding 25% or more of its shares or voting rights, directly or indirectly. Attach an ownership structure chart if a shareholder is a company or the structure has more than one layer.

NAME (INDIVIDUAL / ENTITY)	NRIC / PASSPORT / REG. NO.	NATIONALITY / COUNTRY	DIRECT %	INDIRECT %	CONTROL BASIS^	BENEFICIAL OWNER?
						☐ Yes ☐ No
						☐ Yes ☐ No
						☐ Yes ☐ No
						☐ Yes ☐ No
						☐ Yes ☐ No
						☐ Yes ☐ No
						☐ Yes ☐ No

^Ultimate effective control or Senior Managing Official

NOTE Each beneficial owner and controlling person must also complete the FATCA and CRS controlling person forms where the Entity is a Passive NFE. The Manager may request further information on the ownership and control of the Entity.

6 CONTACT & DISTRIBUTION

Registered address *			
Postcode / Town / City *		**State / Country ***	
Business / mailing address (if different)			
Distribution	☐ Reinvest automatically ☐ Pay out to account		
Bank name, account name & number			
Foreign entity	☐ Non-resident of Malaysia	**Country of principal place of business**	

CONTACT NUMBER / E-MAIL	DETAILS
Contact person (name & designation) *	
Office *	
Mobile *	
E-mail *	

7 INVESTMENT DETAILS

FUND NAME	AMOUNT (RM)	FEE %	TYPE	ACCOUNT NO.
			☐ I ☐ A	
			☐ I ☐ A	
			☐ I ☐ A	

Type: I = Initial, A = Additional

Total investment (RM)	

8 PAYMENT DETAILS*

☐ Cheque / Bank Draft / Money Order / TC ☐ Telegraphic Transfer (T.T.)

Cheque / T.T. no.		**Issuing bank**	
Amount (RM)		**Remitter / account name**	

** Third-party payments are not accepted. Payment must be made from an account in the investor's own name.*

9 INVESTMENT PROFILE

Investment objective *	☐ Income ☐ Capital Growth ☐ Other: _____
Investment experience *	Security ____ yrs Fixed Income ____ yrs Derivatives ____ yrs Other ____ yrs

Source of wealth and funds. Tick each item that applies and state the value in RM.

10 SOURCE OF WEALTH*

SOURCE	TICK	VALUE (RM)
Business operations / trading revenue	☐	
Retained earnings / reserves	☐	
Paid-up capital / shareholders' funds	☐	
Investment income and dividends	☐	
Sale of assets, investments or business	☐	
Property investment income	☐	
Grants, contributions or statutory funding (where applicable)	☐	
Crypto assets	☐	
Others: please specify	☐	

11 SOURCE OF FUNDS**

SOURCE	TICK	VALUE (RM)
Operating cash flow / retained earnings	☐	
Share issuance / capital injection by shareholders	☐	
Proceeds from sale of assets or investments	☐	
Dividends and investment income	☐	
Contributions / subscriptions (where applicable)	☐	
Loans / financing	☐	
Crypto assets	☐	
Others: please specify	☐	

DEFINITIONS

* The source of an entity's total assets.
** The origin of a specific asset used in connection with business relations with the reporting institution.

ENTITY / SOPHISTICATED INVESTOR QUALIFICATION *(As Per The Securities Commission Malaysia Guidelines On Sophisticated Investor)*

The Entity confirms that it qualifies as an Accredited Investor or a High-Net Worth Entity. Tick the applicable category:

CATEGORY	CRITERION	TICK
Accredited Investor	Unit trust scheme, private retirement scheme, Bank Negara Malaysia, licensed or registered capital market intermediary, exchange operator or clearing house, regulated foreign entity, Labuan-licensed bank, insurer or takaful operator (please state)	☐
High-Net Worth Entity: Corporation	Total net assets of RM10 million or more (audited)	☐
High-Net Worth Entity: Partnership	Total net assets of RM10 million or more	☐
High-Net Worth Entity: Trust company / approved trustee / fund manager of related entities	Total assets of RM10 million or more	☐
High-Net Worth Entity: Statutory body / pension fund	Statutory body mandated for capital market investment, or pension fund approved by the Director General of Inland Revenue	☐
Others	Please specify	☐

STATUS DECLARATIONS: PEP, SANCTIONS / LEGAL STATUS AND BENEFICIAL OWNERSHIP

DECLARATION	TICK
PEP: None of the Entity's directors, authorised signatories, shareholders or beneficial owners is a Politically Exposed Person (PEP) or related to a PEP	☐
PEP: One or more of the Entity's directors, authorised signatories, shareholders or beneficial owners is a PEP / related to a PEP (please provide details)	☐
Sanctions / legal status: Neither the Entity nor any of its directors, shareholders or beneficial owners is subject to any sanctions or regulatory actions	☐
Sanctions / legal status: The Entity or any of them is subject to sanctions / investigations (details required)	☐
Beneficial ownership: The beneficial owner(s) of the Entity are fully disclosed in Section 5	☐
Beneficial ownership: The Entity is acting on behalf of, or as nominee for, other person(s) (please attach details)	☐

