

ACCOUNT OPENING FORM

NOMURA ASSET MANAGEMENT MALAYSIA SDN BHD
SUITE 12.2, LEVEL 12, MENARA IMC
NO. 8, JALAN SULTAN ISMAIL
50250 KUALA LUMPUR, MALAYSIA.

NOMURA

Investor Account No.:

☐

Individual

☐

Joint

☐

Institution

☐

IUTA

☐

CUTA

☐

UTC

☐

Others

1. DETAILS OF INSTITUTION

Name of Institution (as per Certificate of Incorporation)

Certificate of Incorporation No.

Date of Incorporation

Nature of Business

Status

☐

Incorporated in M'sia - Bumiputera

☐

Incorporated in M'sia - Non-Bumiputera

☐

Incorporated outside M'sia - Foreign

Source of wealth / income

☐

Company Earnings

☐

Corporate Fundraising

☐

Dividends

☐

Others, please specify

Main Contact Person

Designation

Department

Contact No.

(O)

(M)

(Fax)

Email

Secondary Contact Person

Designation

Department

Contact No.

(O)

(M)

(Fax)

Email

Business Address

Postcode

State

Country

Correspondence Address

Postcode

State

Country

2. PARTICULARS OF FIRST APPLICANT – INDIVIDUAL

Salutation

Full Name (as per NRIC/ Passport)

NRIC No. (New) / Passport

Nationality

Occupation

Contact No.

(H)

(O)

(M)

(Fax)

Email

Residential Address

Postcode

State

Country

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NOMURA

5. QUESTIONNAIRE - INSTITUTION

- 1.(a) Is your company listed and quoted on Bursa Securities Berhad? ☐ Yes ☐ No
If yes, is your company listed under Practice Note 17 of Bursa's Main Market Listing Requirements or Guidance Note 3 of Bursa's ACE Markets Listing Requirements? ☐ Yes ☐ No
If yes, is your company under a scheme of arrangement under Section 366 of the Companies Act 2016? ☐ Yes ☐ No
(b) Is your company a subsidiary of a company as highlighted in 1(a) above ☐ Yes ☐ No

2. Is your institution a (please tick ☒ if applicable to you. You may select more than one)

- (a) Trustee registered with Securities Commission? ☐ Yes
(b) Government linked company in Malaysia? ☐ Yes
(c) State owned corporation / company in Malaysia? ☐ Yes
(d) Company licensed under Financial Services Act 2012, Islamic Financial Services Act 2012, Labuan Financial Services and Securities Act 2010 or Labuan Islamic Financial Services and Securities Act 2010? ☐ Yes
(e) Prescribed institution under the Development Financial Institutions Act 2002 and supervised by BNM? ☐ Yes
(f) Foreign financial institution? ☐ Yes
(g) Futures / Fund management company regulated by Securities Commission? ☐ Yes
(h) Local brokerage / investment bank or a nominee company of such local brokerage / investment bank? ☐ Yes
(i) Subsidiary of any of the companies described in (a) to (h) above? ☐ Yes
(j) Statutory body established under an Act of Parliament or an order through government gazette? ☐ Yes
(k) Partnership ☐ Yes
(l) Society / Co-operative / Association ☐ Yes
(m) Others, please specify _____ ☐ Yes

3. Is your company acting on behalf of another person?

e.g. Trustee or nominee as a party to legal arrangements, or legal or accounting firms acting on behalfs of clients ☐ Yes ☐ No

4. Is your company a dormant company?

☐ Yes ☐ No

5. Does your company carry on business outside Malaysia?

☐ Yes ☐ No

If yes, please specify location

6. Do you have any shareholders and directors who are *Politically Exposed Person(s)?

☐ Yes ☐ No

If yes, please provide details

Name	Position	Position of shareholding (if applicable)	Relationship with PEP (if applicable)

* Politically exposed Person means:

- a person who is or has been entrusted domestically or internationally with prominent public functions, for example Head of State or of government, senior politician, senior government, judicial or military official, senior executive of state owned corporation, important political party official; or
- a person who is or has been entrusted with a prominent function by an international organisation which refers to member of senior management, i.e. director, deputy director and member of the board or equivalent functions, and includes family members, i.e. parents, siblings, spouse, child and / or spouse's parents (both biological and non-biological), e.g. step parents / siblings or adopted parents / child.

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NOMURA

6. DECLARATION & ACKNOWLEDGEMENTS

Declarations Pursuant to Foreign Account Tax Compliance Act (FATCA)

Please complete the following to confirm your status under the tax laws and regulations of the United States:

Are you a United States citizen/ United States resident/ United States Permanent Resident Alien (i.e. U.S. green card holder)?

First Applicant	<input type="checkbox"/> Yes	<input type="checkbox"/> No
Joint Applicant	<input type="checkbox"/> Yes	<input type="checkbox"/> No

If yes, please complete the relevant US IRS FATCA forms available at <https://www.irs.gov/forms-instructions> and submit the same to us.

