

Investment Documentation Checklist

Transaction Date :
 CIF No. :
 Product Name :
 Customer Name :

Check for Completeness of Documentation (New Account – Subscription)

* Please indicate N/A if the form is not required / applicable

No	Forms and Documentation	Maker Individual/ Non-Individual	Checker																					
New to Bank / New to product only																								
1	Account Opening Form - Individual & Corporate Photocopy of NRIC & Passport and utilities bill (non-individual: directors / signatories)																							
2	Investment Application Form																							
3	Foreign Account Tax Compliance Act ("FATCA")																							
4	Declaration of Investor & Letter of Intent																							
5	Signature Specimen																							
6	Investment Master Agreement – (Sign relevant fields & initial every page) Note: Two copies of agreement to be signed																							
7	Investor Suitability Assessment Form - Dated: Note: Risk Profile expires every 12 months and ISA must be re-submitted																							
8	Declaration on investment in foreign currency assets by Resident																							
9	Certified true copies of company's constitutional documents <table border="1" style="margin-top: 10px;"> <thead> <tr> <th>Malaysia Onshore form</th> <th>Labuan offshore form</th> <th>Description</th> </tr> </thead> <tbody> <tr> <td>Form 8</td> <td></td> <td>Certificate Of Incorporation of Public Co.</td> </tr> <tr> <td>Form 9</td> <td>Form 7</td> <td>Certificate Of Incorporation of Private Co.</td> </tr> <tr> <td>Form 13</td> <td>Form 11</td> <td>Change of company name</td> </tr> <tr> <td>Form 24</td> <td>Form 13</td> <td>Return of allotment of share</td> </tr> <tr> <td>Form 44</td> <td>Form 23</td> <td>Notice of situation of registered office</td> </tr> <tr> <td>Form 49</td> <td>Form 2</td> <td>Register of director, manager, secretarial and change of particulars</td> </tr> </tbody> </table> <ul style="list-style-type: none"> <input type="checkbox"/> Memorandum and Articles of Association <input type="checkbox"/> Latest Annual Return <input type="checkbox"/> Certificate of Incumbency / Letter of Information / Letter of Good Standing (latest 6 months) Note: For company incorporated other than Malaysia or Labuan may provide documents base on above description or its equivalent	Malaysia Onshore form	Labuan offshore form	Description	Form 8		Certificate Of Incorporation of Public Co.	Form 9	Form 7	Certificate Of Incorporation of Private Co.	Form 13	Form 11	Change of company name	Form 24	Form 13	Return of allotment of share	Form 44	Form 23	Notice of situation of registered office	Form 49	Form 2	Register of director, manager, secretarial and change of particulars		
Malaysia Onshore form	Labuan offshore form	Description																						
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Form 44	Form 23	Notice of situation of registered office																						
Form 49	Form 2	Register of director, manager, secretarial and change of particulars																						
10	Board Resolution																							
Subscription / Top up of Investment																								
1	Transaction Form																							
2	Information Memorandum and Pricing Supplement - No signature required, to be given to customer only																							
3	W-8BEN / W-8BEN E form (Applicable to securities which pay US source FDAP income; one W-8BEN form per investor)																							
Redemption of Investment																								
1	Transaction Form																							

Attended by: Sales Representative (Maker)
 Signature:

Checked by: Sales Leader (Checker)
 Signature:

Name:
 Date:

Name:
 Date:

