

# AMANAHRAYA

## INVESTMENT MANAGEMENT

AmanahRaya Investment Management Sdn Bhd (309646-H)  
 Level 7&8, Wisma AmanahRaya, 2, Jalan Ampang, 50508 Kuala Lumpur  
 Tel (603) 2687 5200 Fax (603) 2687 5300  
 Please read the latest Prospectus / Information Memorandum and its Supplementary Prospectus or Information Memorandum (if any) and Terms and Conditions as specified overleaf before completing this form.

Date  
Received

## FUND APPLICATION FORM (INDIVIDUAL)

Account No:

Please complete this form in BLOCK letters and tick (√) where applicable. Any alteration must be countersigned.

New Account  ARB Group Staff  Fund Account No. (if already have an account): \_\_\_\_\_

### A. PARTICULARS OF INDIVIDUAL APPLICANT (Principal Holder)

NRIC (New)  -  -  EPF No

Other ID Type   Old IC  Army ID  Birth Certificate  Passport  Police ID

Name (as per NRIC)

Salutation /Name Title  Gender  Male  Female

Residential Address  Postcode

Mailing Address  Postcode   
*(If different from residential address)*

Town  State

Country  Date of Birth (dd-mm-yyyy)  -  -

Nationality  Religion

Education  Race  Malay  Chinese  India  Others

Telephone No. (Home)  -  H/P  -  Email: \_\_\_\_\_

### B. EMPLOYMENT PARTICULAR OF PRINCIPAL HOLDER

Name of Employer / Name of Company

Company Address

Occupation / Designation

Telephone No.  -  Fax No.  -

Sector  Accounting / Finance  Educational / Training  General Administration / Supervisory  Professional  
 Consulting  Engineering  Government / Military  Research  
 Customer Service  Executive / S. Mgmt.  Manufacturing / Operations  Student  
 Unemployed  Self-Employed : \_\_\_\_\_ (Nature of Business)  Others : \_\_\_\_\_

Annual Salary  Less Than 30,000  30,001 – 60,001  60,001 – 100,000  No Income  
 100,001 – 150,000  150,001 – 200,000  Above 200,001

Are you a US permanent resident?  Yes  No Do you have a US Taxpayer Identification Number (TIN)?  Yes  No

### C. PARTICULARS OF JOINT HOLDER (IF ANY) \* Please provide a photocopy of NRIC/Passport /Birth Certificate

NRIC (New)  -  -  NRIC (Old)/Passport

Name

Relation to Principal Holder  Date of Birth (dd-mm-yyyy)  -  -

Gender  Male  Female Occupation

Tel No (Home/HP)  -  E-mail : \_\_\_\_\_

# AMANAHRAYA

## INVESTMENT MANAGEMENT

AmanahRaya Investment Management Sdn Bhd (309646-H)  
 Level 7&8, Wisma AmanahRaya, 2, Jalan Ampang, 50508 Kuala Lumpur  
 Tel (603) 2687 5200 Fax (603) 2687 5300

# FUND APPLICATION FORM (INDIVIDUAL)

### D. EMPLOYMENT PARTICULAR OF JOINT HOLDER

**Name of Employer / Name of Company**

**Company Address**

**Occupation / Designation**

**Telephone No.**  -  **Fax No.**  -

**Sector**

<input type="checkbox"/> Accounting / Finance	<input type="checkbox"/> Educational / Training	<input type="checkbox"/> General Administration / Supervisory	<input type="checkbox"/> Professional
<input type="checkbox"/> Consulting	<input type="checkbox"/> Engineering	<input type="checkbox"/> Government / Military	<input type="checkbox"/> Research
<input type="checkbox"/> Customer Service	<input type="checkbox"/> Executive / S. Mgmt.	<input type="checkbox"/> Manufacturing / Operations	<input type="checkbox"/> Student
<input type="checkbox"/> Unemployed	<input type="checkbox"/> Self-Employed : _____ (Nature of Business)		<input type="checkbox"/> Others : _____