- ❑ **The Entity confirms the information is true, correct & complete and agrees to the applicable fund documents and terms.**
- ❑ **The Entity understands fees/charges, investment risks and AML/CFT requirements.**
- ❑ **The Entity confirms monies paid are from a legitimate source and will provide further information when required.**
- ❑ **The Entity undertakes to notify MIDF Amanah of any material changes, including changes to its directors, shareholders, beneficial owners, authorised signatories and constitutional documents.**
- ❑ **The Entity undertakes to notify MIDF AMANAH immediately if it no longer satisfies the applicable Accredited Investor / High-Net Worth Entity criteria.**

SIGNED FOR AND ON BEHALF OF THE ENTITY (AFFIX COMPANY STAMP / SEAL WHERE APPLICABLE)

AUTHORISED SIGNATORY 1

SIGNATURE _____

NAME _____

DESIGNATION _____

DATE _____

AUTHORISED SIGNATORY 2

SIGNATURE _____

NAME _____

DESIGNATION _____

DATE _____

CONSENT

Personal Data Protection Act 2010 (PDPA)

- ❑ The Applicant, for itself and on behalf of its directors, shareholders, beneficial owners, authorised signatories and other individuals whose personal data it provides (the "Relevant Individuals"), consents to MIDF Amanah Asset Management Berhad (MIDF Amanah) collecting, using, processing, storing and disclosing the personal data provided and information MIDF Amanah lawfully obtains from supporting documents, transactions, verification checks and other permitted sources, including identification, contact, tax-residency, financial, ownership, investment and transaction information. MIDF Amanah may process it to open and administer the Applicant's account; verify the identity and eligibility of the Applicant and the Relevant Individuals; conduct client due diligence and ongoing monitoring; meet anti-money laundering, counter-terrorism financing, sanctions, CRS / FATCA, tax, regulatory and legal obligations; prevent or investigate fraud; process transactions and communications; maintain records; and handle audits, enquiries, complaints or disputes.

- ❑ The Applicant understands relevant data may be disclosed to MIDF Amanah's group companies, appointed service providers and professional advisers, and to regulators, law-enforcement bodies or other competent authorities where permitted or required by law. MIDF Amanah may retain it only for as long as reasonably necessary for these purposes and applicable record-keeping requirements, subject to appropriate security safeguards. The Applicant confirms that the information supplied is accurate, that it has obtained the consent of each Relevant Individual to the collection, use and disclosure of their personal data as described in this form, and that it will promptly notify MIDF Amanah of any material change. The Applicant further authorises MIDF Amanah to disclose information and particulars relating to its investment, accounts, facilities and the conduct thereof, at any time and without notice or liability, to those parties and their agents for the purposes of providing integrated services, marketing, distribution and/or other programmes. For further details, please visit MIDF Amanah's data privacy policy at www.tortoiseworks.my.

Consent to searches and verification

- ❑ The Applicant consents to MIDF Amanah, directly or through appointed service providers, carrying out searches and verification to confirm the identity of the Applicant and the Relevant Individuals, the authenticity of documents and information supplied, and the Applicant's eligibility to establish or maintain the investment relationship. Checks may include domestic and international sanctions lists, politically exposed person (PEP) databases, adverse media, litigation, bankruptcy, fraud, regulatory and enforcement records, and other reliable independent or publicly available sources. Screening may be conducted at onboarding, periodically, when information or risk circumstances change, and on an ongoing basis.

- ❑ The Applicant authorises MIDF Amanah to record and retain the results, request clarification or additional documents, and take appropriate action where a potential match, inconsistency or heightened risk is identified, subject to applicable law and MIDF Amanah's policies.

AUTHORISED SIGNATORY 1		AUTHORISED SIGNATORY 2	
SIGNATURE	_____	SIGNATURE	_____
NAME	_____	NAME	_____
DESIGNATION	_____	DESIGNATION	_____
DATE	_____	DATE	_____

INVESTOR SUITABILITY ASSESSMENT (ENTITY)

This form will guide you in choosing the unlisted capital market products that suit the Entity's investment objectives, risk tolerance, financial profile and investment experience. The information provided will form the basis of our recommendation. It is important to provide accurate and complete information to ensure that suitable unlisted capital market products are recommended according to the Entity's investment needs and objectives.

INVESTOR CONFIRMATIONS

☐ The Entity confirms that it is an Accredited Investor / High-Net Worth Entity and chooses to opt out of completing this suitability assessment.

☐ The Entity agrees to provide all information requested in this form.

☐ The Entity acknowledges that it has declined to provide certain information, which may affect the outcome of the suitability assessment. The Entity further confirms that any investment decision it makes is based solely on its own judgment.

ASSESSMENT DETAILS

ITEM	DETAIL
Date of assessment	
Adviser's name	
Product name	
Category	
Name of entity	
Category of investor	Retail Investor Sophisticated Investor (Accredited / HNW Entity)

FINANCIAL PROFILE

ITEM	AMOUNT
Annual revenue / income (RM)	
Total assets / net assets (RM)	
Liabilities (RM)	

INVESTMENT OBJECTIVE

☐ Capital preservation ☐ Income generation ☐ Growth ☐ Speculation

RISK TOLERANCE

☐ Low (prefer minimal risk, stable returns)

☐ Medium (willing to accept fluctuations)

☐ High (comfortable with significant risk for higher returns)

INVESTMENT HORIZON

☐ Less than 3 years ☐ 3-5 years ☐ More than 5 years

INVESTOR SUITABILITY ASSESSMENT (ENTITY)

ENTITY DECLARATION (TICK ONE)

☐ **Yes, the Entity wishes to proceed to purchase the recommended product.**

☐ **No, the Entity does not wish to proceed with the recommended product.**

The Entity understands the investment risks involved and has decided to proceed to purchase another unlisted capital market product that is not recommended by the adviser.