Sophisticated Investor Declaration (please refer to Clause 12 of the Terms and Conditions)

I/We hereby confirm that I am/we are Sophisticated Investor(s) ☐ Yes ☐ No

For Institutions only

- I/We represent a legally incorporated institution. Copies of the required documents are as enclosed.
- I/We are duly authorized officer(s) of the Institution, and warrant that the Institution has the power and capacity to enter into this agreement and undertake transactions involving the Fund(s). Attached is a certified true copy of the Institution's list of authorized signatories.

For Individuals only

- I am/We are aged 18 years and above as at the date of this application. Copy(ies) of my/our NRIC/Passport is/are enclosed.
- (For joint application only) In the absence of expressed instructions on the signatory requirement, I/we acknowledge that instruction must be given by both of us.

For All Applicants

- I/We acknowledge and represent that I/we have received, read and understood the contents of the relevant Prospectus and/or Information Memorandum, including any supplemental and/or replacement thereto relating to the Fund(s) to be invested in, and agree to be bound by the Terms and Conditions (please refer to the Terms and Conditions), for my/our initial and subsequent transactions with Nomura Asset Management Malaysia Sdn. Bhd. (NAMM).
- I/We acknowledge and accept that NAMM has absolute discretion to rely on this confirmation from me/us and I/we undertake to indemnify and hold harmless NAMM and its employees against all costs, expenses, loss of liabilities, claims and demands arising out of this confirmation.
- I/We declare that I am/ we are not acting as nominee for any undisclosed third party and this application is not funded by gains from any unlawful activities as defined by the Anti-Money Laundering and Anti-Terrorism Financing and Proceeds of Unlawful Activities Act 2001.
- I am/We are aware of the fees and charges that I/we will incur directly or/and indirectly when investing in the Fund(s).
- I/We undertake to be bound by the provisions of the documents constituting to the Fund(s) subscribed to as if I was/we were a party thereto.
- I/We undertake to advise/provide NAMM within 30 days of any change in the circumstances or documents provided to NAMM.

Authorised Signatory 1/
Signature of First Applicant
Date

Authorised Signatory 2/
Signature of Joint Applicant
Date

Affix Seal
or
Company Stamp

TERMS & CONDITIONS

NOMURA ASSET MANAGEMENT MALAYSIA SDN BHD
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7. TERMS & CONDITIONS

1. General

- By completing this form, the applicant agrees to be bound by the terms and conditions contained herein ("Terms and Conditions") and the terms contained in the Prospectus / Information Memorandum and Deed (and all supplemental documents made thereto) of each relevant Fund(s) in respect of all transactions.
- These Terms and Conditions shall be governed by and construed in accordance with the laws of Malaysia.
- Nomura Asset Management Malaysia Sdn Bhd ("NAMM") reserves the right to reject and/or not to process any forms submitted. NAMM further reserves the absolute discretion to terminate any services provided hereunder.

2. Instructions/Voice Recordings

- All instructions given or purported to be given via any written or facsimile transaction by the person authorized to operate this account as named in this Account Opening Form or, otherwise in writing are binding on the applicant. NAMM shall have no obligation to verify the authenticity of any such instructions or the identity of any person giving such instructions.
- NAMM shall be entitled to use voice recording devices to record instructions communicated to it and such recording(s) may constitute evidence of the instructions.

3. Confirmation Advices/Statements

- Confirmation advices statements, cheques and other documents shall be sent at the risk of the applicant to the applicant's address as detailed in the Account Opening Form or as amended in the Transaction Form (collectively referred to as the "Form"). If the applicant fails to notify NAMM in writing of any errors in the confirmation advice within 14 days, or in the statement within 30 days of issue, the applicant shall be deemed to have waived any right to raise any objection or to pursue any remedies against NAMM or the relevant Trustee(s).

4. Monies

- All application monies must be paid or remitted as instructed and any cheque(s) must be honoured when presented.
- If an applicant is rejected in whole or in part, the application monies or balance thereof will be returned (without any returns) by NAMM by cheque or, at the cost of the applicant, by the telegraphic transfer, within 30 calendar days from date of application.
- The applicant confirms that NAMM may issue a cheque in Ringgit Malaysia to settle any redemption or other monies (if any) payable by NAMM. Such cheque shall be made payable to the registered Unit Holder(s) from time to time and sent to the last registered address of the Unit Holder(s) on NAMM's records unless otherwise notified in writing.
- In the absence of any expressed instructions, the applicant hereby authorizes NAMM to automatically treat any distributions in the manner as specified in the Prospectus/Information Memorandum and Deed (and all supplemental documents made thereto) of the relevant Fund(s) without further reference to the applicant.

5. Rejection/Cancellation of Application

- NAMM as the Manager of the various Funds ("the Manager") is entitled to:
- Reject any Form which is not completed in full and supported by the requested documents and payments;
 - Cancel any units issued if the payment for the units cannot be matched within 3 business days of the receipt of the application or subscription instruction, and
 - In its absolute discretion (without giving any reason) reject in whole or part hereof any application for subscription or switching and suspend the operation of the Unitholder's account with NAMM.

6. Representation and Warranties

- The applicant hereby represents and warrants the following:
 - i) the applicant has not and shall not rely on any information or representations other than those contained in the relevant Prospectus / Information Memorandum including any Supplementary Prospectus / Information Memorandum and Deeds; and
 - ii) any and all transactions contemplated herein shall not contravene the provision of any applicable laws.

