



6. Correspondence Address / Business Address ( if different )

\_\_\_\_\_  
\_\_\_\_\_  
\_\_\_\_\_  
Postcode: \_\_\_\_\_

7. Contact : i) Telephone No (Home): \_\_\_\_\_ Mobile No: \_\_\_\_\_  
ii) Fax No: \_\_\_\_\_  
iii) E-mail Address \_\_\_\_\_  
(Necessary to be filled up for Cybertrade client)

8. i) Nationality/ Place of Incorporation  Malaysian  Others, please specify \_\_\_\_\_  
ii) Residential Status (for Exchange control)  Resident  Non-Resident

9. Bankers

Bank	Address	Account No / Account Type
_____	_____	_____
_____	_____	_____

10. Trading Limit Required : RM \_\_\_\_\_

**THIS PART IS APPLICABLE TO INDIVIDUAL APPLICANT ONLY**

11. i) Marital Status  Single  Married  Others, please specify \_\_\_\_\_  
ii) Spouse Name \_\_\_\_\_  
(If married)  
iii) No. Of Dependants  None  1-5  Above 5

**EMPLOYMENT PARTICULARS (For housewife please provide your husband's professional details)**

12. Type of Employment  Employed  Self-employed  Others, please specify \_\_\_\_\_

13. Name of Business/Employer : \_\_\_\_\_

14. i) Office Address : \_\_\_\_\_  
\_\_\_\_\_

ii) Telephone No : \_\_\_\_\_ Fax No: \_\_\_\_\_

15. Nature of Firm / Business : \_\_\_\_\_

16. Designation or Present Position : \_\_\_\_\_ Date Employed : \_\_\_\_\_

17. Annual Income Range:  Below RM 50,000  RM 100,001-RM 250,000  
 RM 50,000-RM 100,000  Above RM 250,000

18. If not working or retired, please state : Last Date of Employment : \_\_\_\_\_

Net worth : RM \_\_\_\_\_

**THIS PART IS APPLICABLE TO CORPORATE APPLICANT ONLY**

19. Type : \_\_\_\_\_ Nature of Business : \_\_\_\_\_  
( Private Limited Company, Limited Company, Society, Association, Co-operative etc. )

20. Share Capital : Authorised Capital: RM \_\_\_\_\_ Paid Up Capital: RM \_\_\_\_\_

21. **FOR INSTITUTIONAL APPLICANT ONLY** - Bank and CDS Account of Custodian Bank (if applicable)

i) Name of Custodian Bank : \_\_\_\_\_

Branch : \_\_\_\_\_ Bank Account No : \_\_\_\_\_

ii) Custodian Bank's CDS Account No :

iii) Auto-averaging  Yes  No

**EXPERIENCE AND INVESTMENT OBJECTIVES IN SECURITIES TRADING**

22. Securities Trading Experience  None  < 1 year  1-5 years  > 5 years

23. Investment Objectives  Investment  Speculation  Mixed

**RELATIONSHIP AND FINANCIAL PARTICULARS**

24. # Are you related to any staff or Director or Dealer's Representatives of A.A. Anthony Securities Sdn Bhd?  Yes, name and relationship \_\_\_\_\_  
 No

25. Are you a Director or an employee or Dealer's Representatives of any stockbroking company in Malaysia?  Yes, name of the company \_\_\_\_\_  
 No

26. Do you have any existing trading accounts with A.A. Anthony Securities Sdn Bhd?  Yes, Account No \_\_\_\_\_  
 No

( If yes, what type of account do you have ? )

Normal Trading Date Opened \_\_\_\_\_  
 Margin Date Opened \_\_\_\_\_  
 Cyber Trade Date Opened \_\_\_\_\_  
 Day Trade Date Opened \_\_\_\_\_  
 External Margin Date Opened \_\_\_\_\_  
 Others, please specify \_\_\_\_\_