THE ENTITY HEREBY ACKNOWLEDGES THAT

- ❑ The adviser representative has explained, and the Entity has understood, the features and risks of the product(s).
- ❑ The Entity acknowledges receipt of a copy of the PHS and relevant disclosure document which have been given to it.
- ❑ Should the Entity decline to provide certain information required for product suitability assessment, this may adversely affect its suitability assessment.
- ❑ All information disclosed is true, complete and accurate.

SIGNATURE OF AUTHORISED SIGNATORY (COMPANY STAMP)

Name: _____

Designation: _____

Date: _____

SIGNATURE OF ADVISER

Name: _____

NRIC / Passport No.: _____

Date: _____

ADVISOR SECTION: COMPULSORY TO BE FILLED BY THE DISTRIBUTOR

BASED ON YOUR ASSESSMENT, PLEASE EXPLAIN YOUR DECISION

☐ The investor's declaration is consistent with my assessment.

☐ Based on my assessment, the investor's declaration is consistent, with the following additional observation(s):

_____

_____

☐ A discrepancy exists between the investor's declaration and my assessment for the following reason(s):

_____

_____

WARNING **THE RECOMMENDATION IS MADE BASED ON INFORMATION OBTAINED FROM THE SUITABILITY ASSESSMENT. INVESTORS ARE ADVISED TO EXERCISE JUDGMENT IN MAKING AN INFORMED DECISION IN RELATION TO THE UNLISTED CAPITAL MARKET PRODUCTS.**

Foreign Account Tax Compliance Act ("FATCA") for Entity

Complete this section so MIDF Amanah can establish the FATCA status of the Entity.

PART I: ENTITY STATUS

#	QUESTION	YES / NO
1	Is the Entity organised, incorporated or established in the U.S. or under U.S. law?	☐ Yes ☐ No
2	Is the Entity a Financial Institution?	☐ Yes ☐ No
3	If not a Financial Institution, the Entity is a:	☐ Active NFFE ☐ Passive NFFE
4	Does any controlling person of the Entity qualify as a U.S. person? (If yes, each such person completes the FATCA controlling person form.)	☐ Yes ☐ No

PART II: TAXPAYER IDENTIFICATION NUMBER (TIN): ONLY IF ANY ANSWER IN PART I IS YES

TIN TYPE	NUMBER	OTHER	NUMBER
Entity: Employer Identification Number (EIN)	___ ___ - ___ ___ ___ ___ ___ ___ ___	**GIIN (Financial Institution, if applicable)**	

PART III: DISCLOSURE (IF APPLICABLE): THE ENTITY HEREBY CERTIFIES THAT

1. The number shown on this form is the Entity's correct taxpayer identification number.
2. The Entity is a U.S. person, or one or more of its controlling persons is a U.S. person.
3. Subject to applicable local laws, the Entity consents to MIDF Amanah Asset Management Berhad (MIDF Amanah) sharing its information with domestic or overseas regulators or tax authorities where necessary to establish its tax liability in any jurisdiction.
4. Where required by domestic or overseas regulators or tax authorities, the Entity consents and agrees that MIDF Amanah may withhold from its account(s) such amounts as may be required under applicable laws, regulations and directives.
5. The Entity undertakes to notify MIDF Amanah within 30 calendar days if there is a change in any information it has provided.

DEFINITION OF A U.S. PERSON

For federal tax purposes, the Entity and each of its controlling persons should check whether they are U.S. persons. A person is a U.S. person if they are:

1. An individual who is a U.S. citizen or U.S. Green Card holder.
2. A person with a U.S. resident address or U.S. mailing address.
3. A power of attorney or signatory authority granted to a person with a U.S. address.
4. A person with a substantial presence in the U.S. (over 31 days in the current calendar year or 183 days out of the 3-year period prior to the current tax year).
5. A partnership, corporation, company or association created or organized in the United States or under U.S. law.
6. A person with a standing instruction to transfer funds to an account maintained in the U.S., or who regularly receives directions from a U.S. address.

FATCA CERTIFICATION

- ❑ By signing this form, the signatory declares, for and on behalf of the Entity, that the information provided has been reviewed and, to the best of the signatory's knowledge and belief, is true, correct and complete.
- ❑ The Entity acknowledges that MIDF Amanah may be required or may elect to comply with applicable laws, regulations, guidelines, standards, requests and arrangements of governmental, judicial, tax, regulatory or self-regulatory authorities in any jurisdiction, including FATCA and CRS. For these purposes, MIDF Amanah may disclose information to the tax authority where the account is maintained, and the information may be exchanged with tax authorities in any jurisdiction where the Entity or its controlling persons may be tax resident under applicable intergovernmental arrangements.
- ❑ The signatory confirms that the signatory is authorised to sign for the Entity, that the Entity is the beneficial owner of the income covered by this form, and that the Entity is the owner of the account held with MIDF Amanah where this form documents an account. The Entity irrevocably and unconditionally agrees that MIDF Amanah may provide relevant authorities, regulators or other appropriate persons with data and personal data supplied by the Entity, obtained from public sources or arising from services provided to the Entity for FATCA and CRS reporting.
- ❑ The Entity understands that this may involve transferring data and personal data outside Malaysia and may include information concerning the services it has requested and its investments with MIDF Amanah.
- ❑ The Entity will notify MIDF Amanah within 30 days of any change that makes this information incorrect or incomplete and will submit an updated Self-Certification Form within the same period.