Branch 总行/分行		Application Ref 申请编号		Application Date (dd-mm-yyyy) 申请日期	
Account Type 账户类别 <input type="checkbox"/> Customer Term Loan (客户定期贷款) <input type="checkbox"/> Customer Investment (客户投资) <input type="checkbox"/> Wealth Management (财富管理) <input type="checkbox"/> Financial Advisory (财务咨询) <input type="checkbox"/> Customer Reserve Funds (客户备付金) <input type="checkbox"/> Customer Guarantee Funds (客户保证金)					
Account Currency 账户货币 <input type="checkbox"/> Chinese Reminbi (CNY) <input type="checkbox"/> U.S. Dollar (USD) <input type="checkbox"/> Malaysia Ringgit (MYR) <input type="checkbox"/> Hong Kong Dollar (HKD) <input type="checkbox"/> Singapore Dollar (SGD) <input type="checkbox"/> Others: _____					
Type of Company 公司类别 <input type="checkbox"/> Private Limited Company (私人有限公司) <input type="checkbox"/> Limited Company (有限公司) <input type="checkbox"/> Others: _____ <input type="checkbox"/> Limited Liability Partnership (有限合伙) <input type="checkbox"/> Incorporate (股份有限公司) _____					
Applicant's Particular 申请者资料					
Company Name 公司名字					
Business Registration Number 公司注册号码				Date of Incorporation (dd-mm-yyyy) 公司注册成立日期	
Place of Registration 注册国家				In Operation Since (dd-mm-yyyy) 公司营业日期	
Business Registered Address 公司注册地址 (Do not use P.O Box address) (不使用邮政信箱地址) Owned 拥有 Leased 租用					
Correspondence Address 邮寄地址(如果不同于公司注册地址)					
Office Telephone No. 公司电话号码				Office Facsimile No. 公司传真号码	
Company Email Address 公司电邮				Company Website 公司网站	
Authorised Capital 注册资本金 Select Currency: CNY USD MYR HKD SGD				Paid Up Capital 实际资本金 Select Currency: CNY USD MYR HKD SGD	
Average last 3 years Annual Sales Turnover 过去三年营业收入 Select Currency: CNY USD MYR HKD SGD				Average Number of Full Time Employees for last 12 months 过去 12 月内公司全职员工	
Nature of Business 业务性质					
Company Contact Person 公司联系人:					
Name 名字		Designation 职位		Email 电邮	Mobile Number 手提号码

<p>Applicant's Declaration 申请者同意</p>	<p>I/We hereby: -</p> <ol style="list-style-type: none"> 1. Declare that all information provided herein is complete, true and correct; agreed that it is my/our responsibility to notify ELG Bank Limited immediately of any changes to the above information. 声明此处提供的信息都是完整, 真实, 正确和同意, 如果对上述信息进行任何更改, 我们有责任立即通知 ELG Bank Limited。 2. Agree that ELG Bank Limited to do checking on the information given above from any source it may deem fit. 同意 ELG Bank Limited 从其尽职调查合适的任何来源检查上面给出的信息。 3. Acknowledge to have read and fully understood the terms and conditions governing the conduct of account applied above, which is obtained from the ELG Bank Limited 's branch and agree to be bound by the same. 承认已阅读并完全理解上述应用账户的条款和条件, 该条款和条件从 ELG Bank Limited 的分支机构获得并同意受其约束。 4. Agree to abide by the rules and any such amendment, alteration or variation thereof that may be introduced and enforced by ELG Bank Limited from time to time. 同意遵守 ELG Bank Limited 可能不时引入和执行的规则及其任何此类修改, 更改或变更。 5. Agree to ensure correctness of the monthly statement of account; by examining and notifying ELG Bank Limited of any errors, irregularities or discrepancies in the statement of account within 14 days of receipts of such. 同意确保月度账户报表的正确性;通过审查和 14 天内通知 ELG Bank Limited 账户报表中的任何错误, 违规或差异。 6. Declare that I/We have not committed any act of bankruptcy and/or no petition to wind up the company has been filed at the time of application. 声明我/我们没有在申请时提交任何破产行为和/或没有申请结束公司。 				
<p>Applicant's Signature 申请者签字</p>	<p><i>Signed by Director(s):</i></p> <table border="0" style="width: 100%;"> <tr> <td style="width: 50%; vertical-align: top;"> Signature 签名 _____ Name 名字: NRIC/Passport No: </td> <td style="width: 50%; vertical-align: top;"> Signature 签名 _____ Name 名字: NRIC/Passport No: </td> </tr> <tr> <td style="width: 50%; vertical-align: top;"> Signature 签名 _____ Name 名字: NRIC/Passport No: </td> <td style="width: 50%; vertical-align: top;"> Signature 签名 _____ Name 名字: NRIC/Passport No: </td> </tr> </table> <p>Company Stamp 公司盖章</p> <p>Date (dd-mm-yyyy) 日期: _____</p>	Signature 签名 _____ Name 名字: NRIC/Passport No:	Signature 签名 _____ Name 名字: NRIC/Passport No:	Signature 签名 _____ Name 名字: NRIC/Passport No:	Signature 签名 _____ Name 名字: NRIC/Passport No:
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Signature 签名 _____ Name 名字: NRIC/Passport No:	Signature 签名 _____ Name 名字: NRIC/Passport No:				
<p>Introducer's Details 介绍人资料</p>	<p>Name 名字</p> <hr/> <p>IC/ Passport/ Business Registration Number 身份证号码/公司注册号码</p>				



