

In accordance with the requirements of the Capital Markets and Services Act 2007, this Form should not be circulated unless accompanied by the Prospectus(es)/ Information Memorandum(s) and Supplemental(s) (if any). Investors are required to read and understand the contents in the Prospectus(es)/ Information Memorandum(s) and Supplemental(s) (if any) and Product Highlights Sheet of the Funds before completing this Form. Complete in <b>BLOCK LETTERS</b> , preferably in <b>BLACK INK</b> and tick (✓) where applicable.					<input type="checkbox"/> Individual <input type="checkbox"/> Individual with Joint <input type="checkbox"/> Corporate		<input type="checkbox"/> Cash Investment <input type="checkbox"/> EPF Investment EPF No. ....	
<b>1. INDIVIDUAL – PRINCIPAL APPLICANT</b>								
Full Name (as in NRIC/ Passport):				NRIC No:				
				Passport No:		Passport expiry date:		
Date of Birth (DD/MM/YYYY):	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others: .....	Race <input type="checkbox"/> Bumiputra <input type="checkbox"/> Chinese <input type="checkbox"/> Indian <input type="checkbox"/> Others .....	Nationality <input type="checkbox"/> Malaysian <input type="checkbox"/> Non Malaysian (please specify Country/Citizenship below): Country: ..... Citizenship: .....				
Estimated Net Worth (or equivalent in foreign currency) <input type="checkbox"/> ≤RM100K <input type="checkbox"/> RM100,001-RM500,000 <input type="checkbox"/> RM500,001-RM1.0 Mil <input type="checkbox"/> ≥RM1.0 Mil ≤ RM3.0 Mil <input type="checkbox"/> ≥ RM3 Mil			Occupation <input type="checkbox"/> Student <input type="checkbox"/> Non - Executive <input type="checkbox"/> Executive <input type="checkbox"/> Management <input type="checkbox"/> Director <input type="checkbox"/> Businessman <input type="checkbox"/> Professional <input type="checkbox"/> Pensioner <input type="checkbox"/> Others (please specify): .....					
Annual Income <input type="checkbox"/> N/A <input type="checkbox"/> Below RM72,000 <input type="checkbox"/> RM72,001 to RM120,000 <input type="checkbox"/> RM120,001 to RM300,000 <input type="checkbox"/> RM300,001 to RM600,000 <input type="checkbox"/> RM600,001 and above								
Source of Income <input type="checkbox"/> Business <input type="checkbox"/> Employment <input type="checkbox"/> Savings <input type="checkbox"/> Inheritance <input type="checkbox"/> Others (please specify) .....								
Religion <input type="checkbox"/> Islam <input type="checkbox"/> Christian <input type="checkbox"/> Hindu <input type="checkbox"/> Buddhist <input type="checkbox"/> Others: .....				Mother's Maiden Name:				
<b>BUSINESS / EMPLOYMENT DETAILS – PRINCIPAL APPLICANT</b>								
Name of Company/Employer:								
Nature of Business:				Designation:				
<b>2. INDIVIDUAL – JOINT APPLICANT</b>								
Full Name (as in NRIC/ Passport):				NRIC No:				
				Passport No:		Passport expiry date:		
Date of Birth (DD/MM/YYYY):	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Other: .....	Race <input type="checkbox"/> Bumiputra <input type="checkbox"/> Chinese <input type="checkbox"/> Indian <input type="checkbox"/> Others .....	Nationality <input type="checkbox"/> Malaysian <input type="checkbox"/> Non Malaysian (please specify Country/Citizenship below): Country: ..... Citizenship: .....				
Estimated Net Worth (or equivalent in foreign currency) <input type="checkbox"/> ≤RM100K <input type="checkbox"/> RM100,001-RM500,000 <input type="checkbox"/> RM500,001-RM1.0 Mil <input type="checkbox"/> ≥RM1.0 Mil ≤ RM3.0 Mil <input type="checkbox"/> ≥ RM3 Mil			Occupation <input type="checkbox"/> Student <input type="checkbox"/> Non - Executive <input type="checkbox"/> Executive <input type="checkbox"/> Management <input type="checkbox"/> Director <input type="checkbox"/> Businessman <input type="checkbox"/> Professional <input type="checkbox"/> Pensioner <input type="checkbox"/> Others (please specify): .....					
Annual Income <input type="checkbox"/> N/A <input type="checkbox"/> Below RM72,000 <input type="checkbox"/> RM72,001 to RM120,000 <input type="checkbox"/> RM120,001 to RM300,000 <input type="checkbox"/> RM300,001 to RM600,000 <input type="checkbox"/> RM600,001 and above								
Source of Income <input type="checkbox"/> Business <input type="checkbox"/> Employment <input type="checkbox"/> Savings <input type="checkbox"/> Inheritance <input type="checkbox"/> Others (please specify) .....								
Religion <input type="checkbox"/> Islam <input type="checkbox"/> Christian <input type="checkbox"/> Hindu <input type="checkbox"/> Buddhist <input type="checkbox"/> Others: .....				Relationship with Principal Applicant:				
Phone No: (House)		Mobile No:		Email:				
<b>BUSINESS / EMPLOYMENT DETAILS – JOINT APPLICANT</b>								
Name of Company/Employer:				Nature of Business:				
Designation:		Phone No: (Office)		Email:				
<b>3. NON-INDIVIDUAL (COMPANY / INSTITUTION / ASSOCIATION / ORGANIZATION)</b>								
Name of Company/ Institution (as per Certificate of Incorporation):				Company Registration No:				
Beneficial Owner (if applicable):				NRIC No: Passport No: ..... Passport expiry date:				
Nature of Business:				Date of Incorporation (DD/MM/YYYY):				
Authorised Contact Person 1:				Phone No:				
Authorised Contact Person 2:				Phone No:				
Estimated Net Worth (or equivalent in foreign currency) <input type="checkbox"/> ≤RM100K <input type="checkbox"/> RM100,001-RM500,000 <input type="checkbox"/> RM500,001-RM1.0 Mil <input type="checkbox"/> ≥RM1.0 Mil ≤ RM3.0 Mil <input type="checkbox"/> ≥ RM3 Mil		Status <input type="checkbox"/> Incorporated in Malaysia, Bumiputra Controlled <input type="checkbox"/> Incorporated in Malaysia, Non-Bumiputra Controlled <input type="checkbox"/> Incorporated outside Malaysia <input type="checkbox"/> Others (please specify) .....		Source of Income <input type="checkbox"/> Disposal of non-core business / assets / investments <input type="checkbox"/> Fund raising exercise such as rights issue <input type="checkbox"/> Cash in hand / surplus fund / working capital <input type="checkbox"/> Others (please specify) .....				

**4. CORRESPONDENCE ADDRESS (INDIVIDUAL & NON-INDIVIDUAL)**

*(Please complete all and select "one" of the address provided below to be your Correspondence Address)*

Permanent/Home Address (Individual) / Registered Office Address (Non-Individual):				<input type="checkbox"/> Please select if this is your preferred Correspondence Address:
Postcode:	Town:	State:	Country:	
Phone No: (House)	Mobile No:	Email:		
Business/Office Address (Individual) / Place of Business (Non-Individual):				<input type="checkbox"/> Please select if this is your preferred Correspondence Address:
Postcode:	Town:	State:	Country:	
Phone No: (Office)	Fax No:	Email:		

**If you are using P.O. Box, please indicate reason for using the address:**

No postal service available  Others (please specify): .....

**5. INITIAL INVESTMENT**

	Fund Name	Classe(es)^ of Unit	Distribution Instruction Reinvest / Payout	Sales Charge%	Investment Amount
1.			<input type="checkbox"/> Reinvest <input type="checkbox"/> Payout		
2.			<input type="checkbox"/> Reinvest <input type="checkbox"/> Payout		
3.			<input type="checkbox"/> Reinvest <input type="checkbox"/> Payout		
4.			<input type="checkbox"/> Reinvest <input type="checkbox"/> Payout		
5.			<input type="checkbox"/> Reinvest <input type="checkbox"/> Payout		

^ For Class(es), please specify Class name: eg. USD Class/AUD Class Hedged/ SGD Class/ MYR Class/ MYR Hedged Class, etc. (Please refer to the relevant Prospectus(es)/ Information Memorandum(s) and Supplemental(s) (if any) and Product Highlights Sheet for the Class(es) to invest)

**Total**

**Note:**

All applicant intending to invest in a Class other than MYR Class and MYR Hedged Class are required to have a foreign currency account maintained with approved financial institution.