SIGNATURE OF AUTHORISED SIGNATORY (COMPANY STAMP)

DATE (DD-MM-YYYY)

FATCA for Controlling Person(s) of a Passive NFFE

One form per controlling person. Name: _____ Entity: _____

PART I: FOREIGN STATUS

#	QUESTION	YES / NO
1	Are you a U.S. resident?	☐ Yes ☐ No
2	Are you a U.S. citizen?	☐ Yes ☐ No
3	Do you hold a U.S. Permanent Resident Card (Green Card)?	☐ Yes ☐ No

PART II: TAXPAYER IDENTIFICATION NUMBER (TIN): ONLY IF ANY ANSWER IN PART I IS YES

TIN TYPE	NUMBER
Individuals: Social Security Number (SSN)	___ ___ ___ - ___ ___ - ___ ___ ___ ___
Other entities: Employer Identification Number (EIN)	___ ___ - ___ ___ ___ ___ ___ ___ ___

PART III: DISCLOSURE (IF APPLICABLE): I HEREBY CERTIFY THAT

1. The number shown on this form is my correct taxpayer identification number.
2. I am a U.S. citizen or other U.S. person.
3. Subject to applicable local laws, I consent to MIDF Amanah Asset Management Berhad (MIDF Amanah) sharing my information with domestic or overseas regulators or tax authorities where necessary to establish my tax liability in any jurisdiction.
4. Where required by domestic or overseas regulators or tax authorities, I consent and agree that MIDF Amanah may withhold from my account(s) such amounts as may be required under applicable laws, regulations and directives.
5. I undertake to notify MIDF Amanah within 30 calendar days if there is a change in any information I have provided.

DEFINITION OF A U.S. PERSON

For federal tax purposes, you are considered a U.S. person if you are:

1. An individual who is a U.S. citizen or U.S. Green Card holder.
2. A person with a U.S. resident address or U.S. mailing address.
3. A power of attorney or signatory authority granted to a person with a U.S. address.
4. A person with a substantial presence in the U.S. (over 31 days in the current calendar year or 183 days out of the 3-year period prior to the current tax year).
5. A partnership, corporation, company or association created or organised in the United States or under U.S. law.
6. A person with a standing instruction to transfer funds to an account maintained in the U.S., or who regularly receives directions from a U.S. address.

FATCA CERTIFICATION

- ❑ By signing this form, I declare that I have reviewed the information provided and, to the best of my knowledge and belief, it is true, correct and complete.
- ❑ I acknowledge that MIDF Amanah may be required or may elect to comply with applicable laws, regulations, guidelines, standards, requests and arrangements of governmental, judicial, tax, regulatory or self-regulatory authorities in any jurisdiction, including FATCA and CRS. For these purposes, MIDF Amanah may disclose information to the tax authority where the account is maintained, and the information may be exchanged with tax authorities in any jurisdiction where I may be tax resident under applicable intergovernmental arrangements.
- ❑ I confirm that I am a controlling person of the Entity named above and that I am authorised to give this certification in that capacity. I irrevocably and unconditionally agree that MIDF Amanah may provide relevant authorities, regulators or other appropriate persons with personal data and information supplied by me, obtained from public sources or arising from services provided to the Entity for FATCA and CRS reporting.
- ❑ I understand that this may involve transferring personal data outside Malaysia and may include information concerning the services I have requested and my investments with MIDF Amanah.
- ❑ I will notify MIDF Amanah within 30 days of any change that makes this information incorrect or incomplete and will submit an updated Self-Certification Form within the same period.

SIGNATURE OF CONTROLLING PERSON

DATE (DD-MM-YYYY)

Common Reporting Standard ("CRS") for Entity

DECLARE YOUR TAX STATUS (CRS-E)

(a) This self-certification lets MIDF Amanah comply with tax regulations on the automatic exchange of financial account information (AEOI). If the Entity's tax residence is outside Malaysia, MIDF Amanah may be legally obliged to pass this information to the Inland Revenue Board of Malaysia (LHDN), which may exchange it with other tax authorities.

(b) MIDF Amanah cannot and do not give tax advice. Please consult your tax adviser; the OECD website lists jurisdictions that exchange information.

(c) This form is for CRS only. It is not a substitute for the FATCA forms.

(d) The form stays valid unless circumstances change; the Entity must then notify us and provide an updated self-certification.

Use this form for an entity. Individuals use the individual form; each controlling person of a Passive NFE also completes the CRS controlling person form.

PART 1: IDENTIFICATION OF ENTITY ACCOUNT HOLDER

ITEM	DETAIL
Name of entity	
Country of incorporation / organisation	
Current registered address (street, town, country, postal code)	
Mailing address (only if different from above)	

PART 2: COUNTRY / JURISDICTION OF RESIDENCE FOR TAX PURPOSES

☐ The Entity is a Malaysian tax resident. ☐ The Entity is a non-Malaysian tax resident.

☐ The Entity is a tax resident outside Malaysia (complete the table; attach a separate sheet for more than 2 jurisdictions).