ELG Bank Limited (No. 17021)

COMPANY ACCOUNT OPENING APPLICATION FORM 公司开户申请表格

	ELG Bank Limited Account Number / ELG Bank Limited 投行账户号码		
	Mobile Phone No. 手提号码		
	Signed By Introducer		
	Signature 签字	Name 名字	Date (dd-mm-yyyy) 日期
For Bank Use Only 仅供银行使用	<i>Attended by:</i>		
	<i>Verified by:</i>		
	<i>Approved by:</i>		
	Name:	Name:	Name:
	Date:	Date:	Date:
	Designation:	Designation:	Designation:
Assigned Customer Account Name:			
Assigned Customer Account Number:			

Investment Application Form
PARTICULARS OF PRINCIPAL HOLDER (APPLICANT)

* Denotes mandatory field which must be properly disclosed and completed by the applicant. Please tick (✓) where applicable.

Principal Holder's Name* <i>(as per NRIC/Passport)</i>			
NRIC/Passport No*		Date of Birth*	
Race	<input type="checkbox"/> Malay <input type="checkbox"/> Chinese <input type="checkbox"/> Indian <input type="checkbox"/> Others	Nationality*	<input type="checkbox"/> Malaysian <input type="checkbox"/> Non-Malaysian Country: _____
Email* By completing your email above, you consented to receive statements, reports and communication relating to your investment via email only. If you wish to receive hardcopies instead of electronic copies, please tick here (<input type="checkbox"/>).			
Contact No.* Mobile: _____ Home: _____			
Residential Address* <i>(as per NRIC)</i>			
Correspondence Address* <i>(if different from Residential Address)</i>			

EMPLOYMENT / BUSINESS OF PRINCIPAL APPLICANT

Principal Holder's Occupation*	<input type="checkbox"/> Employed <input type="checkbox"/> Self-employed <input type="checkbox"/> Retiree <input type="checkbox"/> Student <input type="checkbox"/> Housewife <input type="checkbox"/> Unemployed				
Present Position*	Name of Company*				
Nature of Business*	Company's Address*				
Contact No.	Office: _____		Fax: _____		
Present Annual Income*	<input type="checkbox"/> Up to RM30,000 <input type="checkbox"/> RM30,001-RM60,000 <input type="checkbox"/> RM60,001-RM120,000 <input type="checkbox"/> RM120,001-RM300,000 <input type="checkbox"/> Above RM300,000				
Estimated Net Worth*	<input type="checkbox"/> Up to RM100,000 <input type="checkbox"/> RM100,001-RM500,000 <input type="checkbox"/> RM500,001-RM3,000,000 <input type="checkbox"/> Above RM3,000,000				
Source of Funds*	<input type="checkbox"/> Salary/Employment/Commission <input type="checkbox"/> Inheritance <input type="checkbox"/> Investment Returns <input type="checkbox"/> Insurance Maturity <input type="checkbox"/> Own Business Income <input type="checkbox"/> Gift <input type="checkbox"/> EPF <input type="checkbox"/> Others. Please specify: _____				

PARTICULARS OF JOINT APPLICANT (IF APPLICABLE)

Joint Holder's Name* <i>(as per NRIC/Passport)</i>			
NRIC/Passport No*		Date of Birth*	
Race*	<input type="checkbox"/> Malay <input type="checkbox"/> Chinese <input type="checkbox"/> Indian <input type="checkbox"/> Others	Nationality*	<input type="checkbox"/> Malaysian <input type="checkbox"/> Non-Malaysian Country: _____
Email* By completing your email above, you consented to receive statements, reports and communication relating to your investment via email only. If you wish to receive hardcopies instead of electronic copies, please tick here (<input type="checkbox"/>).			
Contact No.* Mobile: _____ Home: _____			
Residential Address* <i>(as per NRIC)</i>			
Relationship to Principal Holder			