Purpose of investment  Savings  Retirement  Education Funding  Others (please specify) .....

**6. INVESTMENT PAYMENT DETAILS**

Cheque / Banker's Cheque / Cashier's Cheque No: .....  Online Transfer: .....  
 Transaction Over the Bank Counter /Telegraphic Transfer: .....

- 1) Cheque without the applicant name printed on it must be accompanied with the bank statement.
- 2) For banker's cheque & cashier's cheque, must provide copy of the bank application form.
- 3) Enclose proof of payment (e.g payment slip/fund transfer receipt) together with copy of the bank statement for verification of applicant(s) name and bank account number.
- 4) No payment from a third party account of the applicant is allowed.

**7. DISTRIBUTION INSTRUCTIONS**

Please tick (✓) either one of the following box.

Reinvestment of Unit  Cash Payment\* (please complete the bank details) **Bank details must belong to the Applicant(s) Name as per the form.**

Individual Account  Joint Account  Corporate Account

Principal Applicant Name / Corporate Name (as per bank record):

Joint Account Name (as per bank record):

Bank Name:

Bank Account Number:

Currency:  MYR  Other Currency Class: ..... Bank Swift Code:.....

**8. CONSENT FOR ELECTRONIC COMMUNICATION**

Please tick (✓) the appropriate box to confirm on the channel to receive communication and information.

**If the below box is not ticked, by default, all communication will be via email.**

- Receive statement, reports and notices via email only.
- Request hardcopy of statement, reports and notices to be mailed to Correspondence Address.

**9. TAX RESIDENCY STATUS**

**(A) FOREIGN ACCOUNT TAX COMPLIANCE ACT ("FATCA") DECLARATION**

*(Note: Only individual investors are required to complete the following U.S. indicia questionnaire, legal entity(s) or corporate clients do not have to complete the following U.S. indicia questionnaire)*

**U.S Indicia Questionnaire:**

Do you possess any of the following U.S. indicia ? If yes, please indicate.

- 1. U.S. citizen/tax resident (U.S. passport/ green card holder, U.S taxpayer, etc.) ?  No  Yes
- 2. U.S. place of birth?  No  Yes
- 3. U.S. address (residence/ mailing/ P.O Box) ?  No  Yes
- 4. U.S. telephone number?  No  Yes
- 5. Standing instructions to pay amounts from TAIM account to an account maintained in the U.S ?  No  Yes

**I/We hereby declare that I am/we are**

- Non-U.S. Individual(s) with no U.S. indicia
- Non-U.S. Individual(s) with U.S. indicia / Non-U.S. Legal Entity(s) (provide Form W-8)

If there is any update to the account information/FATCA status or if updates provided reveal any U.S. indicia or change to FATCA status. I/we hereby agree to notify and furnish TA Investment Management Berhad ("TAIM") with the relevant documentary evidence within 30 days of such change. I/We consent to and authorise TAIM to perform any of the following, if applicable:

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

**Note: For further clarification, please consult your tax adviser**

**(B) CRS SELF-CERTIFICATION FORM ("CRS") FORM**

*(Note: Please tick (✓) box that is applicable)*

*In accordance with the regulatory requirement, TAIM is required to collect and report information about tax residence(s) status. (Each applicant to complete separate CRS Form)*

- Individual – Principal Applicant - complete and sign CRS Self-Certification Form (Individual), page 7
- Individual – Joint Applicant – complete and sign CRS Self-Certification Form, (Individual) page 8
- Non-Individual Applicant - complete and sign (i) CRS Self-Certification Form (Entity), page 10 & 11  
(ii) CRS Self-Certification Form (Controlling Person), page 14 & 15

**10. ACCOUNT OPERATING INSTRUCTION**

**For Joint Application,** please tick (✓) for future transaction. If no instruction given, Principal Applicant is recognised as the authorised signatory.

- Principal Applicant To Sign
- Either One To Sign
- Both To Sign

**11. DECLARATION & SIGNATURE**

I/We hereby declare that have received, read and understood the contents of the relevant Prospectus(es)/ Information Memorandum(s) and Supplemental(s) (if any), and agree to abide by the Notes and Conditions as specified prior to completing this application.

I/We wish to invest in the Fund(s) mentioned above and agree to be bound by the provisions of the Deed(s).

I/We declare that the above particulars are true and complete and that no information was withheld that may influence the acceptance of this application.

I/We declare that this application is not funded by gains from any unlawful activities.

I/We are aware on the fees and charges that will be incurred directly or indirectly when investing in the Fund.

I/We irrevocably consent & authorise TAIM to disclose any informations/documents relating to TAIM from time to time as TAIM deems fit in its absolute discretion.

I/We consent to the use of my personal data as per notice (please read the Personal Data Protection Act 2010 under Notes and Conditions).

I/We declare the personal data information given by me/us is accurate, complete and not misleading.

I/We hereby agree to indemnify TAIM against any actions, proceedings, claims, losses, damages and costs which be brought against, suffered or incurred by TAIM as a result of any inaccuracy of declarations herein.

I/We declare am/are not an undischarged bankrupt nor has any petition for bankruptcy been filed against me/us.

I/We declare, where applicable, to be the authorised person to act on behalf of a person where information of such person is declared under section "Beneficial Owner".

Signature is not required for joint applicant who is below 18 years old. In the event there is a change in the Authority To Operate Account when the minor turns 18 years old, a fresh instruction has to be given by the Principal Applicant. (Not applicable for Wholesale Fund investors)

Principal Applicant / Authorised Signatory 1 Date	Joint Applicant / Authorised Signatory 2 (if any) Date	Company Seal or Stamp
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**FOR DISTRIBUTOR'S USE ONLY**

**FOR OFFICE USE ONLY**

<input type="checkbox"/> UTC <input type="checkbox"/> IUTA <input type="checkbox"/> Business Centre <input type="checkbox"/> TAIM, HQ	Name:	Remarks	Attended By/ Date	
	Code:		Approved By/ Date	
	Date:	Received By/Date	Processed By/Date	Verified By/ Date

This Investor Suitability Assessment Form will guide you in choosing the unlisted capital market products that suit your investment objective, risk tolerance, financial profile and investment experience. The information you provide will form the basis of our recommendation. It is important to provide accurate and complete information to ensure that suitable unlisted capital market products are recommended according to your investment needs and objectives. Any misleading, inaccurate or incomplete information provided by the investor will effect the outcome of the recommendation made. In such a case, TA Investment Management Berhad and its authorised distributors may not be held liable for such recommendation.

**Note:**

- All investors should complete the suitability assessment form (SA), including the first time investor, investor who wants to invest in different category of fund from his/her earlier risk profile result and for same investor who maintain the investment account with different agent.
- Only High Net-Worth Entity may opt out from completing the SA.
- For joint account, the principal applicant answers for Section 1A and 1B will be treated as representing the joint response of both (principal & joint) applicant and both agreed to declare and sign at Section 4.

All information will be treated with strictest confidence.