COUNTRY / JURISDICTION	TIN	IF NO TIN, TICK ONE REASON
1.		☐ Country does not issue TIN ☐ Country does not require TIN ☐ Others (explain)
2.		☐ Country does not issue TIN ☐ Country does not require TIN ☐ Others (explain)

PART 3: ENTITY STATUS (TICK ONE)

Financial Institution: Investment Entity in a non-participating jurisdiction, managed by another Financial Institution	☐
Financial Institution: other (depository, custodial, investment entity or specified insurance company)	☐
Active NFE: stock regularly traded on an established securities market, or a related entity	☐
Active NFE: government entity, international organisation or central bank	☐
Active NFE: other (e.g. an operating business)	☐
Passive NFE: each controlling person must complete the CRS controlling person form	☐

B. CRS DECLARATION (ENTITY TAX RESIDENCY SELF-CERTIFICATION)

- ❑ The Entity understands that the information it supplies is covered by the full terms and conditions governing the Account Holder's relationship with MIDF Amanah, which set out how MIDF Amanah may use and share it.
- ❑ The Entity acknowledges that this information and information on the Account Holder and any Reportable Account(s) may be provided to the tax authorities of the country / jurisdiction where the account(s) are maintained, and exchanged with tax authorities of other jurisdictions where the Account Holder may be tax resident, under intergovernmental agreements.
- ❑ The signatory certifies that the signatory is authorised to sign for the Account Holder in respect of all the account(s) to which this form relates.
- ❑ **The signatory declares that all statements made in this declaration are, to the best of the signatory's knowledge and belief, correct and complete.**
- ❑ The Entity undertakes to advise MIDF Amanah within 30 days of any change in circumstances affecting the tax residency status of the Account Holder identified in Part 1, or making the information incorrect or incomplete, and to provide a suitably updated self-certification and declaration within 30 days of the change.

SIGNATURE OF AUTHORISED SIGNATORY (COMPANY STAMP)

DATE (DD-MM-YYYY)

Common Reporting Standard ("CRS") for Controlling Person(s)

DECLARE YOUR TAX STATUS (CRS-CP)

(a) This self-certification lets MIDF Amanah comply with tax regulations on the automatic exchange of financial account information (AEOI). If your tax residence is outside Malaysia, MIDF Amanah may be legally obliged to pass this information to the Inland Revenue Board of Malaysia (LHDN), which may exchange it with other tax authorities.

(b) MIDF Amanah cannot and do not give tax advice. Please consult your tax adviser; the OECD website lists jurisdictions that exchange information.

(c) This form is for CRS only. It is not a substitute for the FATCA forms.

(d) The form stays valid unless circumstances change; you must then notify us and provide an updated self-certification.

Use this form for each controlling person of a Passive NFE. Each controlling person completes a separate form. If completing on behalf of someone else, state your capacity in the sign-off.

PART 1: IDENTIFICATION OF CONTROLLING PERSON

ITEM	DETAIL
Name of controlling person	
Current residence address (house no., street, town, country, postal code)	
Name of Entity and role of controlling person	
Date of birth (dd/mm/yyyy)	
Place of birth (town, city and country)	

PART 2: COUNTRY / JURISDICTION OF RESIDENCE FOR TAX PURPOSES

☐ I a Malaysian tax resident. ☐ I am a non-Malaysian tax resident.

☐ I am a tax resident outside Malaysia (complete the table; attach a separate sheet for more than 2 jurisdictions).

COUNTRY / JURISDICTION	TIN	IF NO TIN, TICK ONE REASON
1.		☐ Country does not issue TIN ☐ Country does not require TIN ☐ Others (explain)
2.		☐ Country does not issue TIN ☐ Country does not require TIN ☐ Others (explain)

B. CRS DECLARATION (INDIVIDUAL TAX RESIDENCY SELF-CERTIFICATION)

- ❑ I understand that the information I supply is covered by the full terms and conditions governing the Accountholder's relationship with MIDF Amanah, which set out how MIDF Amanah may use and share it.
- ❑ I acknowledge that this information and information on the accountholder and any Reportable Account(s) may be provided to the tax authorities of the country / jurisdiction where the account(s) are maintained, and exchanged with tax authorities of other jurisdictions where the accountholder may be tax resident, under intergovernmental agreements.
- ❑ I certify that I am a controlling person of the Entity that holds the account(s) to which this form relates.
- ❑ **I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.**
- ❑ I undertake to advise MIDF Amanah within 30 days of any change in circumstances affecting the tax residency status of the accountholder identified in Part 1, or making the information incorrect or incomplete, and to provide a suitably updated self-certification and declaration within 30 days of the change.

SIGNATURE OF CONTROLLING PERSON

DATE (DD-MM-YYYY)

RISK DISCLOSURE

Please read before signing the application.

UNIT TRUST LOAN FINANCING RISK DISCLOSURE

Investing in a Unit Trust Fund with Borrowed Money is More Risky than investing with Your Own Savings

You should assess if loan financing is suitable for you in light of your objectives, attitude to risk and financial circumstances. You should be aware of the risks, which would include the following:

- ❑ The higher the margin of financing (that is, the amount of money you borrow for every Ringgit of your own money that you put in as deposit or down payment), the greater the potential for losses as well as gains.
- ❑ You should assess whether you have the ability to service the repayments on the proposed loan. If your loan is a variable rate loan, and if interest rates rise, your total repayment amount will be increased.
- ❑ If unit prices fall beyond a certain level, you may be asked to provide additional acceptable collateral or pay additional amounts on top of your normal installments. If you fail to comply within the time prescribed, your units may be sold to settle your loan.
- ❑ Returns on unit trusts are not guaranteed and may not be earned evenly over time. This means that there may be some years where returns are high and other years where losses are experienced. Whether you eventually realise a gain or loss may be affected by the timing of the sale of your units. The value of units may fall just when you want your money back even though the investment may have done well in the past.
- ❑ The brief statement cannot disclose all the risks and other aspects of loan financing. You should therefore carefully study the terms and conditions before you decide to take a loan. If you are in doubt in respect of any aspect of this Risk Disclosure Statement or the terms of the loan financing, you should consult the institution offering the loan.