7. Notices

- All notices and other communications sent by or to the applicant shall be sent at the risk of the applicant. Unless due to willful default or negligence of NAMM, NAMM shall not be responsible for any inaccuracy, interruption, error, delay or failure in transmission or delivery of any notices via whatever means, or for any equipment failure or malfunction. NAMM shall not be liable for any direct or indirect consequential losses arising from the foregoing.

8. Indemnity

- The applicant hereby indemnifies NAMM and the relevant Trustee(s) and any of their agents against any actions, proceedings, claims, losses, damages, costs and expenses which may be brought against, suffered or incurred by any or all of them arising either directly or indirectly out of or in connection with this account or in connection of NAMM accepting, relying on or failing to act on any instructions given by or on behalf of the applicant unless due to the willful default or gross negligence of NAMM.
- The applicant acknowledges and accepts that NAMM has absolute discretion to rely on facsimile confirmation from the applicant and undertakes to indemnify and hold harmless NAMM, its employees and agents against all cost, expenses, loss of liabilities, claims and demands arising out of relying on the applicant's confirmation.

9. Set-Off

- NAMM is entitled to set off any claim that NAMM or the relevant Trustee(s) may have against any of the assets, units or cash of the applicant held by NAMM or the relevant Trustee(s).

10. Legal and Tax Implications

- The applicant shall acquaint himself with the relevant tax laws and exchange control regulations in force in the countries of his citizenship, residence or domicile.

11. Personal Data

- By completing this form, the applicant hereby acknowledges and agrees to the processing of the applicant's personal and financial information by NAMM/NIAM in accordance with NAMM/NIAM's prevailing personal data and privacy policy (which is available at <https://www.nomuraasset.com.my/index.php/personal-data-privacy-notice>). In the event the applicant provides NAMM/NIAM with personal and financial information of other individuals/third parties (including but not limited to its directors, individual shareholders, officers, guarantors and/or such other relevant persons) ("Relevant Individuals") for purposes of opening account(s) with NAMM/NIAM, the applicant hereby agrees and confirms that it has duly obtained consent from the Relevant Individuals and is duly authorised to provide such information to NAMM/NIAM for the processing of the Relevant Individuals' personal and financial information by NAMM/NIAM.

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NOMURA

12. Sophisticated Investor Declaration

- Only a sophisticated investor may invest in a Wholesale Fund. A sophisticated investor means any person who falls within any categories of the investors set out in Part I, Schedule 6 and 7 of the Capital Market and Services Act 2007 (and as amended from time to time).

13. General Document(s) Required

The following documents must be submitted together with this Form. The Manager may request for additional documents:

General Document(s) Required		Type of Account		
		Individual	Malaysian Company (Bhd / Sdn Bhd)	Others
Photocopy of NRIC / Passport		/		
Board Resolution (with specimen signatures)			/	/
Latest Audited Accounts			/	/
FATCA Form - Entity Tax Declaration Form or US tax form (W-8 or W9)			/	/
Certified True Copy	Proof of Payment	/	/	/
	Certificates of Incorporation		/	/
	Forms 24, 44 & 49		/	
	Memorandum and Articles of Constitution By Laws		/	/
	Photocopy of NRIC / Passport of Authorised Signatories		/	/

Should you require further information about FATCA compliance, please contact us or visit <http://www.irs.gov/Businesses/Corporations/Foreign-Account-Tax-Compliance-Act-FATCA> for more information about FATCA. For assistance in determining your FATCA status or completing FATCA forms, please consult your tax advisor.

14. Unit Trust Loan Financing Risk Disclosure Statement

- 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, attitudes 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 which you put in as deposit or downpayment) the greater the potential for losses as well as gains on your investment.
 - 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 (where units are used as 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.
- This 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.

15. Miscellaneous

- The applicant shall be responsible for the payment of any fees, commission, taxes, liabilities, costs or expenses properly payable to NAMM under these Terms and Conditions
- This account is personal to the applicant and cannot be charged, assigned or transferred in any way by the applicant.
- Any changes to the details in the Form must be notified to NAMM in writing accompanied by the appropriate authorization(s).
- NAMM reserves the sole and absolute right to amend, modify and/or vary the terms and conditions contained in this form with notice to the applicant.

CRS FORM FOR ENTITIES

NOMURA ASSET MANAGEMENT MALAYSIA SDN BHD
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Tax Residency Self-certification Form for Entities

Tax regulations based on the OECD Common Reporting Standard (CRS) require us to collect and report certain information about your ("Account Holder") assets and income. If the account holder, or any applicable controlling persons or beneficiaries, is a tax resident in a reportable jurisdiction, we may be required under the applicable tax regulations to share information about your account to the relevant tax authorities, who may in turn exchange this information on an automatic basis with the tax authorities in the jurisdictions where the account holder, controlling persons or beneficiaries are resident. All sections must be completed for this form to be valid.