27. Are you a guarantor for any trading account held in A.A. Anthony Securities Sdn Bhd ?  Yes, Account No : \_\_\_\_\_  
 No

28. # Details of related persons with trading  None  
accounts maintained with A.A. Anthony i) Name:  
Securities Sdn Bhd ii) Relationship:  
iii) Account No:

29. Do you have commitments with any financial  Yes, Name of Banks : \_\_\_\_\_  
institutions? \_\_\_\_\_

No

If yes, please state type:  Overdraft  Property Loan  Hire Purchase  Share Margin Financing

# For the purpose of this application form, related persons mean spouse, children, parents or any accounts where any of the said person has interest and companies in which the staffs, Directors or Dealers' Representative have at least 5% interest.

---

### COVENANTS AND UNDERTAKINGS

---

To : A.A. Anthony Securities Sdn Bhd (17812-U)

Date :

Dear Sirs,

Re : Covenants and Undertakings

I / We hereby :

- request to open account(s) with the Company in my/our name or in such other name as I/we may request as indicated in page 1 of this Application for the purpose of trading in securities;
- undertake to abide by all laws relating to my/our trading activities with you including without limitation to the Rules and Regulations of Bursa Malaysia Securities Berhad (BMSB), Memorandum and Articles of Association of the Bursa Malaysia Securities Berhad, Capital Market and Services Act, by-laws, guidelines, directives by Bursa Malaysia Securities Berhad and any other approved Exchanges, Clearing Houses, Central Depositories, Bank Negara Malaysia and any relevant regulatory bodies and any other governing rules now in force or from time to time amended, revised or supplemented in respect of all transactions effected through my trading account whether or not on BMSB or other approved Exchanges;
- further agree to comply with the rules, directives, policies and conditions set by the Company (whether notified to me/us or not) relating to the operation of my/our trading account which may be varied from time to time;
- declare all particulars and information given in this application form are true and correct and that I/we have not withheld any material facts or information. I/We hereby authorise you to verify at any time and from time to time all or any of the particulars and/or information furnished herein in such manner as you shall deem fit;
- undertake to furnish you with such additional particulars and information as you may require at any time and from time to time;
- declare and agree that my/our application herein is subject to your approval and you are absolutely entitled to reject my/our application or impose such conditions or restrictions as you may deem fit without giving any reason therefor;
- agree that the acceptance and continuance of any or all my/our trading accounts shall be entirely at the Company's discretion;
- authorise the Company to verify and exchange information contained in this application form and any information relating to my/our particulars, bank account(s) with other third parties as the Company may deem appropriate for the purpose of approving this application or the continuance of my/our trading account with the Company as long as I/we shall remain the company's client;
- without prejudice to Clause 8 above, should I/we now or in future maintain an account with any of the Company's related companies whether for purpose of trading and dealings in any financial instruments or otherwise, I/we hereby authorise the Company to disclose, divulge, exchange and to supply to or request from these related companies any information and/or documents relating to my/our trading account with the Company or my/our account with such related companies including but not limited to information and/or documents relating to the conduct of my/our trading account and trading position provided that the Company shall not disclose, divulge, exchange or supply any information and/or documents of which disclosure, divulgence, exchange or supply is prohibited by any relevant laws of Malaysia. The authorisation given herein shall subsist despite the subsequent closure of my/our trading account with the Company or closure of my/our accounts with its related companies; and
- declare that I/we am/are over 18 years old and have not been a bankrupt nor have been wound-up and there is no pending litigation case and/or bankruptcy/winding-up proceedings against me/us on any debt due. I/We am/are also not a defaulter under the Rules of BMSB nor do I/we have any criminal and/or adverse credit records.