EMPLOYMENT / BUSINESS OF JOINT APPLICANT

Joint Holder's Occupation	<input type="checkbox"/> Employed <input type="checkbox"/> Self-employed <input type="checkbox"/> Retiree <input type="checkbox"/> Student <input type="checkbox"/> Housewife <input type="checkbox"/> Unemployed				
Present Position*	Name of Company*				
Nature of Business	Company's Address*				
Contact No.	Office: _____		Fax: _____		
Present Annual Income*	<input type="checkbox"/> Up to RM30,000 <input type="checkbox"/> RM30,001-RM60,000 <input type="checkbox"/> RM60,001-RM120,000 <input type="checkbox"/> RM120,001-RM300,000 <input type="checkbox"/> Above RM300,000				
Estimated Net Worth*	<input type="checkbox"/> Up to RM100,000 <input type="checkbox"/> RM100,001-RM500,000 <input type="checkbox"/> RM500,001-RM3,000,000 <input type="checkbox"/> Above RM3,000,000				
Source of Funds*	<input type="checkbox"/> Salary/Employment/Commission <input type="checkbox"/> Inheritance <input type="checkbox"/> Investment Returns <input type="checkbox"/> Insurance Maturity <input type="checkbox"/> Own Business Income <input type="checkbox"/> Gift <input type="checkbox"/> EPF <input type="checkbox"/> Others. Please specify: _____				

PARTICULARS OF CORPORATE APPLICANT

Name of Corporation*			
Registration No.*		Nature of Business*	
Incorporation Date*		Place of Incorporation*	
Paid-up Capital		Shareholder's Equity	
Corporate Status*	<input type="checkbox"/> Bumiputra Controlled <input type="checkbox"/> Non-Bumiputra Controlled <input type="checkbox"/> Non-Malaysian Controlled <input type="checkbox"/> Government Controlled		
Registered Address*			
Correspondence Address*			
Contact No.*	Tel: _____	Fax: _____	
Office Email*	Website: _____		
Name of Director 1* <i>(as per NRIC)</i>		NRIC*	
Director 1's Address*			
Name of Director 2* <i>(as per NRIC)</i>		NRIC*	
Director 2's Address*			
Contact Person Name <i>(as per NRIC)</i>			
Contact Person NRIC		Designation	
Contact No.*	Mobile: _____	Office: _____	Fax: _____
Email*	_____ By completing your email above, you consented to receive statements, reports and communication relating to your investment via email only. If you wish to receive hardcopies instead of electronic copies, please tick here (<input type="checkbox"/>).		

EXCHANGE CONTROL DECLARATION

(Non-Malaysian / Malaysian residing outside Malaysia / Non-Malaysian Registered Company)

 I/We declare that I am/we are the citizen(s) of _____ and permanent resident(s) of _____ (indicate country)

 I/We declare that the Company is incorporated in _____ (indicate country)

OPERATING INSTRUCTION FOR INVESTMENT* (MANDATE)

Joint Account	<input type="checkbox"/> First Applicant to sign	<input type="checkbox"/> Either one to sign*	<input type="checkbox"/> Both to sign
Corporate Account	<input type="checkbox"/> As per Board Resolution	<input type="checkbox"/> As per Sole Proprietor	

We hereby understand and agree that either one of us can give instruction to conduct any transaction for this account and we release and indemnify ELG Bank Limited, the Trustee and the Fund against any claims or demands in respect of any liability arising as a result of ELG Bank Limited acting upon this signing instructions.

The mandate given by us as joint account holders may be revoked at any time by any parties to this account.

FOREIGN ACCOUNT TAX COMPLIANCE ACT ("FATCA") / COMMON REPORTING STANDARD ("CRS")

NOTE: ONLY INDIVIDUAL INVESTORS ARE REQUIRED TO COMPLETE SECTION A – PRELIMINARY IDENTIFICATION. ALL INVESTORS (INDIVIDUAL, LEGAL ENTITY OR CORPORATE) ARE REQUIRED TO COMPLETE SECTION B AND C. LEGAL ENTITY OR CORPORATE WHICH IS NON FINANCIAL ENTITY ONLY, PLEASE COMPLETE SECTION D.