1. Investor(s) Details

Account Name	Account Number		
<input type="text"/>			
Email Address	<input type="text"/>		
Legal Name of Entity	Country of Incorporation of Entity		
<input type="text"/>			
Address		City / Town	
<input type="text"/>		<input type="text"/>	
Postal Code	Country		
<input type="text"/>	<input type="text"/>		
Mailing Address (please only complete if different to the address shown above)			
Address		City / Town	
<input type="text"/>		<input type="text"/>	
Postal Code	Country		
<input type="text"/>	<input type="text"/>		

2. Entity Type

2(1) Please provide the Account Holder's status by ticking one of the following boxes.

(a) Financial Institution – Investment Entity

☐

i. An Investment Entity located in a Non-CRS Participating Jurisdiction and managed by another Financial Institution (Note: If ticking this box please also complete part 2 (2) below.)

☐

ii. Other Investment Entity

(b) Financial Institution – Depository Institution, Custodial Institution or Specified Insurance Company

☐

If you have ticked (a) or (b) above, please provide, if held, the Account Holder's Global Intermediary Identification Number ("GIIN") obtained for FATCA purposes.

(c) Active NFE – a corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation

If you have ticked (c), please provide the name of the established securities market on which the corporation is regularly traded:

If you are a Related Entity of a regularly traded corporation, please provide the name of the regularly traded corporation that the Entity in (c) is a Related Entity of:

(d) Active NFE – a Government Entity or Central Bank

☐

(e) Active NFE – an International Organisation

☐

(f) Active NFE – other than (c)-(e) (for example a start-up NFE or a non-profit NFE)

☐

(g) Passive NFE (Note: if ticking this box please also complete Part 2(2) below)

☐

2(2) If you have ticked (a)(i) or (g) above, then please:

Indicate the name of any Controlling Person(s)ⁱ of the Account Holder:

Complete "Controlling Person tax residency self-certification form" for each Controlling Personⁱ

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NOMURA

3. Tax Residency Details

1. Please complete the fields below by indicating (i) where the account holder is a tax resident and (ii) the account holder's tax identification number (TIN) for each country/ Jurisdiction indicated.
2. If the Account Holder is not tax resident in any country/jurisdiction (e.g. because it is fiscally transparent), please check this box ☐ and indicate the details in the fields below and provide its place of effective management or jurisdiction in which its principal office is located.
3. If the Account Holder is tax resident in more than three countries/jurisdictions, please use a separate sheet.

If a TIN is unavailable please provide the appropriate reason A, B or C where indicated below:

Reason A – The country/jurisdiction where the account holder is resident does not issue TINs to its residents

Reason B – The account holder is otherwise unable to obtain a TIN or equivalent number (please explain why you are unable to obtain a TIN below if you have selected this reason)

Reason C – No TIN is required (note: only select this reason if the authorities of the country of tax residence entered below do not require the TIN to be disclosed)

Country of Tax Residence Taxpayer Identification Number (TIN) if no TIN available, please select reason ☐ A ☐ B ☐ C

Please explain below why you are unable to obtain a TIN if you selected Reason B above

Country of Tax Residence Taxpayer Identification Number (TIN) if no TIN available, please select reason ☐ A ☐ B ☐ C

Please explain below why you are unable to obtain a TIN if you selected Reason B above

Country of Tax Residence Taxpayer Identification Number (TIN) if no TIN available, please select reason ☐ A ☐ B ☐ C

Please explain below why you are unable to obtain a TIN if you selected Reason B above

4. Signatures and Declarations

1. I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with Nomura Asset Management Malaysia Sdn Bhd setting out how Nomura Asset Management Malaysia Sdn Bhd may use and share the information supplied by me.
2. I acknowledge and agree that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be transmitted to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident pursuant to the intergovernmental agreements to exchange financial account information with the country/ies in which the account(s) is/are maintained.
3. I certify that I am authorised to sign for the Account Holder in respect of all the account(s) to which this form relates.
4. I declare that all statements made in this declaration are, to the best of my knowledge and belief, true, accurate and complete.
5. I undertake to advise Nomura Asset Management Malaysia Sdn Bhd within 30 days of any change in circumstances which may affect the tax residency status of the Account Holder identified in Part 1 of this form or may cause the information contained herein to become incorrect, and to provide Nomura Asset Management Malaysia Sdn Bhd with a suitably updated self-certification and Declaration within 30 days of such change in circumstances.

Investor/Authorised Signature

NAME (in capitals)

Date

Note: Please indicate the capacity in which you are signing the form (for example 'Authorised Officer'). If signing under a power of attorney please also attach a certified copy of the power of attorney.

Capacity:

ⁱ The term "Controlling Persons" means the natural persons who exercise control over an entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term "Controlling Persons" must be interpreted in a manner consistent with the Financial Action Task Force Recommendations. If there is no natural person(s) who exercises control over the Entity then the Controlling Person will be the natural person(s) who holds the position of senior managing official(s).

