

SOPHISTICATED INVESTOR DECLARATION FORM

 New Account Existing Account

Master Account Number

1 INDIVIDUAL APPLICANT DETAILS

Full Name of Principal Holder

(as in NRIC/Passport/etc)

NRIC/Passport/ID No.

Full Name of Jointholder

(as in NRIC/Passport/etc)

NRIC/Passport/ID No.

2 NON-INDIVIDUAL APPLICANT DETAILS

Name of Organisation

(as in Company Registration)

Company
Registration No.

3 DECLARATION AND SIGNATURES

I/We hereby confirm that I/we am/are a sophisticated investor (Please tick (✓) where applicable) as defined under Guidelines on Unlisted Capital Market Products under the Lodge and Launch Framework.

High Net Worth Individual

High Net Worth Entity

(Please submit additional verification documents where applicable)

Accredited Investor

(Please submit additional verification documents where applicable)

I/We hereby acknowledge and agree to indemnify Eastspring Investments Berhad ("Eastspring") against all actions, suits, proceedings, claims, damages, and losses which may be suffered by Eastspring as a result of any inaccuracy of the declarations made herein.

I/We hereby solemnly affirm and declare that all the above are true.

Principal Account Holder/Authorised Signatory

Full Name:

Date:

Joint Account Holder/Authorised Signatory

Full Name:

Date:

Company/Official Stamp

ADDITIONAL VERIFICATION DOCUMENTS FOR SOPHISTICATED INVESTORS IN WHOLESALE FUNDS

No	Category	Sophisticated Investor	Additional Verification Document
1.	Accredited Investors	(a) A unit trust scheme, private retirement scheme or prescribed investment scheme.	Copy of the approval by the regulator or equivalent.
		(b) Bank Negara.	–
		(c) A licensed person i.e. a person holding a Capital Markets Services Licence and includes a person holding a Capital Markets Services Representative's Licence.	Copy of the license or equivalent.
		(d) A registered person i.e. a person registered under Section 76 of the Capital Markets and Services Act 2007.	Copy of the license or equivalent.
		(e) An exchange holding company, a stock exchange, a derivatives exchange, an approved clearing house, a central depository or a recognised market operator.	Copy of the license or equivalent.
		(f) 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 Securities Commission Malaysia.	Copy of the license or equivalent.
		(g) A bank licensee or an insurance licensee as defined under the Labuan Financial Services and Securities Act 2010 [Act 704].	Copy of the license or equivalent.
		(h) An Islamic bank licensee or a takaful licensee as defined under the Labuan Islamic Financial Services and Securities Act 2010 [Act 705].	Copy of the license or equivalent.
		(i) A chief executive officer or a director of any person referred to in 1(c), 1(d), 1(e), 1(f), 1(g) and 1(h) above.	Copy of the latest statutory document or equivalent.
		(j) A closed-end fund approved by the Securities Commission Malaysia.	Copy of the approval by the regulator or equivalent.
2.	High-Net Worth Entities	(a) A company that is registered as a trust company under the Trust Companies Act 1949 and has assets under its management exceeding RM10 million or its equivalent in foreign currencies.	<ul style="list-style-type: none"> • Copy of the registration or equivalent; and • Copy of the latest statutory document on the assets under management or equivalent.
		(b) A corporation that is a public company under the Companies Act 2016 which is approved by the Securities Commission Malaysia to be a trustee under the Capital Market and Services Act 2007 and has assets under its management, exceeding RM10 million or its equivalent in foreign currencies.	<ul style="list-style-type: none"> • Copy of the approval by the regulator or equivalent; and • Copy of the latest statutory document on the assets under management or equivalent.
		(c) A corporation that is carrying on the regulated activity of fund management solely for the benefit of its related corporations and has assets under its management exceeding RM10 million or its equivalent in foreign currencies.	Copy of the latest supporting document/statutory document on the assets under management and to evidence carrying out fund management solely for its related corporations.
		(d) A corporation with total net assets exceeding RM10 million or its equivalent in foreign currencies based on the last audited accounts.	Copy of the latest audited accounts.
		(e) A partnership with total net assets exceeding RM10 million ringgit or its equivalent in foreign currencies.	Copy of the latest audited accounts where applicable.
		(f) A statutory body* established under any laws unless otherwise determined by the Securities Commission Malaysia.P.U. (A) 52.	Copy of relevant clause in the Act of Parliament or State enactment or equivalent.
		(g) A pension fund approved by the Director General of Inland Revenue under the Income Tax Act 1967.	Copy of the approval by the regulator or equivalent.
3.	High-Net Worth Individuals	(a) An individual whose total net personal assets, or total net joint assets with his or her spouse, exceeding RM3 million or its equivalent in foreign currencies, excluding the value of the individual's primary residence.	–
		(b) An individual who has a gross annual income exceeding RM300,000 or its equivalent in foreign currencies in the preceding twelve months.	–
		(c) An individual who jointly with his or her spouse, has a gross annual income exceeding RM400,000 or its equivalent in foreign currencies in the preceding twelve months.	–
		(d) An individual whose total net personal investment portfolio or total net joint investment portfolio** with his or her spouse, in any capital market products exceeding RM1 million or its equivalent in foreign currencies.	–

Note: Copy of the audited accounts and statutory documents shall be certified as true copy by the Director/Secretary/Partner/Trustee.

* For the avoidance of doubt, "joint management body" established under the Strata Management Act 2013 is NOT a High-Net Worth Entity.

** "Total net personal investment portfolio" and "total net joint investment portfolio" refer to an individual's total personal or total joint investments (with his/her spouse), in capital market products, less any liabilities related to such investments. Accordingly, an individual's total net investment portfolio would be the total investments in any capital market products less any borrowings under any margin account for and/or any other borrowings taken for the capital market products in which the individual has invested.