

WHOLESALE FUND APPLICATION (INDIVIDUAL)



IMPORTANT: Please complete this application form and tick (✓) the box where applicable. **Any alterations made must be countersigned.**
Applicant(s) must be 18 years old and above on the date of application.

SECTION 1A: PRIMARY APPLICANT DETAILS

Title	:	<input type="checkbox"/> Mr	<input type="checkbox"/> Madam	<input type="checkbox"/> Ms	<input type="checkbox"/> Others (Please specify)
Name as in NRIC / Passport	:			
NRIC No. (New) / Passport No.	:	NRIC No. (Old)	:
Date of Birth (DD/MM/YYYY)	:	Gender	:	<input type="checkbox"/> Male <input type="checkbox"/> Female
Nationality	:	<input type="checkbox"/> Malaysian <input type="checkbox"/> Others (Please specify)			
Permanent Resident Status	:	<input type="checkbox"/> Malaysian <input type="checkbox"/> Others (Please specify)			
Race	:	<input type="checkbox"/> Bumiputra <input type="checkbox"/> Chinese <input type="checkbox"/> Indian <input type="checkbox"/> Others (Please specify)			
Correspondence Address	:			
Town / City	:			
State / Territory	:	Postcode	:
Residential Address (if different from the above)	:			
Town / City	:			
State / Territory	:	Postcode	:
Telephone No.	:	Office No.	:
Mobile No.	:	Fax No.	:
E-mail Address(es)	:	1) (Primary)			
		2)			
		3)			
		4)			

By providing your e-mail address to Opus Asset Management Sdn Bhd and/or Opus Islamic Asset Management Sdn Bhd ("OpusAsset"), you have consented to receive communications and/or information from OpusAsset relating to your investment via. e-mail. Notices delivered via. e-mail to you is deemed sent and received on the date such e-mail is sent.

: Please tick (✓) if you wish to extend copies of statements and reports via. e-mail to:
☐ Referrer (Referrer refers to Financial Adviser(s) / Consultant(s) of OpusAsset's business partners)

Employment Type : ☐ Self-Employed ☐ Employed ☐ Student ☐ Others (please specify)
☐ Unemployed* ☐ Housewife* ☐ Retiree*
* Please state your previous occupation, if any:

Occupation : Industry :

Company Name :

Company Address :

Town / City :

State / Territory : Postcode :

Source of Wealth : ☐ Employment ☐ Business
☐ Savings/Inheritance ☐ Others (Please specify)

Annual Income : ☐ RM0 to RM20,000 ☐ RM20,001 to RM50,000 ☐ RM50,001 to RM100,000
☐ RM100,001 to RM150,000 ☐ RM150,001 to RM200,000 ☐ Above RM200,000

SECTION 1B: PRIMARY APPLICANT TAX RESIDENCY

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

I hereby declare and confirm that:

- ☐ I am not a US citizen nor US resident for the purposes of US federal income tax and I was not born in the US; I do not have a US passport; I do not have a current US resident or mailing address or a US contact number; I do not have a standing instruction for funds transfer to an account maintained in the US or I am not acting, or on behalf of, a US tax person.

(B) COMMON REPORTING STANDARD ("CRS") DECLARATION

I hereby declare and confirm that:

- ☐ I am a Malaysia tax resident only (Please proceed directly to Section 1C)
☐ I am a Malaysia and Non-Malaysia tax resident (Please complete the following table)
☐ I am a Non-Malaysia tax resident (Please complete the following table)

Please indicate your country of tax residence [if you are a resident in more than one country, please detail all countries of tax residence and associated Tax Identification Numbers ("TINs")].

Country of Tax Residence	Tax Identification No. (TIN)	If TIN or equivalent is unavailable, please tick the reason (A, B, or C)	If Reason B was chosen, please explain why
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

Reason A –The country/jurisdiction where the Account Holder is liable to pay tax does not issue TIN to its residents.

Reason B –The Account Holder is otherwise unable to obtain a TIN or equivalent number.

Reason C –No TIN is required. (Only select this reason if the authorities of the country of residence for tax purposes do not require the TIN to be disclosed.)

SECTION 1C: DECLARATION OF DOMESTIC RINGGIT BORROWING

I hereby declare and confirm that:

- ☐ I have obtained domestic ringgit borrowing
☐ I have NOT obtained domestic ringgit borrowing

at the point of application in accordance with Bank Negara Malaysia Foreign Exchange Administration Rules.