CRS FOR CONTROLLING PERSONS

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NOMURA

Tax Residency Self-certification Form for Controlling Personⁱ

Tax regulations based on the OECD Common Reporting Standard (CRS) require us to collect and report certain information about the Account Holder's and your (as a Controlling Personⁱ) assets and income. If the account holder, or any applicable Controlling Persons or beneficiaries, is a tax resident in a reportable jurisdiction, we may be required under the applicable tax regulations to share information about your account to the relevant tax authorities, who may in turn exchange this information on an automatic basis with the tax authorities in the jurisdictions where the account holder, controlling persons or beneficiaries are resident. The term "Controlling Persons" means the natural persons who exercise control over an entity. If there is no natural person(s) who exercises control over the Entity then the Controlling Person will be the natural person(s) who holds the position of senior managing official(s). If you have any questions regarding completion of the form, please contact your tax advisor. All sections must be completed for the form to be valid.

1. Controlling Person Details

Please enter the legal name of the relevant entity Account Holder(s) of which you are a Controlling Person

Entity 1	<input type="text"/>	
Entity 2	<input type="text"/>	
Entity 3	<input type="text"/>	
Account Name	<input type="text"/>	Account Number <input type="text"/>
Email Address	<input type="text"/>	

Mr <input type="checkbox"/>	Mrs <input type="checkbox"/>	Ms <input type="checkbox"/>	First Name(s) <input type="text"/>	Last Name(s) <input type="text"/>
Address <input type="text"/>			City/Town <input type="text"/>	
Postal code <input type="text"/>		Country <input type="text"/>	Nationality <input type="text"/>	
Date of Birth (dd-mm-yyyy) <input type="text"/>		Town/City of Birth <input type="text"/>	Country of Birth <input type="text"/>	

Mailing Address (please only complete if different to the address shown above)

Address <input type="text"/>		City / Town <input type="text"/>
Postal Code <input type="text"/>	Country <input type="text"/>	

2. Tax Residency Details

- Please complete below fields indicating: (i) where the controlling person is tax resident and (ii) the controlling person's tax identification number (TIN) for each country or jurisdiction indicated.
- If you are a United States (U.S.) citizen or resident, please include the United States in the table below together with your U.S. TIN.
- If you are a tax resident in more than three countries or jurisdictions, please attach a separate form signed by you.

If a TIN is unavailable please provide the appropriate reason A, B or C where indicated below:

Reason A – The country/jurisdiction where the account holder is resident does not issue TINs to its residents

Reason B – The account holder is otherwise unable to obtain a TIN or equivalent number (please explain why you are unable to obtain a TIN below if you have selected this reason)

Reason C – No TIN is required (note: only select this reason if the authorities of the country of tax residence entered below do not require the TIN to be disclosed)

Country of Tax Residence <input type="text"/>	Taxpayer Identification Number (TIN) <input type="text"/>	if no TIN available, please select reason <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
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Please explain below why you are unable to obtain a TIN if you selected Reason B above

Country of Tax Residence <input type="text"/>	Taxpayer Identification Number (TIN) <input type="text"/>	if no TIN available, please select reason <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
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Please explain below why you are unable to obtain a TIN if you selected Reason B above

Country of Tax Residence <input type="text"/>	Taxpayer Identification Number (TIN) <input type="text"/>	if no TIN available, please select reason <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
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Please explain below why you are unable to obtain a TIN if you selected Reason B above

CRS FOR CONTROLLING PERSONS

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3. Signatures and Declarations

1. I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with Nomura Asset Management Malaysia Sdn Bhd setting out how Nomura Asset Management Malaysia Sdn Bhd may use and share the information supplied by me.
2. I acknowledge and agree that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be transmitted to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident pursuant to the intergovernmental agreements to exchange financial account information with the country/ies in which the account(s) is/are maintained.
3. I certify that I am authorised to sign for the Account Holder in respect of all the account(s) to which this form relates.
4. I declare that all statements made in this declaration are, to the best of my knowledge and belief, true, accurate and complete.
5. I undertake to advise Nomura Asset Management Malaysia Sdn Bhd within 30 days of any change in circumstances which may affect the tax residency status of the Account Holder identified in Part 1 of this form or may cause the information contained herein to become incorrect, and to provide Nomura Asset Management Malaysia Sdn Bhd with a suitably updated self-certification and Declaration within 30 days of such change in circumstances.

Investor/Authorised Signature

NAME (in capitals)

Date

Note: Please indicate the capacity in which you are signing the form (for example 'Authorised Officer'). If signing under a power of attorney please also attach a certified copy of the power of attorney.

Capacity: _____

ⁱ The term "Controlling Persons" means the natural persons who exercise control over an entity. In the case of a trust, such term means the settlor, the trustees, the protector (if any), the beneficiaries or class of beneficiaries, and any other natural person exercising ultimate effective control over the trust, and in the case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions. The term "Controlling Persons" must be interpreted in a manner consistent with the Financial Action Task Force Recommendations. If there is no natural person(s) who exercises control over the Entity then the Controlling Person will be the natural person(s) who holds the position of senior managing official(s).

Tax Residency Self-certification Form for Individuals

Tax regulations based on the OECD Common Reporting Standard (CRS) require us to collect and report certain information about your ("Account Holder") tax residency. If the Account Holder, or any applicable beneficiaries, are tax resident in a reportable jurisdiction, we may be required under the applicable tax regulations to share information about your account to the relevant tax authorities, who may exchange this information on an automatic basis with the tax authorities in the jurisdictions where the account holder or beneficiaries are resident. If you have any questions regarding completion of the form, please contact your tax advisor. All sections must be completed for this form to be valid.