**Section 1 – Suitability Assessment**

Please circle your scores:

Section 1A – Financial Profile Questions	Score	Section 1B - Suitability Assessment Questions	Score
1. Which range best describes your personal annual income. a. N/A b. Below RM72,000 c. RM72,001 to RM120,000 d. RM120,001 to RM300,000 e. RM300,001 to RM600,000 f. RM600,001 and above	[ 0 ] [ 2 ] [ 4 ] [ 6 ] [ 8 ] [10]	2. Which statement best describes your experience and knowledge in investments? a. Very limited (little knowledge) b. Basic knowledge (understand the differences between equities, bonds and fixed income) c. Fair amount of knowledge (aware of different Investment options and their risks) d. Considerable knowledge (understand different investment philosophies) e. Extensive knowledge (complete understanding of investment products and strategies)	[ 0 ] [ 4 ] [ 6 ] [ 8 ] [10]
3. How certain are you that your various sources of income will be stable in the future? a. Uncertain b. Somewhat certain c. Certain	[ 2 ] [ 5 ] [10]	4. What is your risk tolerance level towards losses? a. 0% b. 0% to 2% c. 2% to 5% d. 5% to 10% e. More than 10%	[ 0 ] [ 2 ] [ 4 ] [ 6 ] [ 8 ]
5. How old are you? a. Below 40 b. 40 to 44 c. 45 to 49 d. 50 to 60 e. 60 above	[10] [ 8 ] [ 6 ] [ 4 ] [ 2 ]	6. Suppose over a horizon of two to three years, your portfolio lost 25% of its initial value. What would you do? a. sell all the investment and reinvest more conservatively. b. sell the majority of the investment, moving it to a more conservative investment and allow to regain the value. c. do nothing, realizing that the investment will rebound with the markets. d. add to the investment, in order to take advantage of lower prices.	[ 2 ] [ 4 ] [ 6 ] [ 8 ]
7. What is the percentage that this investment will represent as a portion of your total investments? a. More than 75% b. 50% to 70% c. Less than 50%	[ 0 ] [ 5 ] [10]	8. How much of your investment do you expect to redeem over 3 years? a. 0% b. Up to 25% c. Up to 50% d. Up to 100%	[10] [ 6 ] [ 4 ] [ 0 ]
9. For how many years will you remain invested? a. More than 20 years b. 10 to 20 years c. 5 to 10 years d. 3 to 5 years e. Less than 2 years	[10] [ 8 ] [ 6 ] [ 4 ] [ 2 ]	10. How frequent do you wish to review your investment? a. seldom, I want to focus on other things. b. once a year, when I meet with the advisor to review my financial plan. c. once a quarter, because I like to keep on top of things. d. monthly or weekly because I enjoy keeping track of my investments.	[ 8 ] [ 6 ] [ 4 ] [ 2 ]

Total the score for questions 1 to 10

Total Score	Tick (✓)	Type of Fund	Your Investment Profile
Below 30 points		-Low Risk	<b>Conservative</b> You are a conservative investor who is looking for low risk investment and at the same time preservation of capital is very important to you. You are prepared to sacrifice higher returns for peace of mind.
30 – 69 points		-Low Risk -Medium Risk	<b>Moderate</b> You are a balanced investor who can accept some risks to your capital. You require an investment that has some potential to grow in value over the medium-to-long term.
Above 70 points		-Low Risk -Medium Risk -High Risk	<b>Aggressive</b> You seek capital growth over the long-term and are prepared to accept higher amount of risk of your potential capital appreciation.

Section 2 – Recommendation (to be completed by authorised adviser)	
TAIM Fund Name	3 <sup>rd</sup> Party Fund Name
1.	1.
2.	2.
3.	3.
4.	4.
5.	5.
I recommend the above investment fund to the investors	<input type="checkbox"/> Yes <input type="checkbox"/> No
If Yes, the reason for the recommendation	<input type="checkbox"/> According to investor's investment objective <input type="checkbox"/> To meet the investor's financial <input type="checkbox"/> Other: _____ (please specify)
If No, the reason for the non-recommendation	<input type="checkbox"/> Investor's choice/preference <input type="checkbox"/> Other: _____ (please specify)

Section 3 - Investor's Declaration		
<i>Based on the completion of this form, I/We acknowledge the following (Compulsory)</i>	Yes	No
The adviser has explained and I/we have understood the features and risks of the Fund.	<input type="checkbox"/>	<input type="checkbox"/>
All information disclosed is true, complete and accurate.	<input type="checkbox"/>	<input type="checkbox"/>
I/We acknowledge receipt of a copy of Product Highlights Sheet and the relevant disclosure documents which have been given to me/us.	<input type="checkbox"/>	<input type="checkbox"/>
I/We decline to provide certain information required for Investor Suitability Assessment Form and that this may adversely affect my/our suitability assessment.	<input type="checkbox"/>	<input type="checkbox"/>
I/We <b>disagree</b> with the above profiling. I/We fully understand the investment risk involved and have decided to purchase another unlisted capital market product that is not recommended by the product distributor.	<input type="checkbox"/>	<input type="checkbox"/>
I/We <b>agree</b> with the above profiling. I/we fully understand the investment risk involved and have decided to purchase another unlisted capital market product that is not recommended by the product distributor.	<input type="checkbox"/>	<input type="checkbox"/>
<b>Only for High Net-Worth Entity</b> I/We <b>do not agree</b> to participate in this assessment.	<input type="checkbox"/>	

\_\_\_\_\_  
Principal Applicant/  
Authorised Signatory 1

\_\_\_\_\_  
Joint Applicant/  
Authorised Signatory 2

\_\_\_\_\_  
Company Seal or Stamp

**Section 4 - Adviser's - Unit Trust Consultant (UTC) /Institutional Unit Trust Advisers (IUTA) Declaration**

- I declare that:
- The information provided to me in this Suitability Assessment is strictly confidential and is used for the purpose of fact finding and to facilitate the advisory process.
  - I have explained all the required information to you and have attached the relevant documents.
  - I am a trained/qualified and licensed UTC/IUTA by Federation of Investment Managers Malaysia (FiMM).

<b>Signature</b> :	
<b>Adviser's Name</b> :	
<b>Adviser's Code</b> :	
<b>Date</b> :	

For Office Use:		
Received By / Date :	Processed By / Date :	Verified By / Date :

**WARNING**  
THE RECOMMENDATION IS MADE BASED ON INFORMATION OBTAINED FROM THE SUITABILITY ASSESSMENT. INVESTORS ARE ADVISED TO EXERCISE JUDGEMENT IN MAKING AN INFORMED DECISION IN RELATION TO THE UNLISTED CAPITAL MARKET PRODUCT.

**INSTRUCTIONS** (Please read these instructions before completing the form)

- In accordance with regulatory requirement, TAIM is required to collect and report information about your tax residence(s) status. If you are a tax resident outside the country where your account is held, we may be obliged to transmit your information to Inland Revenue Board of Malaysia ("IRBM") and they may exchange your information between different countries' tax authorities.
- This form will remain valid unless there is a change in circumstances relating to information, such as the account's tax status or other mandatory field information that makes this form incorrect or incomplete. In that case you must notify TAIM and provide an updated self-certification.
- Please fill in this form if you are an individual account holder, sole trader or sole proprietor.
- For joint or multiple account holders, use a separate form for each individual person.
- Where you need to self-certify on behalf of an entity account holder, do not use this form. Instead, you will need to complete an "Entity tax residency self-certification form". Similarly, if you are a controlling person of an entity, please fill in a "Controlling person tax residency self-certification form" instead of this form.
- Even if you have already provided information in relation to the United States Government's Foreign Account Tax Compliance Act ("FATCA"), you may still need to provide additional information for the CRS as this is a separate regulation.

**As a financial institution, we are not allowed to give tax advice.**

- Your tax adviser may be able to assist you in answering specific questions on this form. Your domestic tax authority can provide guidance regarding how to determine your tax status.
- You can also find out more, including a list of jurisdictions that have signed agreements to automatically exchange information, along with details about the information being requested, on the OECD automatic exchange of information portal at:  
<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/>

Please complete in **BLOCK LETTERS**

**PART 1. IDENTIFICATION OF INDIVIDUAL - PRINCIPAL APPLICANT**

First Name (Given Name)
Last Name (Family Name)
Identification No.

*If your legal name is a single name, the first name data element should be completed as "NFN" (No First Name) and the last name field should be completed with account holder's single name.*

**PART 2. TAX RESIDENCY DECLARATION**

Please tick one option and complete as appropriate:

- (i)  I am a tax resident of Malaysia and I do not have tax residency with other countries.
- (ii)  I am a tax resident of Malaysia and I **have** tax residency with other countries.
- (iii)  I am not a tax resident of Malaysia and do not have tax residency with other countries.
- (iv)  I am not a tax resident of Malaysia and **have** tax residency with other countries.

If you select (ii) or (iv), please complete the following table.

No	Country/Jurisdiction of tax residence	Taxpayer ID No. (TIN)	If TIN is not available, please indicate Reason A, B or C	If selected Reason C, please give explain why unable to obtain TIN.
1.				
2.				
3.				
4.				
5.				