SECTION 2: INVESTMENT DETAILS

Fund Name :

Amount :

SECTION 3: INCOME DISTRIBUTION INSTRUCTIONS

☐ Reinvest ☐ Pay-out

The pay-out option will be subjected to the terms and conditions stipulated in the applicable Information Memorandum.

SECTION 4: BANK ACCOUNT DETAILS

Account Name :

Account Ownership : ☐ Primary Applicant ☐ Joint Applicant ☐ Primary and Joint Applicant

Bank Name :

Account No. :

Note: 1. The bank account details will be used for the payment of repurchase proceeds and income distribution pay-out (if any).
2. Payments to third parties are strictly NOT allowed.

SECTION 5A: JOINT APPLICANT DETAILS (IF APPLICABLE)

Title	:	<input type="checkbox"/> Mr	<input type="checkbox"/> Madam	<input type="checkbox"/> Ms	<input type="checkbox"/> Others (Please specify)		
Name as in NRIC / Passport	:					
NRIC No. (New) / Passport No.	:		NRIC No. (Old)	:	
Date of Birth (DD/MM/YYYY)	:		Gender	:	<input type="checkbox"/> Male	<input type="checkbox"/> Female
Nationality	:	<input type="checkbox"/> Malaysian <input type="checkbox"/> Others (Please specify)					
Permanent Resident Status	:	<input type="checkbox"/> Malaysian <input type="checkbox"/> Others (Please specify)					
Race	:	<input type="checkbox"/> Bumiputra <input type="checkbox"/> Chinese <input type="checkbox"/> Indian <input type="checkbox"/> Others (Please specify)					
Telephone No.	:		Office No.	:	
Mobile No.	:		Fax No.	:	
E-mail Address	:					
Relationship with Primary Applicant	:	<input type="checkbox"/> Parent/Child <input type="checkbox"/> Spouse <input type="checkbox"/> Sibling <input type="checkbox"/> Others (Please specify)					
Employment Type	:	<input type="checkbox"/> Self-Employed <input type="checkbox"/> Employed <input type="checkbox"/> Student <input type="checkbox"/> Others (Please specify)					
		<input type="checkbox"/> Unemployed* <input type="checkbox"/> Housewife* <input type="checkbox"/> Retiree*					
		* Please state your previous occupation, if any:					
Occupation	:		Industry	:	
Company Name	:					
Company Address	:					
						
Town / City	:					
State / Territory	:		Postcode	:	
Source of Wealth	:	<input type="checkbox"/> Employment <input type="checkbox"/> Business					
		<input type="checkbox"/> Savings/Inheritance <input type="checkbox"/> Others (Please specify)					
Annual Income	:	<input type="checkbox"/> RM0 to RM20,000 <input type="checkbox"/> RM20,001 to RM50,000 <input type="checkbox"/> RM50,001 to RM100,000					
		<input type="checkbox"/> RM100,001 to RM150,000 <input type="checkbox"/> RM150,001 to RM200,000 <input type="checkbox"/> Above RM200,000					

SECTION 5B: JOINT APPLICANT TAX RESIDENCY (IF APPLICABLE)**(A) FOREIGN ACCOUNT TAX COMPLIANCE ACT ("FATCA") DECLARATION**

I hereby declare and confirm that:

- ☐ I am not a US citizen nor US resident for the purposes of US federal income tax and I was not born in the US; I do not have a US passport; I do not have a current US resident or mailing address or a US contact number; I do not have a standing instruction for funds transfer to an account maintained in the US or I am not acting, or on behalf of, a US tax person.

(B) COMMON REPORTING STANDARD ("CRS") DECLARATION

I hereby declare and confirm that:

- ☐ I am a Malaysia tax resident only (Please proceed directly to Section 5C)
☐ I am a Malaysia and Non-Malaysia tax resident (Please complete the following table)
☐ I am a Non-Malaysia tax resident (Please complete the following table)

Please indicate your country of tax residence [if you are a resident in more than one country, please detail all countries of tax residence and associated Tax Identification Numbers ("TINs")].

Country of Tax Residence	Tax Identification No. (TIN)	If TIN or equivalent is unavailable, please tick the reason (A, B, or C)	If Reason B was chosen, please explain why
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	
		<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C	

Reason A – The country/jurisdiction where the Account Holder is liable to pay tax does not issue TIN to its residents.

Reason B – The Account Holder is otherwise unable to obtain a TIN or equivalent number.

Reason C – No TIN is required. (Only select this reason if the authorities of the country of residence for tax purposes do not require the TIN to be disclosed.)