In the event the account(s) is/are opened pursuant to this Application herein, I/we hereby further agree to the following:

11. authorise you to sell or buy securities at my/our or my/our dealer representative's instruction. I/We hereby warrant that my/our dealer representative shall have actual/ostensible authority to sell out/buy in securities on my/our behalf until such authority is expressly revoked and notice of such revocation is given in writing to you within twenty-four (24) hours of such revocation. I/We hereby warrant that I/we further authorise you to sell out or buy in any securities as may be required to clear my/our trade with you;
12. declare that I/we have the financial means to settle all my/our purchase contracts. I/We undertake to make immediate payment when the payment is due and the Company shall be entitled to apply such payment in any manner as the Company deem fit at their absolute discretion. I/We also undertake to inform the Company of any material facts that may adversely affect my/our financial position and/or my/our creditworthiness from time to time;
13. agree that my/our trading account(s) is/are subjected to trading limit(s) set by the Company and the Company may as they deem fit, from time to time, at its absolute discretion increase and/or decrease my/our trading limit(s) without further references to me/us and such changes shall be binding upon my/our trading account(s);
14. agree that any trading in a trading account utilising share margin financing facility granted by the Company or by a third party shall be subjected to such additional terms and conditions as may be contained in the respected facility agreement and letter of offer. I/We further agree that I/we shall also be subjected to any additional terms governing my/our usage of other products of the Company such as Cybertrade, External Margin, Day Trade, Collateralised or such other products which the Company may introduce from time to time;
15. undertake to pay any securities deposit required of me/us in relation to any of my/our account including without limitation deposit for purchase contracts made/transacted by me/us and/or on my/our behalf;
16. agree to pay to you all charges that may be imposed by you absolutely in relation to any debit balance outstanding in my/our account(s) with you including without limitation interest at such rate as you shall determine, handling fee, administrative and service charges;
17. shall upon notice from you, forthwith pay all stamp duties, fees, costs, charges and expenses in connection with or incidental to this Application and agreements made thereunder, and all solicitors fee (on solicitors and clients basis), bank or financial institution or your administrative charges and expenses, and all charges imposed by the Appropriate Authorities having jurisdiction over my/our accounts with you;
18. if at any time you shall determine that I/we shall enter into additional legal arrangement with you or execute additional legal documents with you, then you may forthwith require me/us to enter or execute the same at my/our sole costs and expenses;
19. authorise you to charge, mortgage, pledge, hypothecate and/or deposit with any bank, financial institution or person as security in any manner or for any reason whatsoever any securities purchased/deposited without prejudice to my/our right to recover the same within reasonable time after giving you notice of my/our intention to take possession those securities by me/us in my/our margin account;
20. agree that this trading account together with all my/our other trading accounts (subject to such maximum number of trading accounts that the Company at its discretion may from time to time allow) with different Dealer's Representatives in the Company may be linked to my/our one CDS Account;