*If the tax resident is more than (5) countries, please use a separate sheet.*

- Reason A: The country/jurisdiction where the Account Holder is resident does not issue TINs to its resident.
- Reason B: No TIN is required. (Note: Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction).
- Reason C: The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the above table if you have selected this reason).

**PART 3. DECLARATION & SIGNATURE**

I understand that the information provided by me is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with TA Investment Management Berhad ("TAIM") setting out how TAIM may use and share the information supplied by me.

I acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be reported to tax authorities of the country/jurisdiction in which this account(s) is maintained and exchanged with tax authorities of another country/jurisdiction in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

I certify that I am the Account Holder (or am authorised to sign for the Account Holder) of all the account(s) to which this form relates.

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.

I undertake to advise TAIM within 30 days of any change in circumstance which affects the tax residency status of the Account Holder or causes the information contained herein to become incorrect or incomplete, and to provide TAIM with a suitably updated Self-Certification and Declaration within 30 days of such change in circumstances.

Signature: Date:	Note: If you are not the Account Holder, please indicate the capacity in which you are signing the form. If signing under power of attorney, please also attach a certified copy of the power of attorney.  Capacity: .....
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Please complete in **BLOCK LETTERS**

<b>PART 1. IDENTIFICATION OF INDIVIDUAL – JOINT APPLICANT</b>
First Name (Given Name)
Last Name (Family Name)
Identification No.

*If your legal name is a single name, the first name data element should be completed as "NFN" (No First Name) and the last name field should be completed with account holder's single name.*

**PART 2. TAX RESIDENCY DECLARATION**

Please tick one option and complete as appropriate:

- (i)  I am a tax resident of Malaysia and I do not have tax residency with other countries.
- (ii)  I am a tax resident of Malaysia and I **have** tax residency with other countries.
- (iii)  I am not a tax resident of Malaysia and do not have tax residency with other countries.
- (iv)  I am not a tax resident of Malaysia and **have** tax residency with other countries.

If you select (ii) or (iv), please complete the following table.

No	Country/Jurisdiction of tax residence	Taxpayer ID No. (TIN)	If TIN is not available, please indicate Reason A, B or C	If selected Reason C, please give explain why unable to obtain TIN.
1.				
2.				
3.				
4.				
5.				

*If the tax resident is more than (5) countries, please use a separate sheet.*

Reason A: The country/jurisdiction where the Account Holder is resident does not issue TINs to its resident.

Reason B: No TIN is required. (Note: Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction).

Reason C: The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the above table if you have selected this reason).

**PART 3. DECLARATION & SIGNATURE**

I understand that the information provided by me is covered by the full provisions of the terms and conditions governing the Account Holder's relationship with TA Investment Management Berhad ("TAIM") setting out how TAIM may use and share the information supplied by me.

I acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be reported to tax authorities of the country/jurisdiction in which this account(s) is maintained and exchanged with tax authorities of another country/jurisdiction in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

I certify that I am the Account Holder (or am authorised to sign for the Account Holder) of all the account(s) to which this form relates.

I declare that all statements made in this declaration are, to the best of my knowledge and belief, correct and complete.

I undertake to advise TAIM within 30 days of any change in circumstance which affects the tax residency status of the Account Holder or causes the information contained herein to become incorrect or incomplete, and to provide TAIM with a suitably updated Self-Certification and Declaration within 30 days of such change in circumstances.

Signature: Date:	Note: If you are not the Account Holder, please indicate the capacity in which you are signing the form. If signing under power of attorney, please also attach a certified copy of the power of attorney. Capacity: .....
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**INSTRUCTIONS** (Please read these instructions before completing the form)

- In accordance with regulatory requirement, TAIM is required to collect and report information about your tax residence(s) status. If you are a tax resident outside the country where your account is held, we may be obliged to transmit your information to Inland Revenue Board of Malaysia ("IRBM") and they may exchange your information between different countries' tax authorities.
- This form will remain valid unless there is a change in circumstances relating to information, such as the account's tax status or other mandatory field information, that makes this form incorrect or incomplete. In that case you must notify TAIM and provide an updated self-certification.
- Please complete this form if you are doing so on behalf of an entity account holder.
- If you are an individual account holder or sole trader or sole proprietor do not complete this form. Instead, please complete an "*Individual tax residency self-certification form*".
- Even if you have already provided information in relation to the United States Government's Foreign Account Tax Compliance Act ("FATCA"), you may still need to provide additional information for the CRS as this is a separate regulation.

**As a financial institution, we are not allowed to give tax advice.**

- Your tax adviser may be able to assist you in answering specific questions on this form. Your domestic tax authority can provide guidance regarding how to determine your tax status.
- You can also find out more, including a list of jurisdictions that have signed agreements to automatically exchange information, along with details about the information being requested, on the OECD automatic exchange of information portal at:  
<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/>

**CRS SELF-CERTIFICATION FORM  
(ENTITY)**

Please complete in **BLOCK LETTERS**

<b>PART 1. IDENTIFICATION OF ACCOUNT HOLDER</b>
Name of Entity/Organisation <i>(as per Company Registration Certificate)</i>
Company Registration No.
Country of Incorporation

**PART 2. TAX RESIDENCY DECLARATION**

Please tick one option and complete as appropriate:

- (i)  I/We acknowledge this entity is a tax resident of Malaysia and do not have tax residency with other countries.
- (ii)  I/We acknowledge this entity is a tax resident of Malaysia and **have** tax residency with other countries.
- (iii)  I/We acknowledge this entity is not a tax resident of Malaysia and do not have tax residency with other countries.
- (iv)  I/We acknowledge this entity is not a tax resident of Malaysia and **have** tax residency with other countries.

If you select (ii) or (iv), please complete the following table.

No	Country/Jurisdiction of tax residence	Taxpayer ID No. (TIN)	If TIN is not available, please indicate Reason A, B or C	If selected Reason C, please give explain why unable to obtain TIN.
1.				
2.				
3.				
4.				
5.				

*If the tax resident is more than (5) countries, please use a separate sheet.*

Reason A: The country/jurisdiction where the Account Holder is resident does not issue TINs to its resident.

Reason B: No TIN is required. (Note: Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction).

Reason C: The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the above table if you have selected this reason).

**PART 3. ENTITY TYPE**

Please provide the Account Holder's Status by selecting one of the followings:

**1. Financial Institution**

- a) Depository Institution, Custodial Institution or Specified Insurance Company
- b) An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution   
*If this box is ticked, please provide the names and complete "Controlling Person Self-Certification Form" for each of your Controlling Persons.*
- c) Other Investment Entity

**2. Non-Financial Entity (NFE)**

- d) **Active NFE** - a Government Entity or Central Bank, an International Organisation, other (e.g. non-listed entity or non-profit organization).
- e) **Active NFE** - a corporation the stock of which is regularly traded on an established securities market & a corporation which is a related entity of such a corporation.

*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.*

.....

- f) **Passive NFE** – NFE that is not an active NFE   
*If this box is ticked, please provide the names and complete "Controlling Person Self-Certification Form" for each of your Controlling Persons.*

Indicate the names of all controlling person(s) of the Account Holder in the table below: (each individual controlling person must complete separate "Controlling Person Self-Certification Form").

<b>PART 4. NAME OF CONTROLLING PERSON</b>	
1.	
2.	
3.	

<b>PART 5. DECLARATION &amp; SIGNATURE</b>
--

I/We understand that the information provided by me/us are covered by the full provisions of the terms and conditions governing the Account Holder's relationship with TA Investment Management Berhad ("TAIM") setting out how TAIM may use and share the information supplied by me/us.

I/We acknowledge that the information contained in this form and information regarding the Account Holder and any Reportable Account(s) may be reported to tax authorities of the country/jurisdiction in which this account(s) is maintained and exchanged with tax authorities of another country/jurisdiction in which the Account Holder may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

I/We certify that I/we are authorised to sign for the Account Holder in respect of all the account(s) to which this form relates.

I/We declare that all statements in this declaration are, to the best of my/our knowledge and belief, correct and complete.

I/We undertake to advise TAIM within 30 days of any change in circumstance which affects the tax residency status of the Account Holder or causes the information contained herein to become incorrect or incomplete, and to provide TAIM with a suitably updated Self-Certification and Declaration within 30 days of such change in circumstances.