SECTION 5C: DECLARATION OF DOMESTIC BORROWING

I hereby declare and confirm that:

- ☐ I have obtained domestic ringgit borrowing
☐ I have NOT obtained domestic ringgit borrowing

at the point of application in accordance with Bank Negara Malaysia Foreign Exchange Administration Rules.

SECTION 6: POLITICALLY EXPOSED PERSON ("PEP")

- ☐ I/We DO NOT have any immediate family members holding a prominent position in any political party, be it in Malaysia or outside of Malaysia.
- ☐ I/We HAVE immediate family members holding a prominent position in any political party, be it in Malaysia or outside of Malaysia, with details as below:
- Name :
- Position :
- Organisation :
- Relationship with the above person(s):

Please refer to Clause 4 in Section 9 for the full definition of a PEP.

SECTION 7: AUTHORITY TO OPERATE ACCOUNT

- ☐ Primary Applicant to sign only
- ☐ Both to sign
- ☐ Either one to sign
- ☐ Others (Please specify)

SECTION 8: DECLARATION

- ☐ I/We hereby declare that the above particulars are true and correct.
- ☐ I/We have read and fully understood the contents of the product highlights sheet, information memorandum and its supplementary(ies) (if any) of the relevant fund and all the notes, terms and conditions in this application form. I/We wish to invest in the above-mentioned fund and agree to be bound by the aforementioned notes, terms and conditions. I/We are also aware of the risks involved and the fees and charges directly and indirectly incurred when investing in this fund. I/We understand that past performance of a fund is not indicative of future performance and that unit prices and income distribution, if any, may go down or up.
- ☐ I/We hereby agree to notify in writing and furnish Opus Asset Management Sdn Bhd [Registration No. 199601042272 (414625-T)] and Opus Islamic Asset Management Sdn Bhd [Registration No. 202001022262 (1378582-V)] (collectively refers to "OpusAsset") with the relevant documentary evidence if there is any update or change to my/our FATCA/CRS status within 30 days from such change or update. I/We acknowledge that the information contained in this form and information regarding my account(s) with OpusAsset may be provided to:
- a) Inland Revenue Board of Malaysia (IRBM) and they may exchange this information with the tax authorities of other countries pursuant to intergovernmental agreements to exchange financial account information.
- b) Any government authorities, regulatory bodies and/or any other relevant person(s) located in Malaysia and outside Malaysia in respect of the FATCA/CRS reporting requirements.

Signature(s):

.....
Primary Applicant

Name:

Date:

.....
Joint Applicant

Name:

Date:

For Office Use Only

OpusAsset / Distributor / Referrer :

Name of CMSRL / MR :

SECTION 9: TERMS AND CONDITIONS & DECLARATION

PLEASE READ THESE NOTES BEFORE COMPLETING THE APPLICATION FORM

1. General Terms and Conditions

- 1.1 Any reference to "Applicant" in these Terms and Conditions shall include such person authorised to give instructions and the Joint Applicant (if any) are binding on the Applicant or as the case may be, the Joint Applicant.
- 1.2 The Applicant shall be bound by the terms in the applicable information memorandum, supplementary (if any), product highlights sheet (collectively known as "Funds Documents"), and these Terms and Conditions with respects to all transactions.
- 1.3 1.3 Opus Asset Management Sdn Bhd [Registration No. 199601042272 (414625-T)] and Opus Islamic Asset Management Sdn Bhd [Registration No. 202001022262 (1378582-V)] (collectively refers to "OpusAsset") shall be entitled to add, vary or amend any or all of these Terms and Conditions herein at its sole and absolute discretion in accordance with the laws of Malaysia without prior reference to unit holders and without any compensation to the Applicant.

2. Applicant/Joint Applicant

- 2.1 The Primary Applicant and Joint Applicant must be 18 years old and above at the date of application and the application must be accompanied by a copy of the Primary Applicant's and Joint Applicant's (if any) NRIC/passport and/or such other documents as may be required by OpusAsset from time to time.
- 2.2 The Applicant is fully empowered and has full authority to make this investment.
- 2.3 Units issued will be registered in the name of the Applicant and address as set out in this application form.
- 2.4 In the case of death of a sole Applicant, OpusAsset shall only recognise the trustee, executor or administrator of the estate of the deceased Applicant as having any title, right or interest to and in the units held by the Applicant.
- 2.5 In the case of death of a Joint Applicant, OpusAsset shall recognise only the surviving Joint Applicant as the only person or persons having any title, right or interest to and in the units held.
- 2.6 The Applicant confirms that the Applicant will comply with the redemption procedures as set out in the Funds Documents. All redemption instructions must be given in writing, using the prescribed redemption request forms and quoting the relevant account number.
- 2.7 The Applicant agrees to provide such confirmation of information to OpusAsset at such times as OpusAsset may request, and to provide on request such certifications, documentary evidence or other evidence as OpusAsset may reasonably require to substantiate such representations.

