

Account Number :  -

**IMPORTANT:** For transactions involved Top-Up, Regular Investment or Switching into a new fund, or there has been material change to the information provided in the previous Suitability Assessment ("SA"), you are required to complete a new SA form. Please complete in **BLOCK LETTERS** and in **BLACK INK ONLY**. All fields are mandatory. Please indicate N/A if not applicable.

Application Type:	Transaction Type:	Adviser Code:
<input type="checkbox"/> Individual	<input type="checkbox"/> Unit Trust	Adviser Name:
<input type="checkbox"/> Corporate	<input type="checkbox"/> PRS	BDM Name:
	<input type="checkbox"/> AMP Plus	<input type="checkbox"/> Kenanga Staff <input type="checkbox"/> Kenanga Adviser

#### 1. APPLICANT DETAILS

**Principal Account Holder / Company Registered Name**

(As per NRIC/Passport/Other ID/ Certificate of Incorporation)

**NRIC/Passport/Other ID/ Company Registration No.**

**Joint Account Holder Name**

(As per NRIC/Passport/Other ID)

**NRIC/Passport/Other ID No.**

**Contact No. (Principal)**  **Contact No. (Jointholder)**

(For contact purpose only) (For contact purpose only)

#### 2. TOP-UP & REGULAR INVESTMENT

**Source of Funds :** ☐ Employment / Business Income ☐ EPF ☐ Others

(e.g. retained profits, sales of asset/property, investment proceeds, inheritance, fund raising)

2.1 ☐ I/We would like to Top-Up with the following payment details:  
(No Cash Transaction. All payments must be made via cheque / bank transfer payable to 'KENANGA INVESTORS BERHAD'.)

☐ **By Personal Cheque / Bank Draft** (please provide remittance slip)

Bank Name :  Cheque / Bank Draft No. :

Bank Branch:  Amount (Currency: \_\_\_\_\_) :  -

☐ **By Bank Transfer** Ref No.:  Amount (Currency: \_\_\_\_\_) :  -

☐ **From EPF Account** (Please complete KWSP 9N Form)  
(If there is any discrepancy between the figures from EPF and the amount stated in the investment form, the amount received from EPF shall be deemed as the final amount.)

☐ **From CTA Account No. :**  **CTA Account Name :**

2.2 ☐ I/We would like to Top-Up via Regular Investment mode with the following instructions:  
(For Regular Investment, please complete the MEPS-FPX / Direct Debit Authorisation Form.)

☐ MEPS-FPX ☐ Direct Debit

☐ 15th of every month ☐ 28th of every month

Bank Account Name :

Bank Account No. :

Bank Name :  Bank Branch :

(Note: With your payment instruction above, Kenanga Investors Berhad (KIB) will instruct the Bank to debit your bank account for the investment/contribution amount and KIB will charge and deduct an administration fee of up to RM0.80 for every successful payment using MEPS-FPX / Direct Debit from your investment/contribution. For unsuccessful bank transactions, a service charge of up to RM5 or its equivalent will be deducted from your investment at the end of the month.)

#### 2.3 Unit Trust Funds / AMP Plus Portfolio Investment Details

Fund Name / Portfolio Name	Investment Management Company	<sup>1</sup> Sales Charge (%)	<sup>2</sup> Fund Currency	Investment Amount
1.				
2.				
3.				
4.				
5.				
<b>Total</b>				

<sup>1</sup> Investments are subject to the sales charges as disclosed in the respective Prospectus(es) / Information Memorandum(s) (if any).

<sup>2</sup> For Fund Currency other than MYR, please specify the currency acronym eg. AUD, USD, SGD, CNY.

## 2.4 PRS Contribution Details

☐ **Default Option** (By selecting this option, your investment will be invested into one of the PRS core funds based on your age group.)