**Annual Salary**

<input type="checkbox"/> Less Than 30,000	<input type="checkbox"/> 30,001 – 60,001	<input type="checkbox"/> 60,001 – 100,000	<input type="checkbox"/> No Income
<input type="checkbox"/> 100,001 – 150,000	<input type="checkbox"/> 150,001 – 200,000	<input type="checkbox"/> Above 200,001	

Are you a US permanent resident?  Yes  No

Do you have a US Taxpayer Identification Number (TIN)?  Yes  No

### E. INVESTMENT INSTRUCTION

**Authority to Operate Account**  Principal holder to sign  Both to sign  Either one to sign

**Income Distribution**  Reinvest  Payout

F. INVESTMENT DETAILS		Mode of Payment
<b>FUND</b>	<b>INVESTMENT AMOUNT (RM)</b>	<input type="checkbox"/> Online Transfer <input type="checkbox"/> Third Party Transfer
<input type="text"/>	<input type="text"/>	<input type="checkbox"/> Cheque / Banker's Cheque (Cheque No) _____
<input type="text"/>	<input type="text"/>	<b>Payout</b>
<input type="text"/>	<input type="text"/>	Bank A/C No: _____
<input type="text"/>	<input type="text"/>	Bank: _____

### G. GENERAL DECLARATION AND SIGNATURE(S)

I/We have read and understood the prospectus/information memorandum and supplementary prospectus (es)/information memorandum (if any) for the Fund(s) to be invested in and agree to be bound by the terms and conditions set out overleaf for every transaction with AmanahRaya Investment Management Sdn Bhd in respect of the account applied for hereunder. I/We acknowledge that I/we have received a copy of the Unit Trust Loan Financing Risk Disclosure Statement as attached with this application form and understand its contents. I/We acknowledge and accept that AmanahRaya Investment Management Sdn Bhd has absolute discretion to rely on this confirmation from me/us and I/we undertake to indemnify and hold harmless AmanahRaya Investment Management Sdn Bhd, its employees and agents against all costs, expenses, loss of liabilities, claims and demands arising out of this confirmation.

I/We acknowledge that the Manager, its directors and/or employees may periodically hold interest in the securities, related securities or sectors mentioned herein. In the unlikely event that the Manager faces conflicts in respect of its duties to the investment funds that it manages, the Manager is obliged to act in the best interest of all its investors and will seek to resolve any conflict fairly. The Manager has in place a policy for mitigating and managing conflicts of interest contained in its Compliance Policy Manual, which regulates its employees' securities dealings. An annual declaration of securities trading is required of all employees to ensure that there is no potential conflict of interest between the employees' securities trading and the execution of the employees' duties to the Manager and customers of the Manager.

I/We acknowledge that all investments involve some degree of risks and I/ We should be aware of the risks associated with the Funds. I/ We further acknowledge that I should consult my professional adviser(s) for a better understanding of the risks.

I/ We understand and aware on the fees and charges that will incur directly or indirectly when investing with the Manager.

I/ We understand on the statement made by the Manager on conflict of interest, risks associated with the investment, fees and charges and accept that the Manager has absolute discretion to rely on this confirmation from me and I undertake to indemnify and hold harmless the Manager, its employees against all costs, expenses, loss of liabilities, claims and demands arising out of this confirmation.

The creation of NAV will only be made upon receiving the completed Form from clients.

\_\_\_\_\_  
Signature of Principal Holder

\_\_\_\_\_  
Signature of Joint Applicant (if applicable)

\_\_\_\_\_  
Date

# AMANAHRAYA

## INVESTMENT MANAGEMENT

AmanahRaya Investment Management Sdn Bhd (309646-H)  
Level 7&8, Wisma AmanahRaya, 2, Jalan Ampang, 50508 Kuala Lumpur  
Tel (603) 2687 5200 Fax (603) 2687 5300

