

## Account opening form – Supplementary form for individuals (FATCA)

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

| SECTION A: Individual information |                                    |
|-----------------------------------|------------------------------------|
| <b>Name:</b>                      |                                    |
| <b>NRIC/ Passport No:</b>         | <b>Country of Birth : Malaysia</b> |
| <b>Country of Residence:</b>      |                                    |

| SECTION B: Declaration   |
|--|
| <p>Please check “√” one of the following::<br/>I represent and declare that I am a:</p> <p><input type="checkbox"/> U.S. Person(1) (citizen or resident of the United States or holds a US green card or holds a U.S. passport) - Please fill up Form W-9</p> <p><input type="checkbox"/> Non U.S. Person</p>  |
| <p>Please check only if applicable:</p> <p>(1) <input type="checkbox"/> I hereby confirm that I am born in the U.S but I’m not a U.S. Person.<br/>I do not have the “Certificate of Loss of Nationality”, because I have:</p> <p><input type="checkbox"/> (a) Lost this certificate, or</p> <p><input type="checkbox"/> (b) Other reason, (please describe) _____</p>  |
| <p><b>Declaration</b></p> <p>I represent and declare that the information provided above is true, accurate and complete. I understand that the term "U.S. person(1)" means any citizen or resident of the United States.</p> <p>I hereby agree for Apex Investment Services Berhad, or any of its affiliates, including branches (collectively “the Management”) to share my information with domestic or overseas regulators or tax authorities where in accordance with the requirements of Foreign Account Tax Compliance Act 2010 as may be stipulated by applicable laws, regulations, agreement or regulatory guidelines or directives.</p> <p>I hereby agree that the Management may withhold from my account(s) such amounts in accordance with the requirements of Foreign Account Tax Compliance Act as may be stipulated by applicable laws, regulations, agreement or regulatory guidelines or directives.</p> <p>If there is any change in information provided to the Management that makes me a U.S. person or recalcitrant (person who fails to comply with reasonable requests for information to determine if this account belongs to a U.S. person), the Management has the right to terminate my account(s) and/or facilities granted to me.</p> <p>I agree and to notify the Management in writing within 30 calendar days if there is a change in any information which I have provided to the Management.</p> |

| SECTION C: Applicant’s Signature  |                  |             |
|---|------------------|-------------|
| <b>Name</b>   | <b>Signature</b> | <b>Date</b> |
|   |                  |             |
| <p><b>Definitions</b></p> <p>(1) The term U.S. person or United States person means a person described in section 7701(a)(30) of the Internal Revenue Code:</p> <p>(A) a citizen or resident of the United States,</p> <p>(B) a United States partnership,</p> <p>(C) a United States corporation,</p> <p>(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</p> <p>(E) any trust if—</p> <p>(a) A court within the United States is able to exercise primary supervision over the administration of the trust, and</p> <p>(b) One or more United States persons have the authority to control all substantial decisions of the trust.</p> |                  |             |

## Account opening form – Supplementary form for individuals (FATCA)

### FOR OFFICE USE

Part I – Documentation checklist – To fill up below only if customer has declared as being “Non-U.S. person” above. (To be completed by consultant)

Checklist below to be considered in conjunction with **all** documents & forms collected from customers (including this form).

| FATCA checklist   | Confirmed/<br>Not Confirmed  | Instruction:   |  |
|---|--|--|--|
| <b>Passport</b>   |  |  |  |
| Customer has not provided a U.S. passport.  | <input type="checkbox"/> Confirmed<br><input type="checkbox"/> Not confirmed | If any of the checklist on the left have “Not confirmed” answers, to request customer change declaration above to “U.S. Person”. |  |
| <b>Nationality</b>  |  |  |  |
| Customer does not have a U.S. citizenship.  | <input type="checkbox"/> Confirmed<br><input type="checkbox"/> Not confirmed |  |  |
| <b>Non U.S. Passport</b>  |  |  |  |
| Customer’s country of birth is not in the U.S.<br>Note: If country of birth is in U.S. , check that the customer has either:<br>1) Provided a “Certificate of Loss of Nationality” or<br>2) Checked the declaration (1) in Section B above. | <input type="checkbox"/> Confirmed<br><input type="checkbox"/> Not confirmed | If any of the checklist on the left have “Not Confirmed” answers, to obtain Form W-8BEN from customer.                           |  |
| <b>Address</b>  |  |  |  |
| (i) Customer has not provided a permanent address, mailing address, PO Box, or “in care of” address within the U.S.   | <input type="checkbox"/> Confirmed<br><input type="checkbox"/> Not confirmed |  |  |
| <b>Telephone number</b>   |  |  |  |
| Customer has not provided a U.S. telephone number (country code +1).  | <input type="checkbox"/> Confirmed<br><input type="checkbox"/> Not confirmed |  |  |
| <b>Others</b>   |  |  |  |
| Customer has not provided any other indication of being U.S. citizen or resident.<br>If “Not confirmed”, please list the identified indication: _____   | <input type="checkbox"/> Confirmed<br><input type="checkbox"/> Not confirmed |  |  |

### Part II – Confirmation and acknowledgement by consultant

Based on the abovementioned declarations and assessments, the customer(s)’ FATCA classification is:

1. U.S. Person  
 2. Non U.S. Person  
 3. Recalcitrant customer with U.S. Indicia. (Non U.S. Customers with U.S. Indicia who do not provide Form W-8BEN)  
 4. Recalcitrant customer that is U.S. Person (U.S. Customers who do not provide Form W-9)  
 I confirm that the required account opening checks have been performed for the customer listed above and the necessary documents have been provided to the customer (W-8BEN or W-9, whichever applicable).

| Name | Signature | Date |
|------|-----------|------|
|      |           |      |

### Part III - Confirmation by operations

Based on Part I and II above;

- I have reviewed and verified the information against the documents received and confirm that the necessary documents have been completed (W-8BEN or W-9, whichever applicable).  
 I have entered into the system, the customer(s)’ FATCA status accordingly as stated in Part II above.

| Name | Signature | Date |
|------|-----------|------|
|      |           |      |