PRS PROVIDER	<sup>1</sup> Sales Charge (%)	Contribution Amount (RM)											
Total													

☐ **Self-Selection Option**

PRS Fund Name	PRS PROVIDER	<sup>1</sup> Sales Charge (%)	Contribution Amount (RM)											
1.														
2.														
3.														
Total														

(Note: PPA annual fee of RM8.00 payable to PPA will be deducted from your first top-up Contribution for the year.)

## 3. SWITCHING

(Please ensure you maintain the minimum amount required in the original Fund as stated in the relevant Prospectus(es) / Information Memorandum(s) if partial switching is selected. Switching in between different Unit Trust Management Company ("UTMC") will be treated as Redeem and Re-Investment. For partial switching in unit trust, please specify in the tick box either base on No. of Units or Amount. If no indication, the instruction will be based on No of Units.)

### 3.1 Unit Trust Funds / AMP Plus Portfolio

Instruction	Switch From : Fund Name / Portfolio Name	<sup>2</sup> Fund Currency	If PARTIAL, please specify either one: <input type="checkbox"/> No of Units / <input type="checkbox"/> Amount												Switch To : Fund Name / Portfolio Name	Fee (If any)
<input type="checkbox"/> Full / <input type="checkbox"/> Partial																
<input type="checkbox"/> Full / <input type="checkbox"/> Partial																
<input type="checkbox"/> Full / <input type="checkbox"/> Partial																
<input type="checkbox"/> Full / <input type="checkbox"/> Partial																
<input type="checkbox"/> Full / <input type="checkbox"/> Partial																
<input type="checkbox"/> Full / <input type="checkbox"/> Partial																

### 3.2 PRS Funds (Switching must be within the same PRS Provider)

Instruction	Switch From : Fund Name	If PARTIAL, please specify <input type="checkbox"/> No of Units / <input type="checkbox"/> Amount												Switch To : Fund Name	Fee (If any)
<input type="checkbox"/> Full / <input type="checkbox"/> Partial															
<input type="checkbox"/> Full / <input type="checkbox"/> Partial															
<input type="checkbox"/> Full / <input type="checkbox"/> Partial															

## 4. TRANSFER

(Please complete a full set of Account Opening & Investment Form and the relevant Forms if transferring to a new account. For partial transfer in unit trust, please specify in the tick box either base on No. of Units or Amount. If no indication, the instruction will be based on No of Units. For PRS Funds Transfer, members are advised to read the terms and conditions for transfer between PRS Providers.)

### 4.1 Unit Trust Funds / AMP Plus Portfolio

Instruction	Transfer From : Fund Name / Portfolio Name	<sup>2</sup> Fund Currency	If PARTIAL, please specify either one: <input type="checkbox"/> No of Units / <input type="checkbox"/> Amount												Transfer to Account No.
<input type="checkbox"/> Full / <input type="checkbox"/> Partial															
<input type="checkbox"/> Full / <input type="checkbox"/> Partial															
<input type="checkbox"/> Full / <input type="checkbox"/> Partial															

### 4.2 PRS Funds

Instruction	Transfer From : Fund Name	If PARTIAL, please specify No. of Units												Transfer To : PRS Account No.
<input type="checkbox"/> Full / <input type="checkbox"/> Partial														
<input type="checkbox"/> Full / <input type="checkbox"/> Partial														
<input type="checkbox"/> Full / <input type="checkbox"/> Partial														

**5. REDEMPTION / WITHDRAWAL**

☐ \*I would like to exercise my Cooling-Off Right for my investment/contribution purchased on \_\_\_\_\_ (date).

☐ **Redemption / Withdrawal of Units**

(Please ensure you maintain the minimum amount required in the original Fund as stated in the relevant Prospectus(es) / Information Memorandum(s) if partial redemption is selected. For partial redemption in unit trust, please specify in the tick box either base on No. of Units or Amount. If no indication, the instruction will be based on No of Units.)