21. agree that though my/our one CDS account may be linked to my/our various trading accounts with the Company, should I/we decide to contra my trades, I/we shall only conduct my/our sale transaction through the same Dealer's Representative from whom I/we purchased the securities in question. In the event of my/our failure to abide by the aforesaid rule, the Company is authorised to nett-off my/our sale transaction through the 2<sup>nd</sup> Dealer's Representative against my/our purchase transaction through the 1<sup>st</sup> Dealer's Representative. In such circumstances, I/we further agree that the Company is at liberty to impose a service charge at a rate to be fixed by the Company which may be varied from time to time (with or without notice to me/us). I/We agree and authorise the Company to deduct the aforesaid service charge from the sale proceeds. Any shortfall between the purchase price and sale proceeds shall be a debt due from me/us and without demand, be forthwith payable to the Company;
22. irrevocably and unconditionally authorise the Company with or without notice apply and/or transfer any of my/our securities, assets, cash or the other property relating to Non-margin or Margin Agreement made between us and to utilise my/our sale proceeds, contra gains or any sum standing to my/our credit in any trading accounts held in the Company to settle any outstanding purchases or debt to the Company or its related companies whether under any of my/our account(s) or other account(s) for which I/we may be a guarantor in any manner the company deems fit and whether the transaction are effected on the same Exchange or different Exchanges and whether effected under the same trading account or different trading accounts maintained at the Company. I/We acknowledge and agree that all payments shall be deemed received by the Company only upon issuance of the Company's official receipts. Should I/we make payment by cheques, same must be crossed "A/C Payee Only" and issued in favour of the Company;
23. in the event any of my/our liabilities whether liquidated or otherwise remain outstanding and whether such liabilities are in respect of any money payable hereunder or otherwise howsoever due from me/us to you, you are hereby authorised to realise or sell any of my/our securities or assets in order to set-off, reduce or settle such liabilities or part thereof;
24. expressly and unconditionally authorise the Company at its absolute discretion without notice to me/us, sell and/or otherwise dispose of all or any securities standing to the credit of any of my/our CDS account(s) and/or withhold at your sole and absolute discretion any of my/our securities including paid shares in my/our account and any securities in my/our CDS and refuse to act on my/our instructions to effect transfer/withdrawal of securities held in any of my/our CDS account(s) in the event that there is an outstanding debt or purchases due to the Company whether due under any of my/our account(s) or other account(s) for which I/we may be a guarantor. In the event that there is a sale or disposal in the aforesaid manner, the Company is irrevocably authorised to utilise the sale proceeds to settle the outstanding debt due to the Company whether due under my/our account(s) or other account(s) for which I/we may be a guarantor in any manner and order as the Company deems fit. The term "outstanding debt" wherever mentioned shall mean the principal debt, interest payable including compound interest and any other charges which shall also include levies, fines or penalties whether imposed by the Company or otherwise;