Authorised Signatory 1: Name: Date:	Authorised Signatory 2: Name: Date:	Note: If signing under power of attorney, please also attach a certified copy of the power of attorney. Capacity: .....
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## DEFINITIONS

### Account Holder

The "Account Holder" means the person listed or identified as the holder of a Financial Account by the Financial Institution that maintains the account. This is regardless of whether such person is a flow-through Entity. Thus, for example, if a trust or an estate is listed as the holder or owner of a Financial Account, the trust or the estate is the Account Holder, rather than the trustee or the trust's owners or beneficiaries. Similarly, if a partnership is listed as the holder or owner of a Financial Account, the partnership is the Account Holder, rather than the partner in the partnership. A person, other than a Financial Institution, holding a Financial Account for the benefit or account of another person as agent, custodian, nominee, signatory, investment advisor, or intermediary, is not treated as holding the account, and such other person is treated as holding the account.

### Active NFE

An NFE is an Active NFE if it meets any of the criteria listed below. In summary, those criteria refer to

- active NFEs by reason of income and assets;
- publicly traded NFEs;
- Governmental Entities, International Organisation, Central Banks, or their wholly owned Entities;
- holding NFEs that are members of a nonfinancial groups;
- star-up NFEs;
- NFEs that are liquidating or emerging from bankruptcy;
- treasury centres that are members of a nonfinancial group; or
- non-profit NFEs.

### Controlling Person(s)

Controlling Person(s) are the natural person(s) who exercises control over an entity. Where that entity is treated as a Passive Non-Financial Entity ("Passive NFE") then a Financial Institution is required to determine whether or not these Controlling Persons are Reportable Persons. This definition corresponds to the term "beneficial owner" described in Recommendation 10 and the Interpretative Note on Recommendation 10 of the Financial Action Task Force Recommendations (as adopted in February 2012).

### Entity

The term "Entity" means a legal person or a legal arrangement such as a corporation, organisation, partnership, trust or foundation. The term covers any person other than an individual (i.e. a natural person)

### Financial Institution

The term "Financial Institution" means a "Custodial Institution", a "Depository Institution", an "Investment Entity", or a "Specified Insurance Company". Please see the relevant domestic guidance and the CRS for further classification definitions that apply to Financial Institutions.

### NFE

"NFE" is an Entity that is not a Financial Institution.

### Passive NFE

Under the CRS a "Passive NFE" means any NFE that is not an Active NFE. An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution is also treated as a Passive NFE for purposes of the CRS.

### Related Entity

An Entity is a "Related Entity" of another Entity if either Entity controls the other Entity, or the two Entities are under common control. For this purpose, control includes direct or indirect ownership of more than 50% of the vote and value in an Entity.

### Reportable Person

A "Reportable Person" defined as a "Reportable Jurisdiction Person", other than:

- a corporation the stock of which is regularly traded on one or more established securities markets;
- any corporation that is a related Entity of a corporation described in clause (i);
- a Governmental Entity;
- an International Organisation;
- a Central Bank; or a Financial Institution (except for an Investment Entity described in Sub Paragraph A (6) b) of the CRS that are not Participating Jurisdiction Financial Institutions. Instead, such Investment Entities are treated as Passive NFE's)

### Reportable Account

The term "Reportable Account" means an account held by one or more Reportable Persons or by a Passive NFE with one or more Controlling Persons that is a Reportable Person.

**INSTRUCTIONS** (Please read these instructions before completing the form)

- In accordance with regulatory requirement, TAIM is required to collect and report information about your tax residence(s) status. If you are a tax resident outside the country where your account is held, we may be obliged to transmit your information to Inland Revenue Board of Malaysia ("IRBM") and they may exchange your information between different countries' tax authorities.
- This form will remain valid unless there is a change in circumstances relating to information, such as the account's tax status or other mandatory field information, that makes this form incorrect or incomplete. In that case you must notify TAIM and provide an updated self-certification.
- Please fill in this form if the account holder is a Passive NFE, or an Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution.
- Where you need to self-certify on behalf of an entity account holder, do not use form. Instead, you will need an "Entity tax residency self-certification". Similarly, if you're an individual account holder, sole trader or sole proprietor, then please complete an "Individual tax residency self-certification".
- If you are filling in this form on behalf of a controlling person, please tell us in what capacity you are signing this form. (For example you may be the Passive NFE Account Holder, or completing the form under a power of attorney).
- For joint or multiple controlling persons, use a separate form for each individual person.
- Even if you have already provided information in relation to the United States Government's Foreign Account Tax Compliance Act ("FATCA"), you may still need to provide additional information for the CRS as this is a separate regulation.

**As a financial institution, we are not allowed to give tax advice.**

- Your tax adviser may be able to assist you in answering specific questions on this form. Your domestic tax authority can provide guidance regarding how to determine your tax status.
- You can also find out more, including a list of jurisdictions that have signed agreements to automatically exchange information, along with details about the information being requested, on the OECD automatic exchange of information portal at:  
<http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/>

Please complete in **BLOCK LETTERS**

**PART 1. IDENTIFICATION OF CONTROLLING PERSON**

**A. Name of Controlling Person**

First Name (Given Name)

Last Name (Family Name)

Identification No.

*If your legal name is a single name, the first name data element should be completed as "NFV" (No First Name) and the last name field should be completed with account holder's single name.*

**B. Current Residence Address**

Address:			
Postcode:	Town:	State:	Country:
Contact No:	Mobile No:	Email:	

**C. Mailing Address** *(please only complete if different to the address shown in Section B)*

Address			
Postcode:	Town:	State:	Country:
Contact No:	Mobile No:	Email:	

**D. Date and Place of Birth:**

Date of Birth (dd/mm/yyyy):	Town or City of Birth:
Country of Birth:	

**E. Please enter the legal name of the relevant Entity Account Holder(s) of which you are a Controlling Person**

Legal Name of <b>Entity 1</b>	
Legal Name of <b>Entity 2</b>	
Legal Name of <b>Entity 3</b>	

**PART 2. TAX RESIDENCY DECLARATION**

Please tick one option and complete as appropriate:

- (i)  I am a tax resident of Malaysia and I do not have tax residency with other countries.
- (ii)  I am a tax resident of Malaysia and I **have** tax residency with other countries.
- (iii)  I am not a tax resident of Malaysia and I do not have tax residency with other countries.
- (iv)  I am not a tax resident of Malaysia and I **have** tax residency with other countries.

If you select (ii) or (iv), please complete the following table.

No	Country/Jurisdiction of tax residence	Taxpayer ID No. (TIN)	If TIN is not available, please indicate Reason A, B or C	If selected Reason C, please give explain why unable to obtain TIN.
1.				
2.				
3.				
4.				
5.				

*If the tax resident is more than (5) countries, please use a separate sheet.*

Reason A: The country/jurisdiction where the Account Holder is resident does not issue TINs to its resident.

Reason B: No TIN is required. (Note: Only select this reason if the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction).

Reason C: The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the above table if you have selected this reason).

**PART 3. TYPE OF CONTROLLING PERSON**

Please only complete this section if you are tax resident in one or more reportable jurisdiction.

Type of Controlling Person	Controlling Person's Status	Entity 1	Entity 2	Entity 3
Controlling Person of a legal person	Control by ownership	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Control by other means	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Senior managing official	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Controlling Person of a trust	Settlor	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trustee	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Protector	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Beneficiary	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Controlling Person of a legal arrangement (non-trust)	Settlor - equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Trustee - equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Protector - equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Beneficiary - equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
	Other - equivalent	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

**PART 4. DECLARATION & SIGNATURE**

I understand that the information provided by me is covered by the full provisions of the terms and conditions governing the Entity Account Holder's relationship with TA Investment Management Berhad ("TAIM") setting out how TAIM may use and share the information supplied by me.

I acknowledge that the information contained in this form and information regarding the Controlling Person and any Reportable Account(s) may be reported to tax authorities of the country/jurisdiction in which this account(s) is maintained and exchanged with tax authorities of another country/jurisdiction in which the Controlling Person may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

I certify that I am the Controlling Person or am authorised to sign for the Controlling Person of all the account(s) held by the Entity Account Holder to which this form relates.