**5.1 Unit Trust Funds / AMP Plus Portfolio**

Instruction	Fund Name	<sup>2</sup> Fund Currency	If PARTIAL, please specify either one: <input type="checkbox"/> No of Units / <input type="checkbox"/> Amount											
<input type="checkbox"/> Full / <input type="checkbox"/> Partial														
<input type="checkbox"/> Full / <input type="checkbox"/> Partial														
<input type="checkbox"/> Full / <input type="checkbox"/> Partial														
<input type="checkbox"/> Full / <input type="checkbox"/> Partial														

Proceeds Payable to :

☐ Principal ☐ Joint Holder ☐ Both

☐ Bank Account Name : \_\_\_\_\_

Bank Account No. : \_\_\_\_\_

Bank Name : \_\_\_\_\_ Bank Branch : \_\_\_\_\_

☐ CTA Account No. : \_\_\_\_\_ CTA Account Name : \_\_\_\_\_

**5.2 PRS Funds**

Instruction	Fund Name	If PARTIAL, please specify either one: <input type="checkbox"/> No of Units / <input type="checkbox"/> Amount											
<input type="checkbox"/> Full / <input type="checkbox"/> Partial													
<input type="checkbox"/> Full / <input type="checkbox"/> Partial													
<input type="checkbox"/> Full / <input type="checkbox"/> Partial													

Proceeds Payable to :

Bank Account Name : \_\_\_\_\_

Bank Account No. : \_\_\_\_\_

Bank Name : \_\_\_\_\_ Bank Branch : \_\_\_\_\_

Income Tax No. : \_\_\_\_\_

**6. TERMS & CONDITIONS**

Please read these notes before completing the Transaction Form as you are bound by them. You must read and understand the contents of the relevant Product Highlights Sheet(s) and Disclosure Documents (i.e. Disclosure Document(s), Prospectus(es), Replacement/Supplementary Prospectus(es) (if any), before completing the Transaction Form. A copy of the Deed will be made available to you upon request. Please check that the Unit Trust Consultant and/or PRS Consultant servicing you has a valid authorisation and registration card. This form should not be circulated unless accompanied by the Prospectus/Disclosure Document.

**Units Pricing**

Units will be transacted based on forward pricing prevailing at the time the request is received by Kenanga Investors Berhad. Units will be credited on the closing Net Asset Value (NAV) price of the day.

**Switching, Transfer, Redemption, Withdrawal**

Please refer to the relevant Product Highlights Sheet(s) and Disclosure Document(s), Prospectus(es), Replacement/Supplementary Prospectus(es) (if any), Information Memorandum(s), Replacement/ Supplementary Information Memorandum (if any) for switching, redemption and transfer.

**Rights of Kenanga Investors Berhad**

Kenanga Investors Berhad reserves the right to accept and reject any application in whole or in part thereof without assigning any reason in respect thereof, without compensation to the investor/member and the duly completed Transaction Form received by Kenanga Investors Berhad are deemed irrevocable by the unit holder/member.

**Loan Financing Statement**

Investing in an investment scheme with borrowed money is more risky than investing with your own savings. You should assess if loan financing is suitable for you in light of your objectives, attitude to risk and financial circumstances. You should be aware of the risks which would include the following:

- The higher the margin of financing (that is, the amount of money you borrow for every Ringgit of your own money that you put in as deposit or down payment) the greater the potential for losses as well as gains.
- You should assess whether you have the ability to service the repayments on the proposed loan. If your loan is a variable rate loan and if interest rate rises, 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 amount on top of your normal instalments. If you fail to comply within the prescribed time, your units may be sold towards the settlement of your loan.
- Returns on investment 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 incurred instead. Whether you eventually realise a gain or incur 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 before you decide to take the loan. If you have doubts in respect of any aspect of this Risk Disclosure Statement or the terms of the loan financing, you should consult the institution offering the loan.