1. Investor Details

Account Name	<input type="text"/>		
Account Number	<input type="text"/>	Email Address	<input type="text"/>
Mr <input type="checkbox"/>	Mrs <input type="checkbox"/>	Ms <input type="checkbox"/>	
First Name	<input type="text"/>		Last Name <input type="text"/>
Address	<input type="text"/>		City/Town <input type="text"/>
Postal code	<input type="text"/>	Country	<input type="text"/>
Nationality	<input type="text"/>		
Date of Birth (dd-mm-yyyy)	<input type="text"/>	Town/City of Birth	<input type="text"/>
Country of Birth	<input type="text"/>		
Mailing Address (please only complete if different to the address shown above)			
Address	<input type="text"/>		City / Town <input type="text"/>
Postal Code	<input type="text"/>	Country	<input type="text"/>

2. Tax Residency Details

- Please complete below fields indicating: (i) where the account holder is tax resident and (ii) the account holder's tax identification number (TIN) for each country or jurisdiction indicated.
- If you are a tax resident in more than three countries / jurisdictions, please use a separate sheet.

If a TIN is unavailable please provide the appropriate reason A, B or C where indicated below:

Reason A – The country/jurisdiction where the account holder is resident does not issue TINs to its residents

Reason B – The account holder is otherwise unable to obtain a TIN or equivalent number (please explain why you are unable to obtain a TIN below if you have selected this reason)

Reason C – No TIN is required (note: only select this reason if the authorities of the country of tax residence entered below do not require the TIN to be disclosed)

Country of Tax Residence	Taxpayer Identification Number (TIN)	
<input type="text"/>	<input type="text"/>	if no TIN available, please select reason <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
Please explain below why you are unable to obtain a TIN if you selected Reason B above		
<input type="text"/>		
Country of Tax Residence	Taxpayer Identification Number (TIN)	
<input type="text"/>	<input type="text"/>	if no TIN available, please select reason <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
Please explain below why you are unable to obtain a TIN if you selected Reason B above		
<input type="text"/>		
Country of Tax Residence	Taxpayer Identification Number (TIN)	
<input type="text"/>	<input type="text"/>	if no TIN available, please select reason <input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
Please explain below why you are unable to obtain a TIN if you selected Reason B above		
<input type="text"/>		

3. Signatures and Declarations

1. I understand that the information supplied by me is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with Nomura Asset Management Malaysia Sdn Bhd / Nomura Islamic Asset Management Sdn Bhd setting out how Nomura Asset Management Malaysia Sdn Bhd / Nomura Islamic Asset Management Sdn Bhd may use and share the information supplied by me.
2. I acknowledge and agree that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be transmitted to the tax authorities of the country in which this account(s) is/are maintained and exchanged with tax authorities of another country or countries in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information with the country/ies in which this account(s) is/are maintained.
3. I certify that I am the Account Holder in respect of all the account(s) to which this form relates.
4. I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.
5. I undertake to advise Nomura Asset Management Malaysia Sdn Bhd / Nomura Islamic Asset Management Sdn Bhd within 30 days of any change in circumstances which may affect the tax residency status of the individual identified in Part 1 of this form or may cause the information contained herein to become incorrect, and to provide Nomura Asset Management Malaysia Sdn Bhd / Nomura Islamic Asset Management Sdn Bhd with a suitably updated Self-certification Form and Declaration within 30 days of such change in circumstances.

Investor/Authorised Signature

NAME (in capitals)

Date

Note: If you are not the Account Holder, please indicate the capacity in which you are signing the form. If signing under a power of attorney please provide a certified true copy of the power of attorney.

Capacity: _____

INVESTOR SUITABILITY ASSESSMENT FORM

CORPORATE INVESTOR

NOMURA

NOMURA ASSET MANAGEMENT MALAYSIA SDN BHD
SUITE 12.2 LEVEL 12, MENARA IMC
NO. 8, JALAN SULTAN ISMAIL,
50250 KUALA LUMPUR.

The Investor Suitability Assessment Form will guide you in choosing the funds that suit your investment objectives, risk tolerance, financial profile and investment experience. This information you provide will form the basis of our recommendation. It is important to provide accurate and complete information to ensure that suitable funds are recommended according to your investment needs and objectives.

A. Know Your Investor

Name of Corporation (as per Certificate of Incorporation)

Certificate of Incorporation No.

Nature of Company's Business

- ☐ Public Institutions (Government and State-Owned)
- ☐ Financial Services
- ☐ Manufacturing (Retail and Industrial Goods)
- ☐ Retail Goods & Trading
- ☐ Education Services
- ☐ Property Development / Real Estate
- ☐ Others, please specify [_____]

Company's latest audited shareholders' funds

- ☐ Up to MYR 1,000,000
- ☐ MYR 1,000,001 to MYR 5,000,000
- ☐ MYR 5,000,001 to MYR 10,000,000
- ☐ Above MYR 10,000,000

Company's latest audited total assets

- ☐ Up to MYR 3,000,000
- ☐ MYR 3,000,001 to MYR 8,000,000
- ☐ MYR 8,000,001 to MYR 13,000,000
- ☐ Above MYR 13,000,000

Company's latest audited profit/loss?