3. Rights of OpusAsset

- 3.1 OpusAsset reserves the right to accept and reject any application in whole or in part thereof without any reason whatsoever.
- 3.2 In the event any application made by the Applicant is rejected by OpusAsset for any reason whatsoever, any of the Applicant's subscription moneys will be returned by OpusAsset to the bank which had remitted the Applicant subscription moneys, at the Applicant's sole risk and expense.

4. Politically Exposed Person ("PEP")

- 4.1 A PEP means:
- Foreign PEP – An individual who is or who has been entrusted with prominent public functions by a foreign country, for example Head of State or of government, senior politician, senior government, judicial or military official, senior executive of state owned corporation, important political party official;
 - Domestic PEP – An individual who is or has been entrusted domestically with prominent public functions, for example Head of State or of government, senior politician, senior government, judicial or military official, senior executive of state owned corporation, important political party official;
 - Person who is or has been entrusted with a prominent function by an international organisation which refers to member of senior management, i.e. director, deputy director and member of the board or equivalent functions;

- The definition of PEP is not intended to cover middle ranking or more junior individuals in the foregoing categories.

5. Instructions

- 5.1 OpusAsset is hereby authorised and instructed to accept and execute any instructions in respect of units to which this application relates, given by the Applicant in written form or by facsimile. The Applicant hereby agrees to indemnify OpusAsset and agrees to keep it indemnified against any loss of any nature whatsoever arising to any of them as a result of it acting upon written form or facsimile instructions. OpusAsset may rely conclusively upon and shall incur no liability in respect of any action taken upon any notice, consent, request, instruction or other instrument believed in good faith to be genuine or to be signed by properly authorised persons.

6. Declaration By The Applicant on Anti-Money Laundering, Anti-Terrorism Financing and Proceeds of Unlawful Activities Act 2001 ("AMLA")

- 6.1 The Applicant understands and acknowledges that due to AMLA, the Applicant undertakes the following:
- OpusAsset may require further information and documents relating to the identification and source of subscription moneys of the Applicant before the application can be processed;
 - OpusAsset may only process the application if OpusAsset, in its absolute discretion, is of the opinion that it has obtained sufficient evidence to satisfy itself as to the provenance and legitimacy of such subscription monies;
 - OpusAsset shall be held harmless and indemnified against any loss arising as a result of any delay, refusal or failure to process the application, if any information or document required by OpusAsset is incomplete or sufficient; and

That all subscriptions moneys paid to OpusAsset by me/us for the investment come from lawful sources and not from unlawful activities.

7. Tax/FATCA/CRS

- 7.1 The Applicant acknowledges that the Applicant shall be solely liable for all taxes incurred in respect of any and all services furnished under this application form, directly or indirectly and which are imposed by or payable to any relevant authority in Malaysia. The Applicant further acknowledges that he shall be acquainted with the relevant tax laws and exchange control regulations that are in force in the respective countries of domicile. The Applicant understands that he is liable to pay and/or settle all relevant taxes payable by the Applicant in accordance to the relevant laws and exchange control regulations in force in the countries of domicile in respect of any and all services furnished under this application form and Funds Documents directly or indirectly incurred which are imposed by or payable to any relevant authority in Malaysia and/or any other applicable law.
- 7.2 The Applicant authorises OpusAsset to report and disclose all relevant information relating to or arising from the account to the relevant tax authorities and consent that OpusAsset may withhold any applicable payments in the account in accordance with FATCA.

8. Online Services (if applicable)

- 8.1 In relation to using OpusAsset's online services and any other future services which OpusAsset may introduce, as an additional layer of security, the Applicant will receive a temporary personal code ("Code") for verification purposes. The Code will expire within the time limit as prescribed for security reasons. In the event, the Code has expired, OpusAsset will send a fresh Code to the Applicant. The Applicant is solely responsible for the confidentiality of the Code.

- 8.2 Access to such online services and any other future services which may be provided by OpusAsset from time to time will only be granted to the Applicant upon the Applicant's compliance with all security procedures as OpusAsset may deem necessary.

- 8.3 OpusAsset reserves the right to suspend access or cancel the online services and any other future services at any time without prior notice and/or compensation to the Applicant.