## FUND APPLICATION FORM (INDIVIDUAL)

### AMANAHRAYA INVESTMENT MANAGEMENT (ARIM) OFFICE / DISTRIBUTORS USE ONLY

Agent Name  Agent Code

Agent Signature  Branch Stamp  Branch Code  Date of Payment  -  -

### For HEAD OFFICE / BRANCH USE

Received by/Date/Time  Verified by/Compliance/Date  Entered by/Date  Checked by/Date  Approved by/Date   
(ESMD / SESMD / AMSMD) (Compliance) (EOF / SEOF) (AMOF / MOF) (MOF / SMOF / COO / CEO)

### UNIT TRUST LOAN FINANCING RISK DISCLOSURE STATEMENT

#### Investing in a unit trust scheme 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, attitude 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 that you put in as deposit or down payment) the greater the potential for losses as well as gains.
- 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 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 instead. Whether you eventually realize 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.

The 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 the 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.

#### ACKNOWLEDGEMENT OF RECEIPT OF RISK DISCLOSURE STATEMENT

I/we acknowledge that I/we have read this Unit Trust Loan Financing Risk Disclosure and understand its contents.

Signature of Principal Holder

Full Name :

Date :

Signature of Joint Holder

Full Name :

Date :

### TERMS AND CONDITIONS

#### CLIENT IDENTIFICATION

In compliance with the Guidelines on prevention of Money Laundering & Terrorism Financing for Reporting Institution in Capital Market are issued pursuant to section 158 of the Securities Commission Act 1993, applicants are required to submit the following:

#### (Investment in Retail Funds)

Agents/Staff Check	Item
	Application Form
	Investor Suitability Assessment Form
	Consent and Privacy Notice (PDPA form)
	Common Reporting Standard and Foreign Account Tax Compliance Form (CRS – FATCA Form)
	KYC Form
	Slip payment or transfer or TT

#### (Additional Documents Required For Investor)

Agents/Staff Check	Category Of Investor	Item
	Individual	Photocopy of NRIC or Passport
	Society/ Association	Cert. of Registration & Committee Resolution to approve investment
	Company (Malaysian)	A CTC copy of Board Resolution / Extract Minutes to approve investment, Memorandum of Association, Form 9, Form 49, Section 58, specimen signature(s) of the authorised signatory(ies) & Directors' photocopy IC
	Company (Foreign)	A CTC copy of Form 13, Form 49, Board Resolution to approve investment, Memorandum of Association, specimen signature(s) of the authorised signatory(ies) & Directors' photocopy IC
	Government Link Company	A CTC copy of Board Resolution / Extract Minutes to approve investment, Memorandum of Association, Form 9, Form 49, Section 58, specimen signature(s) of the authorised signatory(ies) & Directors' photocopy IC
	Cooperative	Cert. Of Registration & Committee Resolution to approve investment
	Pension Fund	Trustee's Resolution to approve investment
	Partnership	Cert. Of Registration & Committee Resolution to approve investment
	Sole-Proprietor	Business Registration

Noted: Agent/Staff to confirm that the above documents are submitted.

INVESTOR SHOULD BE AWARE OF THE FEES AND CHARGES THAT HE WILL INCUR DIRECTLY OR INDIRECTLY WHEN INVESTING IN THE FUND

# AMANAHRAYA

## INVESTMENT MANAGEMENT

AmanahRaya Investment Management Sdn Bhd (309646-H)  
Level 7&8, Wisma AmanahRaya, 2, Jalan Ampang, 50508 Kuala Lumpur  
Tel (603) 2687 5200 Fax (603) 2687 5300

## FUND APPLICATION FORM (INDIVIDUAL)

### PAYMENT TO THE MANAGER

Payment may be in the form of crossed Cheque / Bank Draft / Cashier's order / Postal Order / Money Order/ TT made payable to AmanahRaya Investment Management Sdn Bhd.