- ☐ Up to MYR 500,000
- ☐ MYR 500,001 to MYR 1,000,000
- ☐ MYR 1,000,001 to MYR 2,000,000
- ☐ Above MYR 2,000,000

WARNING: The recommendation is made based on information obtained from the suitability assessment. Any misleading, inaccurate or incomplete information provided by the investor will affect the outcome of the recommendation made. In such a case, the company is not held liable for such recommendation. Investors are advised to exercise judgment in making an informed decision in relation to investing in funds.

B. Investment Profile

What is the company's duration of investment?

- ☐ 5 years or more (4)
- ☐ 3 to 5 years (3)
- ☐ 1 to 3 years (2)
- ☐ 1 year or less (1)

Company's purpose of investment

- ☐ Cash management for working capital purpose (1)
- ☐ Optimise use of company's excess liquidity (2)
- ☐ Capital growth on shareholders' funds (3)
- ☐ Nature of company's business (4)

C. Investment Knowledge and Experience

What will the company's loss tolerance be like?

- ☐ Very low tolerance; requires close to 100% capital protection but understands this minimises the opportunity for investment return generation (1)
- ☐ Low tolerance; seeks to achieve regular income and incidental capital gains (2)
- ☐ Medium tolerance; seeks to achieve a balance between regular income and capital appreciation (3)
- ☐ High tolerance; invests in riskier assets to maximise returns over the long term (4)

What is the company's experience investing in the following financial instruments? For how long have you been invested in these asset classes?

☐ Fixed Deposits and Money Market Instruments

- ☐ <1 year
- ☐ 1 year or more (1)

☐ Fixed Income/ Bond Instruments

- ☐ <1 year
- ☐ 1 year or more (1)

☐ Equity/ Listed Securities

- ☐ <1 year
- ☐ 1 year or more (1)

☐ Derivatives and Structured Products

- ☐ <1 year
- ☐ 1 year or more (1)

What would be your investment return expectations be?

- ☐ 2 to 3% p.a. (i.e. the return range represents the returns above prevailing bank deposit rates) (1)
- ☐ 3 to 4% p.a. (i.e. the return range represents the prevailing medium to long-term government bond yields) (2)
- ☐ 4 to 6% p.a. (i.e. potential asset classes within this indicative return range could include bonds, mixed assets) (3)
- ☐ 6 to 8% p.a. (i.e. represents the potential long-term returns of equity markets) (4)
- ☐ Above 8% p.a. (5)

Based on the risk scores from questions above, the Company falls under:

Result of suitability assessment:

Scoring Guide (sum of total scores)	Risk Profile	Type of Funds (the list is not exhaustive)
5 to 8	Very Low	Money Market and Fixed Income / Bonds
9 to 13	Conservative	Bonds
14 to 18	Moderate	Bonds (High Yield / Emerging), Balanced Funds
19 to 23	High	Equities

D. Recommendation Section

Recommended Fund(s)	Basis of Recommendation

Declarations (please check all applicable boxes)

- ☐ All information disclosed is true, complete and accurate; AND
The representative from Nomura Asset Management Malaysia ('NAMM') has explained and I/we have understood the features and risks of the fund; AND
I/we have received a copy of the Prospectus/Information Memorandum together with the Product Highlight Sheet and relevant Information Memorandum Prospectus; AND
I/we have received a copy of NAMM's Personal Data & Privacy Notice; AND (where applicable)
(applicable for purchase of unit trust funds) NAMM's representative has presented his/her authorisation card issued by the Federation of Investment Management Malaysia
- ☐ There is no material change in the information provided in the previous suitability assessment.
- ☐ I/we have decided to purchase the following fund(s) not recommended by NAMM's representatives.
- ☐ **(applicable for high net worth entities only)**
I elect not to undergo suitability assessment.

Authorised Signatory 1
Name:
Date:

Authorised Signatory 2
Name:
Date:

Affix Seal
Or
Company Stamp

NAMM Representative
Name:

INVESTOR SUITABILITY ASSESSMENT FORM

INDIVIDUAL INVESTOR

NOMURA

NOMURA ASSET MANAGEMENT MALAYSIA SDN BHD
SUITE 12.2 LEVEL 12, MENARA IMC
NO. 8, JALAN SULTAN ISMAIL,
50250 KUALA LUMPUR.

The Investor Suitability Assessment Form will guide you in choosing the funds that suit your investment objectives, risk tolerance, financial profile and investment experience. This information you provide will form the basis of our recommendation. It is important to provide accurate and complete information to ensure that suitable funds are recommended according to your investment needs and objectives.

A. Know Your Investor

Name of Investor (as per NRIC)

NRIC No.

Nature of Employment

- ☐ Private Sector Employee
- ☐ Public Sector Employee
- ☐ Enterprise / Business Owner
- ☐ Self-Employed
- ☐ Unemployed
- ☐ Student
- ☐ Others, please specify
[]

What is your estimated net worth?

- ☐ Up to MYR 100,000
- ☐ MYR 100,001 to MYR 1,000,000
- ☐ MYR 1,000,001 to MYR 3,000,000
- ☐ Above MYR 3,000,000

What is your annual income?

