



CHECKLIST FOR MARGIN CLIENTS TRADING VIA REMISIER/DEALER

Date _____

Please put in (//) to confirm checked in order or NA wherever not applicable.

Borrower's Name : _____

Trading A/c No : _____

Remisier name / code : _____ Branch : KL / Ipoh

Facility Type : Conventional/Islamic financing

KINDLY TICK (//) IN THE BOX PROVIDED AND ENSURE THAT THE DOCUMENTS ARE ALL IN ORDER:-

1. Maybankinvest Application form duly completed

To be attached with :

- a) 2 copies of clear photocopy of IC/Passport
- b) Latest 3 months salary slips /Latest account statement
- c) If salary slips given in form of payment voucher, to request either one of the followings; Latest Form EA (must be supported by a/c statement)/Latest EPF/Form B/Form BE (Note: for a company director, to request Form 49 on best effort basis)
- d) 2 copies of **Appointment of stockbroker** duly executed by client, remisier/dealer and authorised signatories from Maybank Investment Bank Bhd (on behalf of the stockbroker)
- e) Proposed Collateral Deposit Form duly completed by remisier
- f) Latest Maybank IB account statement (Margin/Personal) – for existing customer

Additional documents for Company :

- Latest 6 months company bank's account statement
- Board's Resolution
- Memorandum & Articles of Association
- Form 9, Form 24, Form 44 & Form 49
- Brief write up on the company and the director/guarantor's profile

Note: Remisier to certify true copy all documents and verify signature on the application form. We hereby confirm that the above has been complied.

Remisier Name : _____
Remisier Code : _____
NRIC No. : _____

Verified by: _____
Head, Remisier Management



APPLICATION FOR Maybankinvest (INDIVIDUAL)

a) STOCK BROKER NAME : MAYBANK INVESTMENT BANK BHD e) REMISIER NAME :

b) STOCK BROKER CODE : 098001 / 098002 f) REMISIER CODE :

c) CREDIT LIMIT APPLIED : RM g) PERSONAL CDS NO :

d) COLLATERAL/INITIAL : RM h) PERSONAL TRADING NO :

(Please complete Form M12 Collateral Deposit Form)

1. PERSONAL PARTICULARS:

Full Name (AS PER IC) : _____

Residential Address : _____
 _____ Postcode _____

NRIC No (Old) _____ (New) _____ Date of Birth _____ E-mail : _____

Tel No (R) _____ / (Mobile) _____

Sex : M F Marital Status _____ Citizenship _____ Race _____

Are you a bumiputra ? Yes No Are you permanently residing in Malaysia? Yes No

Spouse Particulars

Spouse Name : _____

NRIC No (Old) / New : _____

IF YOU HAVE EXISTING ACCOUNTS WITH MAYBANK, PLEASE GIVE PARTICULARS: -

Type of Account: _____ Account Number: _____
 _____ - - - - -
 _____ - - - - -

2. EMPLOYMENT / BUSINESS:

Employment/Business/Profession : _____ Designation: _____ Tenure Employed: _____

Name of Employer : _____

Address of Employer : _____
 _____ Postcode _____

Nature of Business : _____

Telephone No : _____ Fax No _____

Correspondence Address : Residence Office

3. MONTHLY INCOME & EXPENDITURE:

INCOME:

Salary & Allowance : _____
 Business Income : _____
 Other Income (give brief details) : _____

 TOTAL INCOME (I) : _____
 NET MONTHLY INCOME (I)-(II) : _____

EXPENDITURE:

Household : _____
 Personal : _____
 Loan & Interest Repayments : _____
 Other Expenses (give brief details) : _____

 TOTAL EXPENDITURE (II) : _____

I/we submit herewith the following documents for your perusal:

- | | |
|---|---|
| <input type="checkbox"/> Two (2) photocopies of NRIC / Passport | <input type="checkbox"/> Latest EA form (if latest Form B / FORM BE / (not available) |
| <input type="checkbox"/> Latest EPF / FORM B / FORM BE | <input type="checkbox"/> Latest 3 months salary slip and/or bank accounts statement |

DECLARATION

To: **Maybank**

I solemnly and sincerely declare as follows :-

- As at date hereof, I am not undischarged bankrupt and that no bankruptcy proceedings have been instituted against me under the laws of Malaysia or in another jurisdiction.
- The information given by me herein is true and correct and I hereby authorise you to verify the same from any source as you may in your sole discretion deem appropriate.
- I consent to the disclosure by Maybank/Maybank Investment Bank Berhad or any information in this application form for the purpose of complying with regulatory, compliance and risk management's requirements.