SECTION A – PRELIMINARY IDENTIFICATION

Please complete this section and tick ("✓") in the "Yes" / "No" column respectively for each of the following questions:

No.	U.S. indicia	Applicant		Joint Applicant	
		Yes	No	Yes	No
1.	Are you a U.S. citizen or resident? (U.S. Passport / green card holder, U.S. taxpayer, etc.)				
2.	Is U.S. your place of birth?				
3.	Do you hold a current U.S. residence address / mailing address and U.S. post office box?				
4.	Do you have a current U.S. telephone number?				
5.	Do you have standing instructions to pay amounts from ELG Bank account to an account maintained in the U.S.?				

SECTION B – DECLARATION OF US PERSON

All investors (individual, legal entity or corporate) are required to complete the following declaration.

Please tick ("✓") one of the following:

- I am a U.S. person / U.S. Legal Entity(s) I am a Non-U.S. person with No U.S. indicia I am a Non-U.S. person/ Non-U.S. Legal Entity with one or more U.S. indicia. Please provide Form W-8BEN (individual) / Form W-8BEN-E (corporate)
 Please provide Form W-9 & photocopy of US Passport

SECTION C – TAX RESIDENCY

All investors (individual, legal entity or corporate) are required to complete the following declaration.

- I / We declare that I / we are tax resident in Malaysia ONLY
 I / We declare that I / we are Foreign tax resident (other than Malaysia). Please list ALL the countries in which you are foreign tax resident:

Name	Country of Tax Residence	Tax identification No

SECTION D – CONTROLLING PERSON

For corporate which is a non financial entity (NFE) only, please complete the declaration below.

- I / We declare that I / We are Active NFE.
 Passive NFE. Please list ALL Controlling Person(s) with tax residency other than Malaysia in the following table:

Name of Controlling Person	Date of Birth	Residence Address	Country of Tax Residence	Tax Identification No

Declaration for Foreign Account Tax Compliance Act ("FATCA") and Common Reporting Standard ("CRS")

I/We declare that I have examined the information on this form and to the best of my knowledge and belief, it is true, correct, and complete. I/We hereby consent for ELG Bank Limited to have the right to provide my/our personal data and information to regulatory authorities in accordance with the requirements of Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS) for the Automatic Exchange of Financial Account Information as may be stipulated by applicable laws, regulations, agreement or regulatory guidelines or directives.

If there is any update to the account information / FATCA / tax residency status / controlling persons or if updates reveal any change of U.S. indicia or change to FATCA status or tax residency status or controlling persons, I/We hereby agree to notify and furnish ELG Bank Limited with the relevant documentary evidence within 30 Days of such change. I/We consent to and authorise ELG Bank Limited to perform any of the following, if applicable:

- Withhold any applicable payments in the account.
- Report or disclose all relevant information relating to or arising from the account.
- Terminate (with prior notice) my / our contractual relationship(s) with ELG Bank Limited.

Definitions:

- The term "Financial Institution" means a Depository Institution, Custodial Institution, Investment Entity or a Specified Insurance Company. Please refer to the CRS guidance available in Lembaga Hasil Dalam Negeri (LHDN) website for further information.
- The term "NFE" refers to "Non Financial Entities", which means entity that is not a Financial Institution.
- The term "Active NFE" means entities that:
 - do NOT primarily receive passive income or primarily hold amounts of assets that produce passive income (such as dividends, interest, rents etc.);
 - include entities that are publicly traded (or related to a publicly traded entity), Governmental Entities, International Organisations, Central Banks, or a holding NFEs of non-financial groups.
- The term "Passive NFE" means any NFE that is not an Active NFE. An Investment Entity located in a Non-Participating Jurisdiction is treated as a Passive NFE for purposes of the CRS.
- The term "Controlling Person" means a natural person who exercises control over an entity. If the Controlling Person(s) of Passive NFE who hold directly / indirectly more than 25% of the shares / voting rights are foreign tax resident(s), please list all the countries in which the Controlling Person(s) are foreign tax resident(s).
- A U.S. citizen is considered a tax resident of the United States even if he / she is a tax resident of another jurisdiction. If you are a tax resident of the United States, please provide your U.S. TIN using Form W-9.