I declare that all statements made in this declaration are, to the best of my knowledge and belief, accurate and complete.

I undertake to advise TAIM within 30 days of any change in circumstance which affects the tax residency status of the Controlling Person or causes the information contained herein to become incorrect or incomplete, and to provide TAIM with a suitably updated Self-Certification and Declaration within 30 days of such change in circumstances.

Signature:

Date:

Note: If you are not the Controlling Person please indicate the capacity in which you are signing the form. If signing under power of attorney, please also attach a certified copy of the power of attorney.

Capacity: .....

## **DEFINITIONS**

### **Account Holder**

The term "Account Holder" means the person listed or identified as the holder of a Financial Account. A person, other than a Financial Institution, holding a Financial Account for the benefit of another person as an agent, a custodian, a nominee, a signatory, an investment advisor, an intermediary, or a legal guardian, is not treated as the Account Holder. In these circumstances that other person is the Account Holder. For example, in the case of a parent/child relationship where the parent is acting as a legal guardian, the child is regarded as the Account Holder. With respect to a jointly held account, each joint holder is treated as an Account Holder.

### **Controlling Person**

This is a natural person who exercises control over an entity. Where that entity is treated as a Passive Non-Financial Entity ("NFE") then a Financial Institution must determine whether such Controlling Persons are Reportable Persons. This definition corresponds to the term 'beneficial owner' as described in Recommendation 10 and the Interpretative Note on Recommendation 10 of the Financial Action Task Force Recommendations (as adopted in February 2012).

### **Controlling Person of a trust**

Means the settlor(s) the trustee(s), the protector(s) (if any), the beneficiary(ies) or class(es) of beneficiaries, and any other natural person(s) exercising ultimate effective control over the trust (including through a chain of control or ownership). The settlor(s), the trustee(s), the protector(s) (if any), and the beneficiary(ies) or class(es) of beneficiaries, must always be treated as Controlling Persons of a trust, regardless of whether or not any of them exercises control over the activities of the trust.

Where the settlor(s) of a trust is an Entity then the CRS requires Financial Institutions to also identify the Controlling Persons of the settlor(s) and when required report them as Controlling Persons of the trust.

In a case of a legal arrangement other than a trust, such term means persons in equivalent or similar positions.

### **Entity**

The term "Entity" means a legal person or a legal arrangement such as a corporation, organisation, partnership, trust or foundation.

### **Passive NFE**

Under the CRS a "Passive NFE" means any NFE that is not an Active NFE. An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution is also treated as a Passive NFE for purposes of the CRS.

### **Reportable Account**

The term "Reportable Account" means an account held by one or more Reportable Persons or by a Passive NFE with one or more Controlling Persons that is a Reportable Person.

### **Reportable Jurisdiction**

A Reportable Jurisdiction is a jurisdiction with which an obligation to provide financial account information is a place and that is identified in a published list.



**This Declaration Form is to be completed when you invest in a Wholesale Fund Only.**

*(Note: Principal and joint applicant must be 18 years old and above. Both need to declare that they are sophisticated investors.)*

I/We\* hereby declare and confirm that I/we\* am/are\* qualified to invest in the Fund as stated above. I/We\* acknowledge that **TA Investment Management Berhad** accepts the investment into the Fund on the basis of this Declaration. I/We\* further confirm that this Declaration is accurate as to the matter stated herein and am/are\* prepared to furnish any documentary evidence to establish the accuracy of this Declaration. In any event, I/we\* agree to indemnify and keep **TA Investment Management Berhad** indemnified in respect of any costs, expenses, fines, penalties, or any other losses, which it may suffer or incur in the event of this Declaration is untrue or incorrect in any way.

\* Please delete where appropriate.

Principal Applicant / Authorised Signatory 1 Date <input type="checkbox"/> I declare that I am a sophisticated Investor	Principal Applicant / Authorised Signatory 2 (if any) Date: <input type="checkbox"/> I declare that I am a sophisticated investor	Company Seal or Stamp
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**Notes To Read Before Completing This Declaration Form (Investment in Wholesale Fund Only)**

You are advised to read and understand the Information Memorandum and Supplemental Information Memorandum(s) (if any) relating to the Fund before investing in the Fund and for additional terms including but not limited to, minimum initial and subsequent investment amount.

Please tick (✓) in the appropriate box(es) below. Only a "Sophisticated Investor(s)" may invest in a wholesale fund. A "Sophisticated Investor(s)" refers to: -

Category of Investors	Definition
<b>A. Accredited investors</b>	<input type="checkbox"/> A unit trust scheme, private retirement scheme or prescribed investment scheme. <input type="checkbox"/> Bank Negara. <input type="checkbox"/> A licensed person or a registered person. <input type="checkbox"/> An exchange holding company, a stock exchange, a derivatives exchange, an approved clearing house, a central depository or a recognized market operator. <input type="checkbox"/> A corporation that is licensed, registered or approved to carry on any regulated activity or capital market services by an authority in Labuan or outside Malaysia which exercises functions corresponding to the functions of the Commission. <input type="checkbox"/> A bank licensee or an insurance licensee as defined under the Labuan Financial Services and Securities Act 2010 [Act 704]. <input type="checkbox"/> An Islamic bank licensee or a takaful licensee as defined under the Labuan Islamic Financial Services and Securities Act 2010 [Act 705]. <input type="checkbox"/> A chief executive officer or a director of any person referred to in paragraphs 3, 4, 5, 6 and 7.P.U. (A) 51. <input type="checkbox"/> A closed-end fund approved by the Commission.
<b>B. High-net worth entities</b>	<input type="checkbox"/> A company that is registered as a trust company under the Trust Companies Act 1949 and has assets under its management exceeding ten million ringgit or its equivalent in foreign currencies. A corporation that - <ul style="list-style-type: none"> <li><input type="checkbox"/> is a public company under the Companies Act 2016 which is approved by the Commission to be a trustee under the Act and has assets under its management, exceeding ten million ringgit or its equivalent in foreign currencies; or</li> <li><input type="checkbox"/> is carrying on the regulated activity of fund management solely for the benefit of its related corporations and has assets under its management exceeding ten million ringgit or its equivalent in foreign currencies.</li> </ul> <input type="checkbox"/> A corporation with total net assets exceeding ten million ringgit or its equivalent in foreign currencies based on the last audited accounts. <input type="checkbox"/> A partnership with total net assets exceeding ten million ringgit or its equivalent in foreign currencies. <input type="checkbox"/> A statutory body established under any laws unless otherwise determined by the Commission P.U. (A) 52. <input type="checkbox"/> A pension fund approved by the Director General of Inland Revenue under the Income Tax Act 1967.
<b>C. High-net worth individuals</b>	An individual - <ul style="list-style-type: none"> <li><input type="checkbox"/> whose total net personal assets, or total net joint assets with his or her spouse, exceeding three million ringgit or its equivalent in foreign currencies, excluding the value of the individual's primary residence;</li> <li><input type="checkbox"/> who has a gross annual income exceeding three hundred thousand ringgit or its equivalent in foreign currencies in the preceding twelve months;</li> <li><input type="checkbox"/> who jointly with his or her spouse, has a gross annual income exceeding four hundred thousand ringgit or its equivalent in foreign currencies in the preceding twelve months;</li> <li><input type="checkbox"/> whose total net personal investment portfolio or total net joint investment portfolio with his or her spouse, in any capital market products exceeding one million ringgit or its equivalent in foreign currencies; or</li> </ul>
<b>D. Consideration ≥ RM 250,000</b>	<input type="checkbox"/> An individual who acquires unlisted capital market products where the consideration is not less than two hundred and fifty thousand ringgit or its equivalent in foreign currencies for transaction whether such amount is paid for in cash or otherwise. <input type="checkbox"/> A company/corporation/institution who acquire unlisted capital market products where the consideration is not less than two hundred and fifty thousand ringgit or its equivalent in foreign currencies for transaction whether such amount is paid for in cash or otherwise.

A "wholesale fund" means a unit trust scheme established where the units are to be issued, offered for subscription or purchase, or for which invitations to subscribe for or purchase the units are to be made, exclusively to sophisticated investors. Please note that this Declaration is not the only term relating to investments into a Wholesale Fund.