25. agree that the Company may suspend any or all of my/our trading account(s) and other account(s) for which I/we may be a guarantor maintained anywhere with the Company which includes all company branches in the event that there is an outstanding debt due to the Company whether due under my/our account(s) or other account(s) for which I/we may be a guarantor or for any other reason whatsoever that the Company may deem fit and I/we further agree that I/we shall have no claims whatsoever against the Company whether in contract or in tort for any losses suffered by me/us as a result of the Company exercising its rights under this Clause;
26. agree to pay the Company without demand, all outstanding debt arising from transactions effected on my/our trading account including legal fees incurred by the Company on a solicitor and client basis in the enforcement of any of my/our obligations and liabilities in connection therewith. I/We further agree to pay interest (including compound interest) at the rate fixed by the Company which may be varied from time to time (with or without notice to me/us). I/We also expressly agree that such rate of interest shall continue to apply to post-judgment debts;
27. agree that in the absence of manifest error, an unsigned computer generated statement of account or a manually prepared statement of account duly signed by any of the Company's authorised staff showing my/our indebtedness to the Company shall be binding and conclusive evidence in any legal proceedings against me/us;
28. agree that all orders for sale and purchase of the securities whether made orally, through telephone, fax or any other electronic media without further confirmation, shall be conclusively binding on me/us and I/we acknowledge and understand that not all trades will be executed concurrently with the order issued by me/us and that quoted prices may change before the order is executed due to market circumstances. I/We further agree that all orders issued by me/us whether in reliance on investment information obtained from the Company, the Company's authorised agents or Dealer's Representatives(s) or otherwise are at my/our own sole risk and that I/we shall have no claims whatsoever against the Company whether in contract or in tort for any losses incurred by me/us as a result thereof;
29. declare that posting by ordinary mail or communication by electronic means whether through the Internet, facsimile or telex or telegraph by the Company to me/us of any entitlements in relation to the securities in my/our CDS Account, contract notes, contra statements, cheques, notices, correspondences and/or other documents shall be deemed to have been duly received by me/us if sent by the Company to the postal or electronic address last known to the Company (notwithstanding its subsequent return by the post office or the system administrator of the relevant Internet service provider) unless I/we have otherwise authorised the Company in writing to release the aforesaid documents to my/our Dealer's Representative or agents in which the receipt by my/our Dealer's Representative or agents shall be deemed received by me/us;
30. that any notice given may take any form including without limitation to any electronically produced unsigned notice printed on the statement of account, contract notes, contra statements, and any other documents sent by the Company to me/us or printed on their over-leaves or a notice placed at the Company's premises or other means deemed appropriate by the Company and I/we further agree that such notice shall be deemed sufficient notice to me/us under this Clause;
31. undertake at all time to fully indemnify and keep the Company fully indemnified against all actions, suits, proceedings, penalties, fees, fines, debts, expenses, claims, legal fees, interest, demands, costs, charges, losses or damages which the Company may sustain or suffer or incur without limitation to the agreement, undertaking and covenants herein and be liable as a result of or in consequences of the Company's action pursuant to any instructions given by me/us and/or my/our default of the terms and conditions contained herein. Your right of indemnity conferred herein shall continue in full force and effect and shall continue to subsist thereafter notwithstanding the suspension, termination or closure of my/our trading account;
32. acknowledge that my/our account is subject to periodic review and that the Company is entitled at your absolute discretion at any time suspend and/or close or terminate my/our account with or without giving any reason whatsoever;
33. wherever the context herein admits, the singular shall also include the plural and vice versa. References to the masculine gender shall also include the feminine and neuter genders. Words applicable to natural persons shall include any bodies, companies, co-operatives and societies. The term "securities" employed herein shall bear the same definition as referred to in the Securities Commission Act, 1993. The term "Company" herein shall also include the principal office and all company branches;
34. that I/we have no claim whatsoever against you for any payments in respect of securities sold by me/us in the event I/we had authorised my/our dealer's representative or any other person to collect payments on my/our behalf from you;
35. confirm that I/we am/are solely responsible for conducting, monitoring, managing and otherwise dealing with my/our accounts and I/we hereby acknowledge that where trading is carried out through my/our appointed dealer's representative, you are not responsible for any actions of my/our dealer's representative. All transactions done through my/our dealer's representative shall be at my/our sole risk and the indemnity under the foregoing provisions shall apply in your favour;
36. will forthwith notify you in writing of any change in address on my/our part. Should I/we fail to notify you or should you fail to receive my/our notification, any notice send by you to the address last known to you shall be deemed to be sufficiently given. Any notice given by you shall be deemed effected upon the expiry of three (3) days from the date of posting by ordinary post;
37. you are authorised to disclose any information on me/us to any relevant authorities;
38. you are authorised to vary, modify and/or amend these terms and conditions at any time as you shall think fit without further references to me/us and I/we agree that any variation modification or amendment shall be binding on me/us;
39. agrees that in the event that the Company fail to comply with any of the Bursa Malaysia Securities Berhad's rules, the Company will still have the right to sue me/us and I/we shall not use that as a defence against me/us;
40. confirm that I/we understand the full contents herein and the risk and obligations associated with trading in securities. I/We also confirm that I/we have full authority to enter into this contract and that any deficiency in my/our authority and/or legal standing shall not absolve me/us from my/our liabilities stated herein; and