- ☐ Up to MYR 100,000
- ☐ MYR 100,001 to MYR 200,000
- ☐ MYR 200,001 to MYR 300,000
- ☐ Above MYR 300,000

What are your estimated liabilities?

- ☐ Up to MYR 100,000
- ☐ MYR 100,001 to MYR 500,000
- ☐ MYR 500,001 to MYR 1,000,000
- ☐ Above MYR 1,000,000

WARNING: The recommendation is made based on information obtained from the suitability assessment. Any misleading, inaccurate or incomplete information provided by the investor will affect the outcome of the recommendation made. In such a case, the company is not held liable for such recommendation. Investors are advised to exercise judgment in making an informed decision in relation to investing in funds.

B. Investment Profile

How many dependents do you have to provide for?

- ☐ None (4)
- ☐ 1 (3)
- ☐ 2 (2)
- ☐ 3 (1)
- ☐ 4 or more (0)

What is your investment horizon – how long are you able to invest your money for?

- ☐ 5 years or more (3)
- ☐ 3 to 5 years (2)
- ☐ 1 to 3 years (1)
- ☐ 1 year or less (0)

What is your estimated proportion of savings and investments, as a percentage of total monthly income?

- ☐ 20% or less (1)
- ☐ 20% to 40% (2)
- ☐ 40% to 60% (3)
- ☐ More than 60% (4)

What is your main purpose of funds and investments currently?

- ☐ Near term funding and liquidity needs (1)
- ☐ Savings or 'standby' or 'rainy day' purposes (2)
- ☐ Long term target returns and financial wealth (3)
- ☐ Improve current standards of living (4)
- ☐ Wealth creation for future generations (5)

C. Investment Knowledge and Experience

How would you rate your investment experience and knowledge?

- ☐ Basic (e.g. placed money in money market and fixed income instruments, funds) (2)
- ☐ Accomplished (e.g. have traded stocks and shares in the past) (3)
- ☐ Advanced (e.g. have invested in derivatives and/or structured products) (4)

Have you been invested in the following asset classes? For how long have you been invested in these asset classes?

☐ Fixed Deposits and Money Market Instruments

- ☐ <1 year ☐ 1 year or more (1)

☐ Fixed Income/ Bond Instruments

- ☐ <1 year ☐ 1 year or more (1)

☐ Equity/ Listed Securities

- ☐ <1 year ☐ 1 year or more (1)

☐ Derivatives and Structured Products

- ☐ <1 year ☐ 1 year or more (1)

Please select the most accurate statement to complete the sentence. When it comes to investing money, I would typically...

- ☐ Want my capital to be the safest possible and generate minimal income, with minimal risk (0)
- ☐ Seek regular income and incidental capital gains (1)
- ☐ Seek a balance of regular income and capital appreciation (2)
- ☐ Seek mainly capital growth and incidental income (3)
- ☐ Invest in riskier assets to maximise returns over the long term (4)

What would be your investment return expectations be?

- ☐ 2 to 3% p.a. (i.e. the return range represents the returns above prevailing bank deposit rates) (1)
- ☐ 3 to 4% p.a. (i.e. the return range represents the prevailing medium to long-term government bond yields) (2)
- ☐ 4 to 6% p.a. (i.e. potential asset classes within this indicative return range could include bonds, mixed assets) (3)
- ☐ 6 to 8% p.a. (i.e. represents the potential long-term returns of equity markets) (4)
- ☐ Above 8% p.a. (5)

Result of suitability assessment:

Scoring Guide (sum of total scores)	Risk Profile	Type of Funds (the list)
3 to 9	Very Low	Money Market and Fixed Income / Bonds
10 to 15	Conservative	Bonds
16 to 20	Moderate	Bonds (High Yield / Emerging), Balanced Funds
21 to 29	High	Equities

D. Recommendation Section

Recommended Fund(s)	Basis of Recommendation

Declarations (please check all applicable boxes)

<input type="checkbox"/>	<p>All information disclosed is true, complete and accurate; AND</p> <p>The representative from Nomura Asset Management Malaysia ('NAMM') has explained and I/we have understood the features and risks of the fund; AND</p> <p>I/We have received a copy of the Prospectus/Information Memorandum together with the Product Highlight Sheet and relevant Information Memorandum Prospectus; AND</p> <p>I/We have received a copy of NAMM's Personal Data & Privacy Notice; AND (where applicable)</p> <p>(applicable for purchase of unit trust funds) NAMM's representative has presented his/her authorisation card issued by the Federation of Investment Management Malaysia</p>
<input type="checkbox"/>	There is no material change in the information provided in the previous suitability assessment.
<input type="checkbox"/>	I/We have decided to purchase the following fund(s) not recommended by NAMM's representatives.
<input type="checkbox"/>	<p>(applicable for accredited investors only)</p> <p>I elect not to undergo suitability assessment.</p>
<div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p>_____ First Applicant Name: Date:</p> </div> <div style="width: 45%;"> <p>_____ Joint Applicant Name: Date:</p> </div> </div> <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <p>_____ NAMM Representative Name:</p> </div> </div>	