## NOTES AND CONDITIONS

### 1. INSTRUCTIONS

Please read the following before completing this Form. By applying for units of the Funds managed by TA Investment Management Berhad ("TAIM" or "the Manager"), you are bound by the terms stated below. All instructions given or purported to be given via any written or facsimile transmission by the applicant, as named in this Form or otherwise in writing are binding on the applicant. **Duly completed forms or instructions from the applicant are deemed irrevocable.**

### 2. DOCUMENTS REQUIRED

#### a) Principal/Joint Applicant (CASH Investment)

- > Account Opening Form;
- > Declaration Form (Wholesale Funds Only);
- > A photocopy of principal/joint applicant NRIC, passport or other form of identification.
- > Proof of payment.

#### b) Principal (EPF Investment)

- > Account Opening Form;
- > KWSP 9N (AHL) Form;
- > A photocopy of principal applicant NRIC/passport.

#### c) Company/Institution/Association

- > Account Opening Form;
- > Declaration Form (Wholesale Funds Only);  
A certification true copy of the the following:
  - > Certification of Incorporation (if any);
  - > Memorandum and Articles of Association (if any);
  - > Form 24 (List of Shareholders) (if any) or return for the allotment of shares under section 78 of the Companies Act 2016;
  - > Form 44 (if any) or notice under section 46 of the Companies Act 2016;
  - > Form 49 (List of Directors) (if any) or notice under section 58 of the Companies Act 2016;
  - > Board Resolution to authorise the investment;
  - > A list of authorised signatories & specimen signatures;
  - > The latest Audited Financial Statement;
  - > Copy of NRIC or passport or other form of identification;
  - > The Company Seal or Stamp, if applicable, must be affixed on this form;
  - > Proof of payment

TAIM reserve the right to request additional documents from applicant(s) to support the application. Application for investment shall not processed in the event of the investor fails to complete the forms and provide required documents for the purpose of investment.

"Beneficial Owner" is the natural person who ultimately owns or controls a customer and/or the natural person on whose behalf a transaction is being conducted. It also includes that person who exercises ultimate effective control over a legal person or arrangement. This is pursuant to Anti-Money Laundering (AML) requirement.

### 3. PRINCIPAL APPLICANT

- Principal applicants must be 18 years of age at the date of application.

### 4. JOINT APPLICANT

- Joint applicant is also required to sign this form.
- A joint applicant who is under 18 years of age need not sign this form. Instead, a photocopy of the NRIC or Birth Certificate is required. (Not applicable for Wholesale Fund investors)
- In the event of the death of a joint applicant, the survivor will be the only person recognised by the Manager as having any title to or interest in the units.
- Units registered in joint names with a minor can be redeemed or transferred by the parent/guardian. On or after the minor's 18<sup>th</sup> birthday, the parent/guardian may request that the units be transferred to the minor's name. In the event of the death of the parent/guardian, the Executor or Administrator of the deceased's estate will be the only person recognised by the Manager as having title to such units. (Not applicable for Wholesale Fund investors)

### 5. ACCOUNT OPERATING INSTRUCTION

- The operating instruction empowers the authorised signatory(ies) to operate the account.
- All redemption proceeds will be made payable **only** to the **principal applicant**, unless there is a request by the principal applicant that the proceeds be made payable to the joint applicant.

### 6. PAYMENT

- Investors are advised **NOT** to make payment in cash when purchasing units of the Fund via any UTC/ IUTA.
- All applicant intending to invest in a Class **other than** MYR Class and MYR Hedged Class are required to have a foreign currency account maintained with approve financial institution.
- Payment in the form of Cheque (without applicant name printed on it must provide bank statement), Banker's Cheque (provide copy of banker's application form), Cashier's Cheque (provide copy of cashier's application form), Rentas Transfer, Interbank Giro (IBG), Telegraphic Transfer (TT) or other mode of payment (provide supporting of payment proceed) must be attached.
- For cash investment, investor is requested to provide proof of payment to show the payment is from the investor and not from any 3<sup>rd</sup> party account holder. The proof of payment must show investor's name as the bank account holder, investor's bank account number, bank logo, TAIM bank account number and this must be a legal statement/screenshot from online bank page.
- All payments must be made into our **MAYBANK Account**, details as below.

#### Denominated in MYR Currency

Fund	Account Number	Payable to
TA Funds	5143 5640 0987	TAIM CLIENTS' TRUST A/C – COLLECTION
TA Islamic CashPLUS Fund	5643 5150 1744	TAIM CLIENTS' TRUST A/C – TAICPF
3 <sup>rd</sup> Party Funds	5143 5672 9223	TAIM CLIENTS' TRUST A/C – IUTA 3RD PARTY

#### Denominated in other than MYR Currencies

Fund	Account Number	Payable to
TA Funds / 3 <sup>rd</sup> Party Funds	7143 5600 8995	TAIM TRUST A/C COLLECTION

- For the above mentioned bank accounts, the swift code is **MBBEMYKL**.
- The Manager will not accept any investment application which is incomplete or not accompanied by the required documents although payment has been credited into TAIM's account.
- The Manager does not accept payment (cheque/online transfer) from a third party of the applicant(s) nor issue payment to any third party of the applicant(s).**

### 7. OTHER CHARGES

Charges, for instance bank charges, telegraphic or online transfer charges and courier charges shall be borne by the Unit Holder in order to execute transactions on behalf of the Unit Holder.

### 8. COOLING-OFF PERIOD

Investors have the right to request for a cancellation of their investment within 6 business days or any other period as mentioned in the Prospectus(es)/ Information Memorandum(s) and Supplemental(s) (if any) from the day of purchase. For details, please refer relevant Prospectus(es)/ Information Memorandum(s) and Supplemental(s) (if any).

## 9. DISTRIBUTION INSTRUCTION

Unit Holders may choose to receive any distributions declared by either of the following methods however is subject as stipulated in the relevant Prospectus(es)/Information Memorandum(s) and Supplemental(s), if any:

### (a) Reinvestment

For reinvestment, the Units will be created based on the NAV per Unit on the Reinvestment Date. There will not be any additional cost for the reinvestment of those additional Units i.e. no sales charge will be imposed on such transaction.

### (b) Payout

The distribution will be paid based on the selected payment mode stated in the form received by our head office or business centres. The payout will be based on the latest information maintain in our record.

Distributions will automatically be re-invested into additional Units of the Fund if:

- No distribution choice is made on the account opening form or investment form.
- The distribution cheque is returned as unclaimed through the post.
- The distribution cheque is uncashed after six (6) months from date of issue.
- The distribution amount is less than RM50.00 or equal to the amount in other respective currency of the Class(es) or such amount determined by the Manager from time to time, and,
- The investment is made under EPF Members Investment Scheme.

In the absence of instructions to the contrary, distribution income from the Fund will be automatically reinvested, at no charge, into additional Units of that Fund based on the NAV per Unit on the Reinvestment Date.

Note: Any change in distribution instruction must be in writing. If this is done in the last 14 days before the distribution declaration date of the Fund, the change will only take effect from the next distribution point, if any.

## 10. RIGHT OF THE MANAGER

The Manager shall be entitled to reject any application for units at its sole discretion without having to furnish any reasons for its rejection to investors.

## 11. NOTES & CONDITIONS RELATING TO THIRD PARTY FUNDS

Please read the following before completing this form. By applying to invest in units of the other unit trust management companies' Funds ("Funds") distributed by TA Investment Management Berhad ("TAIM") as an IUTA you are bound by the terms stated below.

- The applicant hereby agrees that TAIM shall be a bare Custodian and not a trustee to hold and act for and on behalf of the applicant in relation to any units of such Funds as maybe invested in from time to time by the applicant and TAIM shall not recognise any trust or equity in respect of the units registered in the name of TAIM at the applicant's request.
- The applicant hereby appoints TAIM as nominee to apply and undertake any authorised transactions on behalf of the applicant in relation to the Funds.
- TAIM will hold the purchased units as registered unit holder for and/ or behalf of the applicant and is authorised to request payment of and receive all dividends and other payments or distributions in relation to the units.
- Transactions for the units may be aggregated and consolidated either daily or from time to time by TAIM with such transactions as placed or sent by TAIM to the relevant manager of the Fund.
- All transactions with respect to the units effected by TAIM for the applicant shall be according to the terms of the relevant Prospectus(es)/ Information Memorandum(s) and Supplemental(s) (if any), deed of the Fund(s) and applicable laws.