41. if any of the provision herein declared illegal, void, prohibited or unenforceable in any respect under any law, the illegality, voidability, prohibition or unenforceability shall not invalidate or

render illegal, void or unenforceable any other terms, conditions, covenants or undertakings herein contained.

\_\_\_\_\_  
\*\* Signature of Applicant

\_\_\_\_\_  
Signature of Witness

Name : \_\_\_\_\_

Name : \_\_\_\_\_

NRIC No : \_\_\_\_\_

NRIC No : \_\_\_\_\_

Date : \_\_\_\_\_

Date : \_\_\_\_\_

**CYBERTRADE ACCOUNT**

Service Required

- FULL VERSION**      Stock Info, News, Research, A/C Info, Online Trading and Messaging
- BASIC VERSION**      ( View Only ) Stock Info, News and Research only

In consideration of A.A. Anthony Securities Sdn Bhd extending the Cybertrade Service to me/us, I/we hereby declare that:

1. this application is subject to the approval of the Company without limitation to the above Covenants and Undertakings, which shall have the sole discretion to reject or to impose such additional conditions or restrictions as it may deem necessary;
2. I/we shall subscribe the A. A. Anthony Cybertrade Service for a minimum of one (1) year and I/we will abide by all the terms and conditions stipulated in the Terms and Conditions of the A. A. Anthony Cybertrade in force from time to time;
3. the Company may from time to time vary the Terms and Conditions of the A. A. Anthony Cybertrade and the charges at its absolute discretion with or without notifying me/us;
4. I/we understand and agree that all costs and charges incurred by me/us in using A. A. Anthony Cybertrade shall be borne by me/us and I/we authorised the Company to debit my/our account with you for charges (if any) without refund;
5. I/we understand and agree that the Company reserves the right to reject, withdraw or terminate my/our application or usage of the A. A. Anthony Cybertrade without notice and assigning any reason thereto; and
6. I/we have received a copy of the Terms and Conditions of the A. A. Anthony Cybertrade and confirm that I/we have read, understood and accepts all the terms and conditions.

\_\_\_\_\_  
\*\* Signature of Applicant

\_\_\_\_\_  
Signature of Witness

Name : \_\_\_\_\_

Name : \_\_\_\_\_

NRIC No : \_\_\_\_\_

NRIC No : \_\_\_\_\_

Date : \_\_\_\_\_

Date : \_\_\_\_\_

\*\* If the Applicant is a corporation, please sign as per Board Resolution and affix the company rubber stamp or common seal

**LETTER OF AUTHORISATION**

The following is an **IMPORTANT** document. In considering whether to authorise anyone, the Applicant should be aware that such person are acting as his/their agents and this action would give rise to risks and legal consequences of which the Applicant must be prepared to accept. The Applicant **SHOULD NOT COMPLETE** the letter of authorisation below if the Applicant have not been informed of or does/do not fully understand the consequences. The Applicant is advised to obtain competent legal advice on their rights and obligations and clarify any doubts they may have before naming their representative(s).

I/We, the Applicant, having read the above, hereby authorise and empower the following person(s) (hereinafter collectively called "the Representative(s)") whose particulars are stated below:-

\* my Dealer's Representative

**NAME**

**NRIC NO.**


- (a) to give instruction orally or in writing for settlement of my/our own account;
- (b) to give written instruction for transfer of share in my/our CDS account in your nominee's company to another CDS account;
- (c) to give written instruction for withdrawal of cheques and to receive cheques issued in my/our favour;
- (d) to give written instruction for subscription of entitlement rights issues and to authorise your company to debit my/our account for the said subscription together with handling charges;
- (e) to give written instruction for closing of trading account and/or margin account and/or any other account I/we may have with your company;
- (f) to act on my/our behalf to collect cheques, CDS documentation and such other relevant documents; and
- (g) to carry out all and other matters in relation to this trading account in accordance with the Company's internal policy and procedures.

I/We hereby also declare that this authorisation shall bind my/our Representative(s) and successors-in-title and shall remain valid until the Company has received my/our written revocation or fresh Letter of Authorisation signed by me/us.

I/We understand that this authorisation could give rise to risks of loss, misappropriation and/or mishandling and do hereby undertake full responsibility for the same. I/We declare that you shall not held liable or responsible to me/us for any loss or damage arising as a result of any act, neglect, omission or negligence of the Representatives(s) or any of them in their execution of their powers under this Letter of Authorisation. I/We will not make any claim against you for all and any matters relating to this Letter of Authorisation.