#### For Conventional

Account Holder	AmanahRaya Investment Management Sdn Bhd - A/C 1
Bank	Malayan Banking Berhad
Account Number	514598-221822

#### For Shariah

Account Holder	AmanahRaya Investment Management Sdn Bhd - A/C 2
Bank	Malayan Banking Berhad
Account Number	564593-221837

### APPLICATION & ACCEPTANCE

- Application can be made through AmanahRaya Investment Management Sdn Bhd, Collecting Points or authorised agents (UTC) after completing this Form and attaching a copy of NRIC / Passport or other acceptable identification, where applicable.
- For application received or deemed to have been received by the Manager before **4.00p.m (Retail Fund)** on any Business Day, units will be issued at selling price of the relevant Fund calculated at the end of the Business day (forward pricing) on which the applications were received (Please refer to the Prospectus / Information Memorandum on forward pricing).

### TRANSACTIONS STATEMENT / REPORT

- A Transaction Statement will be issued to the unit holder as a record of each and every payment or transaction made.
- Semi-Annual and Annual Transaction Statement will be issued to the unit holder on every half yearly and financial year end of the Fund.

### ELECTRONIC MEDIUM AS THE DEFAULT MODE OF COMMUNICATION

- The Manager shall send any and all statements, notices, fund reports and such other documents as determined by the Manager from time to time (collectively referred to as "Documents") in relation to unit holders' investments via electronic means by default, to the extent as permitted by the applicable laws.
- The Documents shall be sent to the last e-mail address and/or contact details notified by the unit holders in the Manager's record.
- Notwithstanding of the above, should you wish to continue receiving physical copy of the Documents, you may notify the Manager in writing at any time.

### AUTHORITY TO OPERATE ACCOUNT

- The authorised signatory(ies) will be the only person recognised by the Manager as having the authority to effect transactions on repurchase, transfer, switching and any other request or carry out any instructions in the operations of the account.

### COOLING-OFF PERIOD

- Only applicable to any person investing for the first time in any unit trust fund purchase from the Manager and excludes corporations / institutions, staff of the Manager, Amanah Raya Berhad and its group of companies and persons registered to deal in unit trust fund.
- Unit holder has the right, within six (6) business days of the receipt by the Manager of their application for units, to call for a withdrawal of their investment. A full refund of the money initially invested will be refunded to unit holder (upon bank clearance of payment) within 7 business days of receipt of the application for cooling-off by the Manager.

### RIGHTS OF MANAGER

- The Manager reserves the right to accept or reject any application in whole or part thereof without assigning any reasons.
- 10 business days delay verification will be applied for any incomplete forms for verification purposes. Any unfulfill case, the management has the right to reject on transaction process.
- The Manager shall refund the payment to the unsuccessful application within seven (7) business days from date of rejection.

### RIGHTS TO REPURCHASE

- The Manager has the right to repurchase all units of a unit holder in the event such repurchase is necessary to ensure that the Manager is in compliance with relevant laws.
- The Manager shall provide prior notification to the unit holders of such repurchase.

### ACCEPTED PAYMENT METHOD

- Any 3rd party deposit, will require proof of relationship between the depositor and the client such as marriage certificates, birth certificates, IC of the Depositor and etc. The KYC form for 3rd party depositor together with the Due Diligence & Evaluation Form for 3rd party depositor from Compliance are also to be completed by Sales & Marketing Division.
- For any payment via banker's cheque, transaction slip or application form from the issuance bank is required.
- For any bank online transfer or bank telegraphic transfer (TT), the full name of the client is required in the transaction slip.
- For any cheque deposit machine method, the snapshot of physical cheque should be required to verify the signature with the account opening form.

### DISPUTE RESOLUTION

If you are dissatisfied with the outcome of the internal dispute resolution process, you may refer your dispute to Securities Industry Dispute Resolution Center (SIDREC) :-

- (a) via phone to : 03 - 6204 8999
- (b) via fax to : 03 - 6204 8991
- (c) via email to : [aduan@seccom.com.my](mailto:aduan@seccom.com.my)
- (d) via letter to : Consumer & Investor Office  
Securities Commission Malaysia  
No 3 Persiaran Bukit Kiara  
Bukit Kiara  
50490 Kuala Lumpur