## 12. GENERAL

- This Form must be received by TAIM before 4.00pm (for Third Party Funds before 2.00pm) and if accepted, the NAV for transaction of units will be based at the end of the Business Day on which the application is received by the Manager, except for EPF Investment, the NAV for transaction of units will be based on EPF disbursement received by the Manager before 4.00pm at the end of the business day.
- For TA Islamic CashPlus Fund, NAV for transaction of units will be based when the payment is cleared in TAIM Trust Account before 4.00 pm on a business day.
- Applicant utilizing their EPF savings are not allowed to invest in Funds that are not EPF approved.
- You will receive a transaction advice slip from the Manager indicating the number of units allotted and the confirmed NAV per units of the Class within 14 days.
- Investors will be issued with a Statement of Account together with the Fund's interim and annual report.
- For wholesale fund(s) investors will be issued with a Monthly Statement of Account, quarterly and annual report.
- In the case of joint applicants, distribution and tax vouchers will be issued in the name of the first applicant.
- TAIM reserves the right to reassign another qualified person to replace applicant's consultant at any time it deems fit without having to give any reason whatsoever.
- All investors of any particular Fund are eligible to use the Web Facility – AIMS@TA Investment. This web facility will assist investors to administer and track their Unit Trust investments more effectively and efficiently. Log on to [www.tainvest.com.my](http://www.tainvest.com.my) to sign up.

## 13. CONTACT DETAILS

- The onus is on the applicant to notify TAIM of any change in address and contact number immediately to ensure continuity in the receipt of mails from the Manager.
- Transaction advice slips, statements of account and other documents shall be sent to the applicant's correspondence address as detailed in the Form, at the risk of the applicant.
- All details shown in the transaction advice slips or statements of account are deemed to be correct unless TAIM is notified in writing of any discrepancy within 14 days of issue or 30 days of issue respectively.

## 14. INDEMNITY

- The applicant shall fully indemnify TAIM and any of their consultants 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 TAIM 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 negligence of TAIM.
- The applicant acknowledges and accepts that TAIM has absolute discretion to rely on facsimile confirmation from the applicant and undertakes to indemnify and hold harmless TAIM, its employees and agents against all costs, expenses, losses, damages, claims and demands arising out of relying on the applicant's confirmation.

## 15. 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 which 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. 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 study the terms and conditions carefully before you decide to take a loan. If you are in doubt about any aspect of this risk disclosure statement or the terms of the loan financing, you should consult the institution offering the loan.

## 16. MONEY LAUNDERING STATEMENTS

The applicant hereby warrants that:-

- The applicant is the underlying principal of the Account (where applicable)
- No person other than the applicant has or will have any interest in the Account (where applicable); and
- All monies as may be paid to TAIM from time to time shall come from a legitimate (and not illegal) source
- The applicant agrees to provide all such information and documents as may be necessary to verify the applicant's identity and do all such acts and things as may be necessary to enable TAIM to comply with all applicable anti-money laundering and counter financing of terrorism (AML/ CFT), and know-your-customer laws, rules and regulations (whether in Malaysia or elsewhere). The applicant agrees that TAIM shall not be liable or responsible in anyway whatsoever and shall be held harmless against any loss arising

as a result of or in connection with any delay or failure to process any application or transaction if such information or documents requested by TAIM have not been promptly provided by the applicant to TAIM.

- e) TAIM reserves the right to terminate the relationship if any documents requested pursuant to the AML/ CFT requirements are not received within 14 business days. In the event of termination, units will be redeemed at the closing NAV price on the 15th business day.

#### 17. PERSONAL DATA PROTECTION DATA ACT 2010 (Notice Pursuant to Section 7)

The Personal Data Protection Act 2010 (hereinafter referred to as the "Act"), which regulates the processing of personal data in commercial transactions, applies to TA Investment Management Berhad (hereinafter referred to as "TAIM", "our", "us" or "we"). For the purpose of this personal data notice, the terms "personal data" and "processing" shall have the meaning prescribed in the Act.

This personal data notice applies to any person whose personal data is processed by TAIM.

1. This personal data notice serves to inform you how your personal data is being processed by or on behalf of TAIM.
2. The personal data processed by us may include your name, contact details, email address, username, password, information of any past breaches of or convictions under any law, the relevant services provided to you and any other personal data required for the purposes set out in paragraph 3 below.
3. Subject to the relevant laws, including the Securities Industry (Central Depositories) Act 1991, Capital Markets and Services Act 2007, in respect of depositors' information maintained by Bursa Malaysia Depository Sdn.Bhd., TAIM may use your personal data for the following purposes ("Purposes"):
  - (a) To enable it to discharge its duties and obligations under the Capital Markets and Services Act 2007, the Securities Commission Act 1993, the Securities Industry (Central Depositories Act) 1991, any other written law, the rules of Bursa Malaysia Berhad and its related companies (hereinafter collectively referred to as "Bursa Malaysia") or any co-operation arrangement with any relevant authority or any other stock or derivatives exchange, clearing house, securities depository authorised by the relevant local or foreign laws;
  - (b) To enable it to discharge its contractual obligations;
  - (c) To provide investor and other capital market education events and activities;
  - (d) To enable the resolution of a concern or complaint;
  - (e) To create directories or data bases whether for publication or not;
  - (f) To provide on going information about events and programs, our products and services to people that we believe may be interested in such event, programs, products and services;
  - (g) To provide services;
  - (h) To research, develop and improve our events, programs, products and services; and
  - (i) For any other purpose that is incidental or ancillary or in furtherance to the above purposes.
4. Your personal data is collected from various sources, including information you have provided us, information from third parties and information in the public domain.
5. You may access and request for correction of your personal data. Please contact us using any of the following modes if you have any enquiries or complaints in respect of your personal data:

Designated Contact Person	Customer Service
Mailing address:	TA Investment Management Berhad 23 <sup>th</sup> Floor Menara TA One, 22 Jalan P Ramlee 50250 Kuala Lumpur
Telephone No.:	(603) 2031 6603
Fax No.:	(603) 2031 4479
E-mail address:	<a href="mailto:investor.taim@ta.com.my">investor.taim@ta.com.my</a>

In accordance with the Act:

- (a) we may charge a fee for processing your request for access; and
  - (b) we may refuse to comply with your request for access or correction in accordance with the Act.
6. Subject to relevant laws, your personal data may be disclosed to:
- (a) our parent company, subsidiaries, related and associated companies;
  - (b) our licensees, co-organisers of events, business partners and service providers;
  - (c) Bursa Malaysia, Securities Commission Malaysia, Federation of Investment Managers Malaysia, Bank Negara Malaysia, the Police, Malaysian Anti- Corruption Commission, Companies Commission of Malaysia, Registrar of Societies and other supervisory, governmental or relevant authority;
  - (d) any other stock or derivatives exchange, clearing house, securities depository authorised by the relevant laws;
  - (e) the public at large by publishing the same in accordance with the relevant rules of Bursa Malaysia / Securities Commission Malaysia/ Federation of Investment Managers Malaysia;
  - (f) auditors, professional firms or entities; and
  - (g) any other person which TAIM may think fit,
- notwithstanding that any such persons may be outside Malaysia, for any of the above Purposes or any other purpose for which your personal data was to be disclosed at the time of its collection or any other purpose directly related to any of the above Purposes or where such disclosure is required or authorised by law or by the order of a court.
7. Unless otherwise specified by us at the time the personal data is collected, it is obligatory that you supply us with the personal data requested for by us.
  8. If you fail to supply to us the above personal data, we may not be able to carry out the Purpose for which you have provided us the personal data and in addition, you may be in breach of the requirements of the relevant rules of Securities Commission Malaysia / Federation of Investment Managers Malaysia.
  9. Your personal data may be transferred to a place outside Malaysia.

By providing to us your personal data, you hereby consent to the processing of your personal data in accordance with all of the foregoing.

Updated v5.8.2022