I/We shall at all times fully and effectively indemnify the company and keep the company fully and effectively indemnified against any liabilities, claims, actions, suits, proceedings, demands, losses, charges, penalties, fees, fines, costs and expenses whatsoever made, taken, bought, instituted, imposed, suffered, incurred, prosecuted or payable in any way howsoever (including and without limitation to negligence, innocence or fraudulence on your part or on the part of your agents, employees or servants) against you or by you to any person arising out of or incidental to this Letter of Authorisation.

I/We also agree that the Company has the absolute right and discretion not to act on this authorisation whereupon I/we shall absolve the Company of all liabilities and claims as a result of it exercising such right and discretion.

Signed By :

\_\_\_\_\_ 

\_\_\_\_\_ 

*\*\*Signature of Applicant*

*Signature of Witness*

Name  
NRIC No  
Address:

Name  
NRIC No  
Address:

\* Delete if not appropriate  
\*\* If the Applicant is a corporation, please sign as per Board Resolution and affix the company rubber stamp or common seal

---

**DECLARATION BY DEALER'S REPRESENTATIVE**

---

1. Having assessed the Applicant's financial position, experience in trading investment objectives, I hereby request that the Applicant be allowed to open and operate the trading account with the Company and allow me to act as the Dealer's Representatives for the said Applicant in accordance with the terms and conditions stated herein.
2. I hereby confirm that:
  - a) I have explained to the Applicant and the Applicant has understood the terms and conditions herein, the contents of the Letter of Authorisation, Structured Warrants Risk Disclosure Statement and the risks and obligations associated with the trading in securities and the usage of the Company's electronic services (where applicable); and
  - b) to the best of my knowledge and belief, all information given by the Applicant are true and correct and the Applicant has not withheld any material facts and that the Applicant has been assessed as per Part 14 of the Company's Policies.
3. I shall keep you fully indemnified against any losses, damages, debts, interest charges and all other costs and expenses incurred and suffered by you in relation to the trading account of this Applicant.



(Signature of Dealer's Representative)

Name : \_\_\_\_\_ Date : \_\_\_\_\_

---

**STRUCTURED WARRANTS RISK DISCLOSURE STATEMENT**


---

**STRUCTURED WARRANT**

1. This statement is provided to the Applicant in accordance with the directive of the Bursa Malaysia Securities Berhad.
2. The purpose of this statement is to inform the Applicant that risk of loss in purchasing structured warrants can be substantial. The Applicant should therefore assess if the purchase of structured warrants is suitable for them in light of their financial circumstances. In deciding whether to purchase structured warrant, the Applicant should be aware of the following :
  - (a) the purchase of a structured warrant is subject to the risk of losing the full purchase price of the structured warrant and all transaction costs;
  - (b) in order to realise any value from a structured warrant, it is necessary to sell the structured warrant or exercise the structured warrant on or before their expiry date;
  - (c) under certain conditions, it may become difficult to sell the structured warrant;
  - (d) upon exercise of the structured warrant, the issuer may settle its obligations via actual delivery of the underlying assets, in cash or a combination of both depending on the terms of the issue of the structured warrant;
  - (e) placing of contingent orders, such as "stop-loss" or "stop-limit" orders, will not necessarily limit the Applicant's losses to the intended amount. Market conditions may not make it possible to execute such orders; and
  - (f) the high degree of leverage that is obtainable from structured warrant because the small initial outlay can work against or for the Applicant. The use a of leverage can lead to large losses as well as gain.
3. This brief statement cannot disclose all the risks and other aspects of purchasing structured warrants. The Applicant should therefore carefully study the terms and conditions of any structured warrant before he decides to purchase. If the Applicant is in doubt in relation to any aspect of this statement or the terms of a structured warrant, he should consult his Dealers Representative.

**ACKNOWLEDGEMENT OF RECEIPT OF THIS  
RISK DISCLOSURE STATEMENT**

I/We acknowledge that I/we have received a copy of the **STRUCTURED WARRANTS RISK DISCLOSURE STATEMENT** and understand its contents which have been explained to me/us.