I authorise you to provide whatever information deemed necessary to Maybank Investment Bank Bhd in order for it to open a trading account under my name and process this application. I understand that the granting of any facility by Maybank is conditional upon Maybank Investment Bank Bhd agreeing to open a trading account under my name and approving the said facility.

 Name :
 Date :

 Name :
 Date :

FOR MAYBANK INVESTMENT BANK BHD USE ONLY

Comments by Credit Control : -

We hereby confirmed that the above account is :-

- | | |
|---|---|
| <input type="checkbox"/> Performing account | <input type="checkbox"/> Non performing account |
| <input type="checkbox"/> Bursa Defaulter | <input type="checkbox"/> Brokerage: _____ |
| <input type="checkbox"/> Others : _____ | |

 Maybank Investment Bank Authorised Signatories
 Date:

Date :

.....
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.....
.....
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To:

Malayan Banking Berhad

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Dear Sir

RE : APPOINTMENT OF STOCKBROKER AND REMISIER / DEALER REPRESENTATIVE

I/We hereby confirm the appointment of (stockbroker) ("the said Stockbroker") as my/our stockbroker in all the dealings pertaining to the sale and purchase of the public quoted shares on the Bursa Malaysia Berhad ("Bursa") for me/us and on my/our instructions or upon instructions given by you from time to time in accordance with the terms of the Shares Margin Facility Agreement dated the ("the said Agreement").

I/We hereby confirm and agree as follows:-

- (a) The appointment of the Remisier / Dealer Representative attached to Maybank Investment Bank Berhad (NRIC No.)
- (b) the appointment of the said Stockbroker and the Dealer Representative shall be irrevocable until such time when you have given your approval in writing of my written notification to you of my/our intended change of such Stockbroker and/or the Remisier / Dealer Representative;
- (c) the said Stockbroker and the Remisier / Dealer Representative shall deal in all the sale and purchase of public quoted securities on Bursa for me/us and on my/our behalf at my/our instructions or upon instructions given by you from time to time;
- (d) I undertake that I/we will only deal with the Remisier / Dealer Representative and will not deal through any other person in the said Stockbroker without your consent in writing;
- (e) I/We hereby authorise you to reveal or divulge any information regarding my/our account with you to the Stockbroker and/or the Remisier / Dealer Representative to enable the Stockbroker and/or the Remisier / Dealer Representative to comply with the financial limits on the Facility imposed under the said Agreement;

(f) I/We shall indemnify and keep you indemnified against any loss, damage, claim, cost or expense suffered by you arising from the breach by me/us of the terms of this letter and/or the terms of appointment of the said Stockbroker and the Remisier / Dealer Representative and/or the terms of appointment of the purchase of public quoted securities on Bursa during the continuance of the said Agreement.

Yours faithfully

.....
(NRIC No:)

c.c. i) Remisier / Dealer Representative
ii) The Stockbroker

I,(NRIC No:)
hereby agree to the aforesaid.

Signed by the Remisier / Dealer
Representative
with the said Stockbroker

I, (NRIC No:)
on behalf of the said stockbroker confirm the appointment of the Stockbroker and the
Dealer Representative as aforesaid mentioned.

Signed by
On behalf of the said Stockbroker

Date :

.....
.....
.....
.....
.....

To:

Malayan Banking Berhad

.....
.....
.....
.....

Dear Sir

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- (b) the appointment of the said Stockbroker and the Dealer Representative shall be irrevocable until such time when you have given your approval in writing of my written notification to you of my/our intended change of such Stockbroker and/or the Remisier / Dealer Representative;
- (c) the said Stockbroker and the Remisier / Dealer Representative shall deal in all the sale and purchase of public quoted securities on Bursa for me/us and on my/our behalf at my/our instructions or upon instructions given by you from time to time;
- (d) I undertake that I/we will only deal with the Remisier / Dealer Representative and will not deal through any other person in the said Stockbroker without your consent in writing;
- (e) I/We hereby authorise you to reveal or divulge any information regarding my/our account with you to the Stockbroker and/or the Remisier / Dealer Representative to enable the Stockbroker and/or the Remisier / Dealer Representative to comply with the financial limits on the Facility imposed under the said Agreement;

(f) I/We shall indemnify and keep you indemnified against any loss, damage, claim, cost or expense suffered by you arising from the breach by me/us of the terms of this letter and/or the terms of appointment of the said Stockbroker and the Remisier / Dealer Representative and/or the terms of appointment of the purchase of public quoted securities on Bursa during the continuance of the said Agreement.