## 7. DECLARATIONS AND SIGNATURES

- I/We acknowledge that I/we have received, read and understood the relevant Product Highlights Sheet(s), Prospectus(es)/Information Memorandum(s) for the fund(s) recommended to me/us for my/our investment, the Terms and Conditions on this form and I/we undertake to be bound by them for my/our initial and subsequent transactions with Kenanga Investors Berhad ("KIB").
- I/We undertake to be bound by the provisions of the documents constituting the fund(s) subscribed to as if I was/we were a party thereto.
- I/We do declare and represent that as the date hereof, I/we am/are not an undischarged bankrupt nor has any petition for bankruptcy been filed against me/us.
- I/We declare that I am/we are neither engaged in any unlawful activity nor are my/our monies obtained from any illegal source or related to any illegal activity.
- I/We undertake that I am/we are aware of the fees and charges that I/we will incur directly or indirectly when investing in the fund(s).
- I/We declare that I am/we are in compliance and undertake that I/we will comply with all applicable laws and regulations.
- I/We undertake to provide such information and documents as KIB may reasonably require for the purpose of due diligence/enhanced due diligence as required under the Anti-Money Laundering, Anti-Terrorism Financing and Proceeds of Unlawful Activities Act ("AMLA").
- I/We hereby declare and acknowledge that I/we have sole legal and proprietary right over all monies accompanying this application.
- I/We hereby agree to indemnify KIB against all actions, suits, proceedings, claims, damages and losses which may be suffered by KIB as a result of any inaccuracy of the declarations herein.
- I/We acknowledge that all fees and charges payable to KIB and the Trustee are subject to goods and services tax as may be imposed by the government or other authorities from time to time.
- I/We agree that my/our information and/or documents relating to me/us may be made available, without limitation to KIB's employees, third party service providers, agents, advisers, custodian/ sub-custodian's agents or advisers, Kenanga Group of Companies (consists of Kenanga Investment Bank Berhad and its group of companies including subsidiaries, branches and related companies), Bursa Malaysia Securities Berhad, Bursa Derivatives, Bursa Depository, Bursa Clearing, Securities Commission, foreign exchanges and/or all relevant and applicable authorities/regulators including, but not limited to, for the purpose of information for credit, reference and marketing purposes and to facilitate the provision of services by KIB to me/us. I/We shall not hold KIB liable for any inadvertent disclosure of any of my/our information and/or documents whether inadvertently disclosed by KIB or any third party appointed by KIB.
- I/We agree that my/our personal data and information shall be governed by the Terms and Conditions set out in the Kenanga Group of Companies's Personal Data Protection Notice highlighted in Account Opening & Investment Form, as may be amended or supplemented from time to time. I/We hereby acknowledge that I/we have been notified and that I/we have read and understood such Personal Data Protection Notice and accepts the terms and conditions herein.

### For KENANGA AMP Plus Service

- I/We acknowledge that I/we have read and understood the Terms and Conditions of the Kenanga AMP Plus service and I/we undertake to abide with the provisions of the same. I/We confirm that I/we aware of the fees and charges that I/we will incur directly or indirectly when investing in Kenanga AMP Plus service.

### For KIB-IUTA Platform

- I/We acknowledge that I/we have read and understood the Terms and Conditions Relating To The Third Party Funds and I/we undertake to abide with the provisions of the same. I/We confirm that I/we aware of the fees and charges that I/we will incur directly or indirectly for when investing in KIB-IUTA Platform.

## ALL APPLICANT(S) MUST SIGN THIS SECTION

Signature of Principal Holder:

Name:

Signature of Joint Holder:

Name:

Authorised Signatory (applicable for corporate client only)

Name:

Authorised Signatory (applicable for corporate client only)

Name:

Common Seal / Company Stamp

Date:

(Note: Pre-signed and/or pre-thumb printed forms are not allowed by Kenanga Investors Berhad and regulators for the protection of our investors.)

**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.**

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For PRS Enquiry: Member Services Centre T: 1 300 88 1PRS (777) F: +603 2172 3133 E: OnePRS@kenanga.com.my