\*\* Signature of Applicant : \_\_\_\_\_  Client Code : \_\_\_\_\_  
Name : \_\_\_\_\_ Remisier : \_\_\_\_\_  
NRIC No : \_\_\_\_\_ Date : \_\_\_\_\_

\*\* If the Applicant is a corporation, please sign as per Board Resolution and affix the company rubber stamp or common seal



**DECLARATION AS PER BANK NEGARA MALAYSIA'S FOREIGN EXCHANGE ADMINISTRATIVE POLICY**

To : **A.A. Anthony Securities Sdn Bhd** Date: \_\_\_\_\_  
Name of Client : \_\_\_\_\_  
NRIC No / Passport No / Company Reg No : \_\_\_\_\_  
Client Account No : \_\_\_\_\_  
\*\* Name(s) & Designation(s) : \_\_\_\_\_  
of Authorised Signatory (ies) : \_\_\_\_\_

I/We hereby declare that I/we have been briefed and understand that Multi-Currency Securities that are listed on Bursa are foreign currency assets, thus these securities fall within the purview of Bank Negara Malaysia's Foreign Exchange Administrative Policy. I/We also understand that the same policy applies for my/our trading in securities listed in foreign Exchanges. Henceforth, all rules pertaining to investment in foreign currency assets are applicable.

I/We do solemnly declare that

1. I/we am/are a \* resident/ non resident;
2. I/we \*have domestic ringgit borrowing(s)/ do not have domestic ringgit borrowing(s);
3. I/we understand that under Bank Negara Malaysia's Foreign Exchange Administrative Policy
  - (i) Residents are defined as :
    - Citizens of Malaysia (excluding persons who have obtained permanent resident status of a territory outside Malaysia and are residing abroad);
    - Non-citizens who have obtained permanent resident status in Malaysia and are residing permanently in Malaysia; or
    - Persons, whether body corporate or unincorporated, registered or approved by any authority in Malaysia.
  - (ii) Domestic ringgit borrowings refer to any ringgit advances, loans, trade financing facilities, hire purchase, factoring facilities with recourse, financial leasing facilities, guarantee for payment of goods, redeemable preference shares or similar facilities in whatever name or form, except:
    - Trade credit terms extended by suppliers for all types of goods and services;
    - Forward foreign exchange contracts entered into with licensed onshore banks;
    - Performance guarantees and financial guarantees;
    - One personal housing loan and one vehicle loan obtained from Residents;
    - Credit card and charge card facilities;
    - Operational leasing facilities;
    - Factoring facilities without recourse; and
    - Inter-company borrowings within a corporate group in Malaysia.
4. I/we shall consent to abide with and be bound by the provision of the Exchange Control Act 1953 and Bank Negara Foreign Exchange Administrative Policy and any amendments from time to time with regards to any transaction or payments to or from my/our relevant trading account(s);
5. I/we shall be fully responsible to monitor my/our share trading, limits and ensure compliance of my/our relevant trading account(s) with the Exchange Control Act 1953 and Bank Negara Foreign Exchange Administrative Policy and any amendments from time to time;
6. the information given in this form is true and correct; and
7. if my/our domestic ringgit borrowings status should change, it is my/our responsibility to notify the Company in writing and update the Declaration.

\*\* SUBSCRIBED AND SOLEMNLY )  
Declared by the abovenamed Applicant )  
this ..... day of ..... 20..... )  
at..... )

\_\_\_\_\_  
*Signature of Applicant*  
  
\_\_\_\_\_  
*Signature of Witness*

Before me,

\*\*\* Name of Witness : \_\_\_\_\_  
NRIC No. : \_\_\_\_\_

\* Delete whichever is not appropriate  
\*\* If the Applicant is a corporation, please sign as per Board Resolution and affix the company rubber stamp or common seal  
\*\*\* Insert Name and NRIC No of witness who must be the Dealer's Representative assigned, a member of the Management or a Notary Public if the Applicant is residing outside Malaysia