Yours faithfully

.....
(NRIC No:)

c.c. i) Remisier / Dealer Representative
ii) The Stockbroker

I,(NRIC No:)
hereby agree to the aforesaid.

Signed by the Remisier / Dealer
Representative
with the said Stockbroker

I, (NRIC No:)
on behalf of the said stockbroker confirm the appointment of the Stockbroker and the
Dealer Representative as aforesaid mentioned.

Signed by
On behalf of the said Stockbroker

Maybankinvest

Proposed Collateral Deposits Form

(This form is for internal use only, to be completed by Remisier to be submitted together with Application Form)

FULL NAME OF CUSTOMER : _____

A/A No. : _____

PROPOSED SHARE DEPOSITS :-

<---- FOR OFFICE USE ONLY ---->

STOCK NAME	QTY (X 1000)	PREV. CLOSE DATE	CAP PRICE	BANK VALUATION
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				

* Bank Valuation represents the lower of the Bank's capped price for the share and the previous day's closing market price for the share.

PROPOSED FIXED DEPOSITS :

1. Principle Sum : _____ Interest rate _____ p.a
Deposit Date : _____ Tenure (mths) _____
2. Principle Sum : _____ Interest rate _____ p.a
Deposit Date : _____ Tenure (mths) _____

PROPOSED LANDED PROPERTIES :-

Estimated Market Value : RM _____

Address : _____

Brief Description Of Property : _____

Note : Valuation of property is subject to confirmation of Valuer's Report. If there are any discrepancy between the above information and the Valuer's Report on the property, information on the Valuers Report will prevail.

PROPOSAL SHARE DEPOSITS

STOCK NAME	QTY (X 1000)	PREV. CLOSE DATE	CAP PRICE	BANK VALUATION
1.				
2.				
3.				
4.				
5.				
6.				
7.				
8.				
9.				
10.				

STOCK FACILITY APPLICABLE BASED ON COLLATERAL OFFERED:

COLLATERAL TYPE	VALUE (RM)	MARGIN	STOCK FACILITY
Fixed Deposits	_____	x 2.5	_____
Shares	_____	x1.5	_____
Landed Properties	_____	x1.5	_____
Cash Deposit	_____	x1.5	_____

Stock facility based on proposed deposits

Outstanding balance as at	_____		RM _____
Existing Credit Limit	_____		RM _____
Stock facility as at	_____	RM _____	
Additional collateral	_____	RM _____	
Total new limit applied for		<u>RM _____</u>	
Additional credit limit applied for			RM _____
Total credit limit			RM <u>_____</u>

Remarks:

Remisier's signature _____
Date _____

Applicant supported by: _____

REQUEST TO PLACE FIXED DEPOSIT UNDER LIEN FORM

Maybankinvest

Customer Name : _____
 Trading Account No. : _____
 Margin Account No. : _____

I/We would like to place the following Fixed Deposit under lien for our Maybankinvest account :-

FD Receipt No.	Name Of Depositor	Principal Amount (RM)	FD Date Begin (dd/mm/yy)	FD Expired (dd/mm/yy)	Tenure (Mths)	3rd Party FD

The terms and conditions of this lien on my/our Fixed Deposit(s) shall be in accordance with the Memorandum Of Charge signed for Maybankinvest facility.

Signature	
Verified by:	
Remisier Name:	
Maybank Investment Bank Bhd Authorized Personnel:	
Date:	

Signature of Depositor

Name of Depositor :

Date :

FOR BRANCH USE ONLY

To : RF

Verified that the above FD(s) are placed under lien.

Signature	:	
Name	:	
Date	:	

FOR RF USE ONLY	
Input by:	_____
Verified by:	_____
Date / Time:	_____



Name : _____
 Address : _____

Date:

Head
 STD Operations
 Maybank

Dear Sir / Madam

Re: **Redemption of Margin Account**

Name : _____
 Trading Account No. : _____
 Margin Account No. : _____

The above refers.

I hereby authorize Malayan Banking Berhad to act on my behalf to fully/partial settle and redeem the above mentioned account with Maybank Investment Bank Berhad (IB).

I shall indemnify and keep you indemnified against any losses, damage or claims that arise from taking my instruction.

Thank you.

Yours faithfully

SIGNATURE VERIFIED BY: Date :	
NAME & PF NO:	

.....
 Name :
 NRIC :
 Date :

.....
 Name:
 NRIC :
 Date :.

c.c Maybank Investment Bank Berhad _____