Hong Leong Asset Management

Investment Application Form

Please fill in using **BLOCK LETTERS** and (✓) where appropriate.

First time applicants must complete the Account Opening Form and Suitability Assessment Form. In accordance with the requirements of the Capital Markets and Services Act 2007, this form should not be circulated unless accompanied by the relevant Prospectus with the Product Highlights Sheet and/or Information Memorandum including any Supplemental Prospectus and/or Supplemental/Replacement Information Memorandum (collectively known as "**Offering Document**"). Applicants are required to read and understand the contents of the Offering Document before completing this form.

Subject to Terms & Conditions contained in the Offering Document, free switching is available between HLAM funds.

1. APPLICANT DETAILS

Unit holder Account No:

Principal Applicant's Name / Name of Corporation (as per NRIC / Passport / Corporation Reg.):

Principal Applicant's NRIC No. / Passport No. / Corporation Reg. no.:

Contact No.: –

Joint Applicant's Name (as per NRIC / Passport):

Joint Applicant's NRIC No. / Passport No.:

Contact No.: –

2. INVESTMENT INSTRUCTION

Important: DO NOT give, pay or transfer any monies to the personal bank account of any Consultant.

Payment Mode	Document Required	Mode of Transfer	Recipient reference (Compulsory)	Bank Details
☐ Online Transfer	A copy of online transfer receipt	**FT/Duitnow:** Select HLBB **IBG/Rentas:** Select Hong Leong Islamic bank, Swift Code: HLIB	Unit holder account no.	Payable to: **Hong Leong Asset Management Bhd** Name of Bank: **Hong Leong Islamic Bank Berhad** Account No.: **421-01-00354-0**
☐ Over the Counter	A copy of TT transfer receipt			
☐ Cheque / Bank Draft No. ____________	Bank in receipt / bank draft document	N/A	N/A	
☐ EPF Members Investment Scheme	Completed KWSP 9N form	N/A	N/A	N/A

Investment Details

Fund Name*	Amount (RM)	Service Charge (%)

* For Hong Leong Bond Fund. Please specify: ☐ Ordinary Investment Plan ☐ Standalone Investment Plan

For HL Group Staff / Consultant's Investment

☐ Staff ☐ Consultant

For Office Use Only

	Processed By:	Verified By:
Initial		
Date		
Ref. No.		

3. SOPHISTICATED INVESTOR DECLARATION (APPLICABLE FOR WHOLESALE FUND ONLY)

Important: This section is mandatory for applicants who are investing and/or switching into a wholesale fund.

Applicant Declaration

For Individual Applicant		For Entity Applicant (Non-Individual)	
☐ High-Net-Worth Individual	C	☐ High-Net-Worth Entity	B
☐ Accredited Investor	A	☐ Accredited Investor	A

Notes:

1. This section is applicable for wholesale funds only.
2. Please refer to www.hlam.com.my for the relevant Sophisticated Investor classification.
3. Please provide the relevant documents to support the corresponding classification.

4. PERSONAL ADVICE

Part 4.1:

4.1.1 In relation to the provision of personal advice to the Applicant by the Consultant, the Consultant:

☐	Has provided personal advice to the Applicant.	Please proceed to Part 4.2.	☐	Did not provide any personal advice to the Applicant.	Please proceed to Part 4.3.

Part 4.2: Personal Advice Provided

4.2.1 The Consultant confirms that the Consultant has explained to or informed the Applicant, prior to gathering the Applicant's information, as follows:

(a) the Consultant is gathering the Applicant's information disclosed in the account opening application and suitability assessment, which will enable the Consultant to provide personal advice that is suitable for the Applicant after having regard to the Applicant's particular circumstances hence it is in the Applicant's best interests to provide current, accurate and complete information;

(b) inaccurate or incomplete information provided by the Applicant will affect the personal advice given to the Applicant and the Consultant will not be made accountable for such personal advice; and

(C) the risk involved in investing all or a large portion of the Applicant's available funds, including savings and retirement funds, in a single fund.

4.2.2 The Consultant to provide the basis for providing such personal advice to the Applicant:

The Consultant may select more than (1) response.