I/We hereby acknowledge and declare that:-

- I/We have read and understood the Privacy & Personal Data Policy stated in this form.
- I/We agree to provide the statement and transactions detail to ELG Bank Limited.
- I/We have read and understood the Risk Disclosure Statement.
- I/We am/are aware of all the fees and charges that will be incurred directly or indirectly when investing in the Product(s).

Signature of Principal Holder / Authorised Signatories	Signature of Joint Holder	Common Seal / Company's Stamp
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DECLARATION OF INVESTOR

DATE:

TO: ELG Bank Limited ("Bank")

I, the undersigned hereby affirm that on my own behalf, free will, choice and initiate have enquired about the Product and requested the Bank, or its agent or officer to brief and/or provide information about the Product to me. The information presented, received, and learned from the Bank shall be treated as strictly private and confidential and for my own consumption and reference only. I fully understand that by the Bank responding to my enquiry, I am not obliged to invest or subscribe to the Product.

I fully understand that the Product is strictly not intended to be marketed or offered in Malaysia or made available to any Malaysians in Malaysia except Labuan. The relevant Malaysian authorities including the Securities Commission and Labuan Financial Services Authority are not liable for non-disclosure or misleading statement on the part of the Product and take no responsibility on the contents of the Information Memorandum of the Product. These authorities also take no representations on the accuracy and completeness of the Information Memorandum of the Product, and shall not be claimed on any liability whatsoever arising from, or in reliance upon, the whole or any part of the content of the Information Memorandum of the Product.

I confirm that I am a sophisticated investor by all definitions of that classification known to me; I am a savvy investor, I make my own investment decisions, and have legally acquired assets available.

I further confirm that I have requested information from the Bank and the Bank has neither solicited offers nor marketed the Product to me directly or indirectly. The information provided by the Bank is merely intended to provide background and salient information of the Product only. It does not amount to a recommendation, offer or invitation, either expressly or implied, to make an investment in the Product.

I understand that I should rely on my own evaluation to assess the merits and risks of the investment. In considering the investment, if in doubt as to the action to be taken, I shall consult a qualified adviser immediately.

I confirm that the Bank or its agent is sharing information about the Product with me on a reverse enquiry basis initiated by me. I agree that all emails and facsimile transmitted documents shall be treated as original documents.

For individual:**For Company Account:**_____
Signatory

Name:

NRIC/Passport No:

Date:

For and on behalf of*(Name of Company)*

Name:

NRIC/Passport No:

Date:

LETTER OF INTENT

DATE:

TO: ELG Bank Limited ("Bank")

I, the undersigned hereby confirm under penalty of perjury, my full commitment and agreement to participate in the Product, subject to my acceptance of the terms, conditions and procedures that shall be outlined in the Product's Information Memorandum.

Furthermore, I hereby warrant and represent that I have available for placement into the Product, the sum of _____ United States Dollar or others: _____ (US\$ _____ or others: _____)

("Capital Sum") of clean, clear funds, free of any levy, liens or encumbrances and of non-criminal origin, and herewith attach documentary evidence of same. I hereby warrant and represent that the Rule of Full-disclosure has established these Capital Sum was legally obtained from non-criminal business or actions. I further confirm that I am the beneficial owner of these Capital Sum. That I have full signatory authority and control thereof, and that such Capital Sum is available for immediate placement at my sole discretion.

I confirm and acknowledge, with full responsibility, that neither your company nor anyone working on your behalf has solicited me; that the documents that I shall receive shall not be deemed to be a solicitation of Product in connection with an investment program; and, that I am approaching you voluntarily for the purpose of securing participation in the Product. I am also fully aware that the Product is not offered in Malaysia and it is not made available to Malaysians in Malaysia. This Letter of Intent will only be deemed received upon receipt by the Bank or its agents or representatives not in the part of Malaysia except in Labuan.

For individual:**For Company Account:**_____
Signatory

Name:

NRIC/Passport No:

Date:

For and on behalf of*(Name of Company)*

Name:

NRIC/Passport No:

Date: