

A. APPLICANT'S DATA

Please tick (X) where applicable & write using BLOCK LETTERS

Individual Corporate Others Financial Advisor's Code : _____

Name/Company _____

NRIC(New)/Passport No/Comp.No _____ NRIC Old _____

Country of Incorporation/Nationality _____ Gender Male Female

Date of Birth/Date of Incorporation _____ - _____ - _____ Race: _____

Marital Status Single Married Divorced Widow

Home/Registered Address _____

Postcode _____ Residential Status Resident Permanent Resident Non Resident

Correspondence Address _____

Postcode _____ Tel.No (H): _____

Email Address: _____ H/P No: _____

Bank Account Details Name of Bank: _____ Branch: _____

Acc.Type: _____ Acc.No: _____

Paid-Up Capital for Corp. Account _____

Ownership Status for Corp. Account Malaysian Bumiputera Controlled Malaysian Non-Bumiputera Controlled Non-Resident Controlled

** Principal's/Directors/Partners' Particulars and Authorised Person to Deal on behalf of Applicant are as per Constitutional Document/ Board of Directors' Resolution/ Deed of Partnership attached*

B. EMPLOYMENT & BUSINESS DATA *Applicable Only For Individual Account

Employment Status Employed _____ years Own Business _____ years Others _____

Name of Company _____

Address of Company _____

Postcode _____ Email Address: _____

Occupation _____ Tel.No (O)/Telex No or Swift No: _____

Nature of Business _____ Fax No: _____

C. SPOUSE'S/NEXT OF KIN'S DETAILS *Applicable Only For Individual Account / Joint Account

Name of Spouse/Next of Kin _____

NRIC (New)/Passport No _____ NRIC Old _____

Relationship with Applicant _____ Occupation: _____

Name of Employer/Business _____ Nature of Business: _____

Correspondence Address _____

Postcode _____ H/P No: _____

Tel.No (O): _____

D. POLITICALLY EXPOSED PERSON ("PEP")

"PEP" means (a) a natural person who is or has been entrusted with "Prominent Public Functions" locally or in a foreign country, (b) immediate family members of such person, or (c) close associates of such person. "Prominent Public Functions" include, the roles held by a head of state, a head of government, government ministers, senior civil servants, senior judicial or military officials, senior executives of state owned corporation or senior party officials. Please provide details as follows, if you or your member(s) has/have been entrusted with "Prominent Public Functions" or is/are close associate(s) of such person:

No	Name	Relationship to client	Occupation	Employer/Country

E. CLIENT'S DECLARATION

To the best of your knowledge, has your application been rejected/closed/suspended by another financial institution for money laundering and terrorism financing issues? Yes No **If Yes, please provide details:** _____

I/ We hereby declare that the information given herein is to my/our belief and knowledge true and also declare that I/we have read and understood and hereby unconditionally and irrevocably agree to be bound by and accept all the terms & conditions appended herein and make all the declarations, representations and warranties herein set out

Signature of Applicant _____ In the Presence of:- _____ For and on behalf of Company or Corporation _____

Name: _____ Name: _____ Name: _____ Name: _____

NRIC/Passport No: _____ NRIC/Passport No: _____ NRIC/Passport No: _____ NRIC/Passport No: _____

Date: _____ Date: _____ Date: _____ Date: _____

F. QUESTIONNAIRE/OTHER INFORMATION- You May Tick More Than One Answer

1. **Gross Monthly Income** Below RM1,000 RM 1,001 - RM2,500 RM2,501- RM 5,000 RM5,001- RM 7,500
 RM7,501-RM10,000 RM10,001-RM20,000 > RM20,000

*For Unemployed Client, please state the source of income : _____

2. **Estimated Net worth** <RM50,000 RM50,000- RM100,000 RM100,001-RM200,000 RM200,001-RM500,000
 RM500,001-RM 1 Million RM 1 Million -RM 3 Million > RM 3 Million

3. **To the best of your knowledge, are you or have you been involved in any of the following :**
- Current or previous criminal convictions Yes No **If Yes, please provide details:** _____
- Past or present material civil litigation suits Yes No **If Yes, please provide details:** _____
- Past or present regulatory breaches Yes No **If Yes, please provide details:** _____
- An investigation conducted by the authorities Yes No **If Yes, please provide details:** _____

4. **Are you an employee of Participating Organisation of Bursa Malaysia Securities Berhad or any exchange or Future Broker?**
 Yes No **If Yes, please provide details:** _____

5. **Do you have shares and/or futures trading account with another broker?**
 Yes No **If Yes, please provide details:** **Form :** _____ **Account No :** _____

6. **Do you understand the following: (Only applicable for Futures account opening)**
- Derivatives/Futures Trading Yes No Possibility of incurring a deficit balance Yes No
- Risk of Loss Yes No ECM Libra's Margin Policy Yes No

7. **Are you related to any Directors/Employees of ECM Libra Investment Bank Bhd or any of its related companies?**
 Yes No **If Yes, please provide details:** **Name :** _____ **Relationship :** _____

8. **What is your purpose of Investment?** Retirement Fund Capital Gain Constant Income Child's Education Savings
 Others (Please Specify) _____

9. **What do you invest in?** Shares Fixed Deposit Unit Trust Life Insurance FX Acc Property Futures DCI
 Others (Please Specify) _____

10. **What products offerings would you be interested to explore?**
 Structured Investment Futures DCI Shares UT Insurance Margin Financing

11. **How much return do you expect from your investment?(High Return means High Risk)** 5%-10% 11%-30% >30%

12. **What is your risk level?** Low Risk Medium Risk High Risk

13. **Which Bursa Malaysia Board/Market would you invest in?**
 Main Board Ace Market Bonds / Unconvertible Loan Stocks Call Warrant/Warrant/Transferable Subscription Rights
 Others (Please Specify) _____

14. **What is your main source of funds used to finance the investment?**
 Mortgage/Refinancing Margin Financing Own Cash Overdraft Family Funds Unsecured Loans Inheritance
 Others (Please Specify) _____

15. **What Factors do you consider important when you decide to invest in the shares of a Public Listed Company?**
 Outstanding products/services High Dividend yield/payout Advanced Technical Tools Price Earning (PE) ratios
 Net Asset Value Substantial Fixed Assets Low Gearing/borrowings Return on Equity
 Professional Management Team Market Talk

16. **How do you monitor your investment?**
 Newspaper Desktop Broking/Online Broking/Internet TV
 Broker's Public Gallery Call/Wait for DR to call Others (Please Specify) _____

17. **How do you protect your investment?**
 Cut Loss Pick Up stock Average your price by purchasing more shares
 Take no action Transfer to Margin Account Others (Please Specify) _____

18. **Do you analyse ratios (e.g Price Earnings, Return on investment, etc) before making decision to invest or divest?** Yes No

19. **Estimated no.of transactions per month:** _____ **Estimated Transactions Amount per month:** _____

*Important Note : This form must be accompanied by at least ONE product form **Financial Advisor's Signature** _____ **Date :** _____