ACKNOWLEDGEMENT

The Applicant acknowledges receipt and understanding of the Unit Trust Loan Financing Risk Disclosure Statement, where applicable.

AUTHORISED SIGNATORY 1		AUTHORISED SIGNATORY 2	
SIGNATURE	_____	SIGNATURE	_____
FULL NAME	_____	FULL NAME	_____
DESIGNATION	_____	DESIGNATION	_____
DATE	_____	DATE	_____

REQUIRED DOCUMENT CHECKLIST

Please submit the following documents together with the completed application.

For a new initial investment, the following documents must be forwarded together with an Account Opening & Investment Form duly completed by the Entity.

A. ENTITY CONSTITUTIONAL DOCUMENTS

ENTITY TYPE	DOCUMENTS
☐ **Company**	Certificate of incorporation (and certificate of change of name, if any); Constitution (or Memorandum and Articles of Association); latest SSM company profile; particulars of directors, shareholders and company secretary
☐ **Partnership / LLP**	Certificate of registration; partnership (or LLP) agreement; particulars of partners and managers
☐ **Trust / Foundation**	Trust deed or founding document (and any amendments); particulars of trustees, settlor(s), protector(s) and beneficiaries
☐ **Statutory body / Pension fund**	Enabling Act or establishing instrument; approval or authorisation to invest (e.g. approval of the Director General of Inland Revenue for a pension fund)
☐ **Foreign entity**	Certified true copies of the equivalent documents above, with a certified English translation if not in English; certificate of incumbency / good standing (if available)

B. AUTHORISED SIGNATORIES, DIRECTORS AND BENEFICIAL OWNERS

DOCUMENT	PROVIDED
Board resolution authorising the investment and appointing the authorised signatories	☐
Specimen signatures of the authorised signatories	☐
NRIC (photocopy both sides) / passport (first three pages) of directors, authorised signatories, shareholders and beneficial owners	☐
Ownership structure chart (where a shareholder is a company or the structure has more than one layer)	☐

C. SOURCE OF WEALTH AND SOURCE OF FUNDS

DOCUMENT	PROVIDED
Latest audited financial statements	☐
Bank statements	☐
Dividend / investment statements	☐
Records of share capital or shareholder funding	☐
Any other documents as proof of source of wealth and source of funds (please specify): _____	☐

Notwithstanding the above, the Applicant(s) is/are required to provide/complete additional information/documents, which are deemed necessary in accordance with the relevant regulatory requirements and guidelines from time to time.

TERMS & CONDITIONS (1 / 2)

Please read before signing the application.

Please read these notes before completing the Account Opening & Investment Form as you are bound by the terms stated below. You are advised to read and understand the contents of the Master Prospectus, Prospectus, Information Memorandum, Supplementary Prospectus (if any), Deed and Supplementary Deed (if any), (which shall be made available upon request) before investing in the Fund. Please check that the advisor servicing you has a valid authorisation and registration card. Pursuant to S.232(2) of the CMSA, this application form should not be circulated unless accompanied by the Prospectus. For investment in wholesale funds, you are advised to read and understand the contents of the Information Memorandum, Deed and Supplementary Deed (if any) of the respective funds.

CLAUSE	TERMS
1. Eligibility	The Applicant must be a legal entity or arrangement duly incorporated, registered or established, with the capacity and authority to invest, and must act through authorised signatories who are 18 years of age and above as at the date of application.
2. Authorised Signatories	(a) The Applicant must appoint its authorised signatories by board resolution (or equivalent authority) and provide their specimen signatures. Correspondence and payments relating to the units will be sent to the Applicant. MIDF Amanah will only act on operating instructions given by the authorised signatory(ies) in accordance with the signing mandate stated in this form, until MIDF Amanah receives and acknowledges written notice of any change, supported by a fresh board resolution (or equivalent). (b) The Applicant must promptly notify MIDF Amanah in writing of any change to its directors, shareholders, beneficial owners, authorised signatories, constitutional documents or registered address, and provide updated supporting documents. In the event of the winding up, dissolution or insolvency of the Applicant, MIDF Amanah will act on the instructions of the duly appointed liquidator, receiver or other legal representative upon receipt of satisfactory documentary evidence.
3. Authority to Operate Account	The operating instruction empowers the authorised signatory(ies) to operate the account which includes effecting redemption, switching, transfer, changing of distribution instruction, change of address and any other request. Please refer to clause 2 above.
4. Correspondence Statement and Payment	Confirmation advices, statements, cheques and other documents shall be sent at the risk of Unitholder to the Unitholder's correspondence address as in our register. If the Unitholder fails to notify MIDF Amanah in writing of any errors in the confirmation advice within 14 business days, or in the statement within 14 business days of issue, the Unitholder shall be deemed to have waived any right to raise an objection or to pursue any remedies against MIDF Amanah or the Trustee.
5. Distribution Instruction	For distribution pay out, the payment will be made payable to the Unitholder only. Unless specified in the Account Opening & Investment Form, distribution will be automatically reinvested on behalf of the Unitholder at the NAV price. In the event that any distribution cheque has not been presented for payment after a period of 6 months, the Manager reserves the right to reinvest the distribution as additional units on behalf of the unitholder. Any change in distribution instruction must be submitted via a duly completed “Change / Amendment of Unitholder's Particulars” form or a written notice, 14 business days prior to the financial year end of the Fund. Otherwise, the change will be effective from the next distribution.
6. Notice of Cooling-Off Period	A cooling-off right refers to the right of a Unitholder to obtain a refund of his investment in the Funds if he so requests within the cooling-off period. A cooling-off right is only given to a Unitholder other than those listed below, who is investing in any of the Manager's funds for the first time: (i) a corporation or institution; (ii) a staff of the Manager; and (iii) persons registered to deal in unit trusts of the Manager. The cooling-off period shall be for a total of six (6) Business Days commencing from the date the application for Units is received by the Manager. Accordingly, no cooling-off right applies to an Applicant that is a corporation or institution. The refund of every Unit held by the Unitholder pursuant to the exercise of his cooling-off right shall be the sum of: (a) the NAV per Unit on the day the Units were first purchased; and (b) the sales charge per Unit originally imposed on the day the Units were purchased. Cooling-off proceeds (where applicable) will only be paid to the Unitholder after the Manager receives cleared funds for the original investment.

AUTHORISED SIGNATORY 1 (INITIAL)	AUTHORISED SIGNATORY 2 (INITIAL)

TERMS & CONDITIONS (2 / 2)

Please read before signing the application.

CLAUSE	TERMS
7. Switching	Switching amount will be calculated based on the closing NAV price of the business day, on which the switching forms are received and accepted by the Manager. Please refer to Master Prospectus, Prospectus, and Supplementary Prospectus (if any) for fees and charges. Switching is not applicable for wholesale funds.
8. Redemption	The Manager shall repurchase units from a Unitholder at the closing NAV price of the business day, on which the valid redemption request is received by the Manager. Refer to Master Prospectus, Prospectus and Supplementary Prospectus (if any) for partial redemption and redemption charges (if any). For security reasons, redemption payment to third party or request for open cheque is STRICTLY not allowed. For redemption of wholesale funds, please refer to the Information Memorandum of the respective funds.
9. Transfer	Transfer is the change of ownership within the Fund. If transfer is made to a new account, the transfer amount must meet the minimum requirement of the initial investment. Transfer is not applicable for wholesale funds.
10. Required Documentation	The documents listed in the Required Document Checklist must be forwarded together with the Account Opening & Investment Form duly completed by the Applicant. The Unitholder may be required to provide any additional information/documents deemed necessary in accordance with the relevant regulatory requirements and guidelines from time to time.
11. Payment for Investment	Investment application should be accompanied by Cheque / Bank Draft / Money Order to be made payable to MIDF Amanah Asset Management Berhad. Payment can also be directly credited into MIDF Amanah's bank account and then, the validated bank-in slip together with the duly completed Account Opening & Investment Form and other required documents should be forwarded to MIDF Amanah. Please contact our Customer Service for more details. Unitholders are advised not to make payment in Cash when purchasing Units of a Fund via any institutional / retail advisor.
12. Money Laundering Statements	The Unitholder hereby warrants that: (a) the Unitholder is the underlying principal of the Account (or, where it acts on behalf of any other person, has disclosed that person to MIDF Amanah); (b) no person other than the Unitholder has or will have any interest in the Account, except as disclosed in the Account Opening & Investment Form (including its beneficial owners); and (c) all monies as may be paid to MIDF Amanah from time to time shall come from a legitimate (and not illegal) source. (d) the Unitholder agrees to provide all such information and documents as may be necessary to verify the Unitholder's identity and do all such acts and things as may be necessary to enable MIDF Amanah to comply with all applicable anti-money laundering and counter financing of terrorism (AML/CFT), and know-your customer laws, rules and regulations (whether in Malaysia or elsewhere). The Unitholder agrees that MIDF Amanah shall not be liable or responsible in anyway whatsoever and shall be held harmless against any loss arising as a result or in connection with any delay or failure to process any application or transaction if such information or document requested by MIDF Amanah have not been promptly provided by the Unitholder to MIDF Amanah. (e) MIDF Amanah reserves the right to terminate the relationship if any documents requested pursuant to the AML/CFT requirements are not received within 14 business days. In the event of termination, units will be redeemed at the closing NAV price at the 15 business days.
13. Implementation of Sales & Service Tax Act	All fees and charges payable to the Manager and the Trustee are subject to sales and services tax as may be imposed by the government or other authorities from time to time.
14. General	The Unitholder(s) shall indemnify and shall keep MIDF Amanah indemnified against all losses, damages, fees, cost, charges and expenses which MIDF Amanah may sustain or incur and which have arisen directly or indirectly out of or in connection with carrying out this request.
15. Rights of the Manager	The Manager reserves the right to accept or reject any application in whole or in part without assigning reasons in respect thereof.
16. Identification and Support of Vulnerable Investors	The Applicant acknowledges that, in accordance with the Guidelines on Conduct for Capital Market Intermediaries issued by the Securities Commission Malaysia, the Investment Manager maintains a framework to identify and support vulnerable investors. The Applicant agrees to promptly inform the Investment Manager of any circumstances affecting the ability of its authorised signatories or representatives to understand information, make informed investment decisions or communicate effectively on its behalf. Where the Investment Manager becomes aware of such circumstances, it may, where appropriate and with due regard to the Applicant's preferences and interests, provide reasonable support or accommodations, including adapting communication methods, permitting the involvement of a trusted third party or allowing additional time for decisions. Any such measures are intended to support fair treatment and safeguard the Applicant's financial well-being without unnecessarily limiting access to the Investment Manager's services.