- ☐ The Consultant gathered the Applicant's information having regard to the Applicant's background and particular circumstances of the Applicant.
- ☐ Financial situation (example employment status, amount of income, financial commitments, net assets, number of dependents).
- ☐ Investment objectives and needs (example purpose of investment, duration of investment, capital protection security, investment preferences such as sustainable and responsible investments (SRI) or Islamic-based investments).
- ☐ Risk tolerance (example amount of losses the Applicant is willing to bear).
- ☐ Level of knowledge and investment experience for the purposes of determining that the Applicant has sufficient understanding of the features and risk associated with the product recommended (example Applicant's educational qualification, training, work experience, investment experience and current investment portfolio). The required level of knowledge and investment experience should also correspond to the complexity of the funds.
- ☐ Others (Please specify):

Supporting documents

- ☐ For each of the selection made above, the supporting documents refer to the account opening application and suitability assessment.; and/ or
- ☐ Others (Please specify):

4.2.3 The Consultant to provide the description of the personal advice provided to the Applicant:

- ☐ Based on latest Invest Fact* (*Invest Fact is a periodical publication by HLAM that contains the relevant fund's objective, information, Asset Allocation & Weighting, Sector Allocation, Geographical Allocation, Top Five Holdings, Highlight, Performance Records, Calendar Year Returns and Income Distributions/ Unit Splits).
- ☐ The Applicant has chosen not to accept the personal advice given and has chosen to proceed with a transaction in another fund which is not recommended by the Consultant.
- ☐ Others (Please specify): ____________________

4. PERSONAL ADVICE (CONT.)

Part 4.3: No Personal Advice provided (Please tick where applicable.)
4.3.1 Personal advice was not provided by the Consultant to the Applicant due to the following reasons, the Applicant:
☐ did not request for personal advice. ☐ is an Accredited Investor. ☐ wishes to top-up investments in existing funds. ☐ has invested in funds recommended by the Consultant contained in the suitability assessment form and the Applicant now seeks to invest within the range of recommended funds. ☐ does not want to provide information requested by the Consultant.

Part 4.4: To Be Completed By Consultant			
The Consultant hereby declares, confirms and agrees that the information provided in this section is accurate, correct and true.			
Consultant Name:		Signature of Consultant	
Consultant Code:			

5. DECLARATION

The Applicant hereby declares, confirms and agrees: -

(a) that the information provided herein is accurate, complete and true and that the Applicant has not withheld any information which is material to the Applicant's application or could result in HLAM rejecting the Applicant's application;

(b) that it is bound by the Application T&C contained in the Applicant 's account opening application, and that the said Application T&C shall be read together with the terms set out herein. HLAM may vary, modify or amend any of the terms and conditions from time to time and it shall be deemed to be effected, where such change, amendment or variation was posted on the website www.hlam.com.my ("**Website**") - thirty (30) days after the date of such posting. The onus of checking the Website for any variations or supplements/supplemental terms shall rest with the Applicant; The continued investment by the Applicant with or through HLAM shall be deemed as the Applicant's acceptance of the prevailing terms and conditions.;

(c) that the Applicant is aware of the fees and charges that the Applicant will incur, both directly and indirectly, when investing in the relevant fund;

(d) that the Applicant has read the unit trust loan Financing Risk Disclosure Statement and understands its contents in the Application T&C (if applicable);

(e) that the information provided in the Suitability Assessment ("**SA**"), Foreign Account Tax Compliance Act Declaration and Common Reporting Standard Declaration as provided by the Applicant is accurate, complete and true and that the Applicant will immediately notify HLAM if there is any change in the information;

(f) that the contents of item 4 of this application:

(i) are current, accurate and complete, and the Applicant further confirms that there are no material changes to the information. In the event there are material changes to the Applicant's information, the Applicant will be required to complete the SA;

(ii) have been explained by the Consultant and the Applicant understands the features and risk of the funds and/ or PRS scheme, which forms the subject matter of any personal advice given; and

(iii) that the Applicant has received the Offering Document prior to or at the time the personal advice was given, whichever applicable

(g) that for the purposes of investment in wholesale funds, the Applicant is a Sophisticated Investor (if applicable); and

(h) that (if the Applicant is an existing account holder);

☐ **there have been no changes** to the Applicant's information provided in the previous Applicant's suitability assessment.
☐ **there have been changes** to the Applicant's information provided in the previous Applicant's suitability assessment in which case the Applicant must complete a new SA.

Affix Common Seal
or
Company Rubber Stamp
(where applicable)

Signature of Principal Applicant/ Authorised Signatory	Signature of Joint Applicant/ Authorised Signatory	Date	