

Account opening form – Supplementary form for non-individuals (FATCA)

This form must be completed by any non-individual who wishes to open an account with Apex Investment Services Berhad.

SECTION A: Business Information

Entity name:

Entity registration number:

Country of incorporation:

SECTION B: Indicate the entity's category

FOR OFFICE USE ONLY

FOR OFFICE USE ONLY

Select one of the following:

FATCA status code

Non-United States government entities

03

Non-United States central bank

03

Public listed entity (non-Financial Institution) that is regularly traded on Bursa Malaysia or another stock exchange outside the United States, including its subsidiaries

04

The entity's revenue is mainly (at least 50%) derived from its core business activity (other than investment activities)

05

Declaration:

An entity, out of United States, engaged in an active business other than that of a financial institution

Financial institutions⁽¹⁾ outside United States

Please provide GIIN: _____

If selected,
• Please fill up Form W-8BEN-E

06 - 19

The entity is incorporated/organised in United States

Please select one of the categories:

Specified US person⁽²⁾ (Refer to Form W9)

Non specified US person (Refer to Form W9)

If selected,
• Please fill up Form W-9

01

02

37 (W9 NOT completed)

The entity's revenue is mainly (at least 50%) derived from investment activities

Declaration:

An entity, out of United States, engaged in business other than that of a financial Institution

Please select one of the followings:

Does the entity have substantial United States owners ⁽³⁾?

Yes

No

If "Yes" is selected:
• The entity is classified as **Reportable Passive NFFE** and
• Please fill up Form W-8BEN-E

20

36 (W-8BEN-E NOT completed)

If "No" is selected:
• The entity is classified as **Non-reportable Passive NFFE**

21

None of the above

Please fill up Form W-8BEN-E

22 - 34

35 (W-8BEN-E NOT completed)

SECTION C: DECLARATION

We represent and declare that the information provided above is true, accurate and complete. We understand that the terms "Financial institution (1)", "U.S. person (2)" and "Substantial United States owner (3)" shall have the same meaning as the definitions below.

We hereby consent for Apex Investment Services Berhad, or any of its affiliates, including branches (collectively "the Management") to disclose/ report our information to any person, including the regulatory authorities in accordance with the requirements of Foreign Account Tax Compliance Act 2010 ("FATCA") as may be stipulated by applicable laws, regulations, agreement or regulatory guidelines or directives.

We hereby consent that the Management may withhold from our account(s) such amounts in accordance with the requirements of FATCA as may be stipulated by applicable laws, regulations, agreement or regulatory guidelines or directives.

We hereby consent that the Management may classify us as a recalcitrant account holder or non-participating foreign financial institution ("NPFPI") and/or suspend, recall or terminate our account(s) and/or facilities granted to us, in the event we fail to provide accurate and complete information and/or documentation as the Management may require.

We undertake to notify the Management in writing within 30 calendar days if there is a change in any information which we have provided to the Management.

SECTION D: Applicant's Signature

Name

Signature

Date

Account opening form – Supplementary form for non-individuals (FATCA)

Definitions

- (1) Financial institutions means any entity that:
- (i) Accepts deposits in the ordinary course of a banking or similar (depository institution), or
 - (ii) Holds, as a substantial portion of its business, financial assets for the benefit of one or more other persons (custodial institution); or
 - (iii) Is an investment entity; or
 - (iv) Is an insurance company that is obligated to make payments with respect to, a cash value insurance or annuity contract (specified insurance company); or
 - (v) Is an entity that is a holding company or treasury centre (that is part of the group of (i) – (v) as above or formed as a collective investment vehicle, mutual fund, exchange traded fund, private equity fund, hedge fund, venture capital fund, leveraged buyout fund, or any similar investment vehicle established with an investment strategy of investing, reinvesting, or trading in financial assets
- (2) The term U.S. person or United States person means a person described in section 7701(a)(30) of the Internal Revenue Code:
- (A) a citizen or resident of the United States,
 - (B) a United States partnership,
 - (C) a United States corporation,
 - (D) any estate (other than an estate the income of which, from sources without the United States which is not effectively connected with the conduct of a trade or business within the United States, is not includible in gross income under the Internal Revenue Code), and
 - (E) any trust if—
 - (a) A court within the United States is able to exercise primary supervision over the administration of the trust, and
 - (b) One or more United States persons have the authority to control all substantial decisions of the trust.
- (3) Substantial United States owners mean:
- (i) With respect to any foreign corporation, any specified U.S. person that owns, directly or indirectly, more than 10 percent of the stock of such corporation (by vote or value)
 - (ii) With respect to any foreign partnership, any specified U.S. person that owns, directly or indirectly, more than 10 percent of the profits interests or capital interests in such partnership; and
 - (iii) In the case of a trust:
 - (a) Any specified U.S. person treated as an owner of any portion of the trust under sections 671 through 679; and
 - (b) Any specified U.S. person that holds, directly or indirectly, more than 10 percent of the beneficial interests of the trust.