AUTHORISED SIGNATORY 1 (INITIAL)	AUTHORISED SIGNATORY 2 (INITIAL)

REFERENCE: The SC's Categories of Sophisticated Investors

Summary of the Securities Commission Malaysia Guidelines (SC-GL/1-2024, effective 5 February 2024).

1. ACCREDITED INVESTOR

Qualifies automatically: unit trust schemes, private retirement schemes, Bank Negara Malaysia, licensed or registered capital market intermediaries, exchange operators and clearing houses, regulated foreign entities with equivalent oversight, Labuan-licensed banks, insurers and takaful operators, and the CEOs and directors of these entities.

2. HIGH-NET WORTH ENTITY: RM10 MILLION OR EQUIVALENT

- Corporations with total net assets of RM10 million or more (audited)
- Partnerships with total net assets of RM10 million or more
- Trust companies and approved trustees, or corporations managing funds for related entities, with RM10 million or more in assets
- Statutory bodies mandated for capital market investment, and pension funds approved by the Director General of Inland Revenue

3. HIGH-NET WORTH INDIVIDUAL (HNWI): ANY ONE OF THE FOLLOWING

CRITERION	REQUIREMENT
Personal net assets	RM3 million or more. A primary residence counts for at most RM1 million.
Joint net assets (spouse / child)	RM3 million or more. A primary residence counts for at most RM1 million.
Gross annual income	RM300,000 or more in the preceding 12 months.
Joint gross annual income (spouse / child)	RM400,000 or more in the preceding 12 months.
Investment portfolio	RM1 million or more in capital market products, personal or joint with spouse / child. Funds must be personal (e.g. EPF Account 1, savings), not borrowed.
Qualification and experience	Bachelor's or Master's in Finance, Economics, Actuarial Science or Accounting, or an MBA, plus 5 consecutive years' relevant working experience.
Professional membership	Active CFA Institute member; Chartered Banker (AICB); ordinary member of FMAM, MATA or MFPC; Chartered Accountant C.A.(M) (MIA); Accredited Angel Investor (MBAN); certified member of FPAM.
Industry experience	5 consecutive years in a capital market intermediary role, such as product development, corporate finance, investment management, sales / trading, research, analysis or training.

KEY POINT **A sophisticated investor must self-declare that they satisfy the relevant criteria at onboarding.**

Source: Securities Commission Malaysia, Guidelines on Categories of Sophisticated Investors (SC-GL/1-2024). This is a summary; refer to the Guidelines for the full text.

REFERENCE: KEY TERMS FOR CRS & FATCA

Plain descriptions of the terms used in the FATCA and CRS forms, for reference.

TERM	MEANING
Common Reporting Standard (CRS)	A global OECD standard for the Automatic Exchange of Financial Account Information. Financial institutions identify account holders' tax residency and report reportable accounts to their local tax authority, which exchanges the information with other participating jurisdictions.
FATCA	The U.S. Foreign Account Tax Compliance Act, enacted in 2010 as part of the HIRE Act, to combat offshore tax evasion. Foreign financial institutions, including banks and fund managers, must report accounts held directly or indirectly by U.S. persons. In Malaysia, reports generally go to the Inland Revenue Board (IRBM), which exchanges them with the U.S. Internal Revenue Service (IRS).
Account Holder	The person listed or identified as the holder of a Financial Account. A person holding an account for another as agent, custodian, nominee, signatory, adviser, intermediary or legal guardian is not the Account Holder; the other person is. Each joint holder is an Account Holder.
Controlling Person(s)	The natural persons who exercise control over an entity. For a passive NFE, the institution must decide whether they are Reportable Persons. For a trust: the settlor(s), trustee(s), protector(s), beneficiary(ies) or class(es) of beneficiaries, and any other person exercising ultimate effective control.
Entity	A legal person or legal arrangement, such as a corporation, organisation, partnership, trust or foundation: any person other than an individual.
Financial Account	An account maintained by a Financial Institution: depository accounts, custodial accounts, equity and debt interests in certain investment entities, cash value insurance contracts and annuity contracts.
NFE	Any entity that is not a Financial Institution.
Participating Jurisdiction	A jurisdiction with an agreement to provide the information required under the CRS, identified in a published list.
Reportable Account	An account held by one or more Reportable Persons, or by a Passive NFE with one or more Controlling Persons who are Reportable Persons.
Reportable Jurisdiction	A jurisdiction with which an obligation to provide financial account information is in place, identified in a published list.
Reportable Person	An individual who is tax resident in a Reportable Jurisdiction under that jurisdiction's tax laws. Dual residents may use tie-breaker rules in tax conventions (if applicable) to decide residence.
TIN	Taxpayer Identification Number, or a functional equivalent where no TIN exists.

Above is a summary of selected defined terms from the OECD Common Reporting Standard appendix. For further detail, consult the OECD CRS commentary or your tax adviser.

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