9. Indemnity

- 9.1 The Applicant hereby agrees to fully and effectively indemnify OpusAsset and hold OpusAsset harmless against any and all claims, losses, liabilities, costs and expenses (including but not limited to solicitors fees on a solicitor and client basis) arising or which may arise out of the Applicant's breach or violation of the terms and conditions hereunder or any third party rights, including but not limited to any

infringement of intellectual property rights. The obligation to indemnify OpusAsset by the Applicant shall survive the termination of the account and application form.

- 9.2 The Applicant hereby agrees to indemnify OpusAsset against all actions, suits, proceedings, claims, damages and losses which may be suffered by OpusAsset as a result of any inaccuracy of declaration herein.

10. Protecting Your Data/Information

- 10.1 The Applicant hereby declares that they shall fully comply with the provisions of the Personal Data Protection Act 2010 ("the Act") applicable to the processing of personal data as defined in the Act and specifically that all necessary consents have been obtained from individuals whose personal data may be disclosed to OpusAsset ("Disclosed Data") in respect of such disclosure to and for the purposes of processing by OpusAsset and that the Applicant always furnishes OpusAsset with updated Disclosed Data.

- 10.2 The Applicant hereby agrees that:

- i. Information supplied on this application form and otherwise in connection with the subscription for units may be held by OpusAsset and will be used for the purposes of processing the Applicant's subscription and investment in the fund and completion of information on the register of unitholders of the fund, and may also be used for the purposes of carrying out our instructions or responding to any enquiry purporting to be given by me/us or on my/our behalf, dealing in any other matters relating to our holding of units (including the mailing of reports or notices), forming part of the records of the recipient as to the business carried on by it, observing any legal, governmental or regulatory requirements (including any disclosure or notification requirements) and to provide a marketing database for product and market research or to provide information for the despatch of information on other products or services to us from OpusAsset or any connected person of OpusAsset. All such information may be retained after our units in the fund have been redeemed as may be required by the relevant authority; and
- ii. OpusAsset may disclose and transfer such information to the auditors and the trustee, including any of their employees, officers, directors and agents or to any third party employed to provide administrative, computer or other services or facilities to any person to whom data is provided or may be transferred as aforesaid and/or to any regulatory authority entitled thereto by law or regulation (whether statutory or not) in connection with my/our investment in the fund.

- 10.3 By law, OpusAsset has a right to request and keep investor and/or investor's representative's information to perform its obligations lawfully, fairly and competently. The Applicant consents to the processing of their personal data and information by OpusAsset and agrees that such information may be made available to OpusAsset's appointed custodians, licensed financial institutions, service providers, vendors, agents, advisors and any other parties in order to provide the products and/or services. Such personal data and information may also be disclosed to any other person(s) required or permitted by law or any regulatory authority.

- 10.4 The Applicant further represents and warrants that in relation to any individual's personal data provided to OpusAsset, the Applicant has obtained the individual's requisite consent for disclosure to and processing of such personal data by OpusAsset.

- 10.5 The Applicant agrees to provide such confirmations to OpusAsset at such times as OpusAsset may request, and to provide on request such certifications, documentary evidence or other evidence as OpusAsset may reasonably require to substantiate such representations.

- 10.6 The Applicant agrees to notify OpusAsset immediately if the Applicant becomes aware that any of the information in this application are no longer accurate and complete in all respects.

- 10.7 The Applicant acknowledges that OpusAsset may modify or update its Privacy Notice from time to time, a copy of which is available at www.opusasset.com.

11. Severability

- 11.1 Each of the provisions contained herein is severable and distinct from the others and if at any time one or more of such provisions is or becomes invalid, void and/or illegal, the enforceability of the remaining provisions hereof shall not in any way be affected or impaired thereby.

12. Successors Bound

- 12.1 The application form shall be binding upon the heirs, personal representatives, successors in title and permitted assigns of the Applicant.

13. Applicable Law

- 13.1 These Terms and Conditions shall be governed by and construed in accordance with the Laws of Malaysia.

14. Required Documents

- 14.1 Please ensure the following:

- The application form is signed by each Applicant.
- If this application form is signed under the power of attorney, such power of attorney or a duly certified copy thereof must accompany this application form.
- Copy of NRIC / Passport and relevant FATCA/CRS forms and any other relevant supporting documents.

Please submit this duly completed application form to:

OPUS ASSET MANAGEMENT SDN BHD
OPUS ISLAMIC ASSET MANAGEMENT SDN. BHD.
B-19-2, Northpoint Offices, Mid Valley City,
No. 1, Medan Syed Putra Utara,
59200 Kuala Lumpur.
Tel. No. : +603-22888882
Fax. No.: +603-22888889

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