Account opening form – Supplementary form for non-individuals (FATCA)

FOR OFFICE USE ONLY

| FATCA Status code | Entity's categories | Guidance | FATCA Status code | Entity's categories | Guidance | |
|-------------------|---|---|---|---|---|---|
| 01 | Specified U.S. person | Obtain Form W-9 | 20 | Reportable Passive NFFE | Obtain Form W-8BEN-E | |
| 02 | Non specified U.S. person | Obtain Form W-9 | 21 | Non-reportable Passive NFFE | - | |
| 03 | Non-United States government entities and Non-United States central bank | - | 22 | International organization | Please refer to Form W-8BEN-E for the entity categories. | |
| 04 | Public listed entity that is regularly traded on Bursa Malaysia or another stock exchange outside the United States, including its subsidiaries | | 23 | Exempt retirement plans | | |
| 05 | Active NFFE | | 24 | Entity wholly owned by exempt beneficial owners | | |
| 06 | Nonparticipating FFI (including a limited FFI or limited branch) | Please refer to Form W-8BEN-E for the entity categories. | 25 | Territory financial institution | | |
| 07 | Participating FFI | | 26 | Nonfinancial group entity | | |
| 08 | Reporting Model 1 FFI | | 27 | Excepted nonfinancial startup company | | |
| 09 | Reporting Model 2 FFI | | 28 | Excepted nonfinancial entity in liquidation or bankruptcy | | |
| 10 | Registered deemed-compliant FFI | | 29 | 501(c) organization | | |
| 11 | Sponsored FFI that has not obtained a GIIN | | 30 | Nonprofit organization | | |
| 12 | Certified deemed-compliant non registering local bank. | | 31 | Excepted territory NFFE | | |
| 13 | Certified deemed-compliant FFI with only low-value accounts. | | 32 | Excepted inter-affiliate FFI | | |
| 14 | Certified deemed-compliant sponsored, closely held investment vehicle. | | 33 | Direct reporting NFFE | | |
| 15 | Certified deemed-compliant limited life debt investment company | | 34 | Sponsored direct reporting NFFE | | |
| 16 | Certified deemed-compliant investment advisors and investment managers | | 35 | Non-participating FFI | | If None of the above is selected but does not complete Form W-8BEN-E |
| 17 | Owner-documented FFI | | 36 | Recalcitrant customer that are passive NFFEs | | If the entity is identified as Reportable Passive NFFE but does not complete Form W-8BEN-E |
| 18 | Restricted distributor | | 37 | Recalcitrant customer that is U.S. person | | If the entity is incorporated in US but does not complete Form W9 |
| 19 | Non reporting IGA FFI | 38 | Recalcitrant customer that is dormant account | - | | |

Confirmation and acknowledgement by sales representative / branch

Based on the abovementioned declaration in Section B, the customer(s)' FATCA classification is:

(Please state FATCA status code above)

I confirm that the necessary documents have been provided to the customer according to the classification declared by the customer above, where applicable.

Name:

Signature:

Date:

Account opening form – Supplementary form for non-individuals (FATCA)

FOR OFFICE USE ONLY

Confirmation by operations / back office / branch

- I have reviewed and confirm that the necessary documents have been completed according to the classification declared by the customer above, where applicable.

Name:

Signature:

Date:

Confirmation by operations / back office

- Based on declaration by the customer, I have entered into the system the customer's FATCA status accordingly.

Name:

Signature:

Date: