

Client Name:	
Registration No.:	

Pursuant to the due diligence requirements set out in the Securities Commission's Guidelines on Prevention of Money Laundering, Countering Financing of Terrorism, Countering Proliferation Financing and Targeted Financial Sanctions for Reporting Institutions in the Capital Market, AHAM Asset Management Berhad ("AHAM") is obligated, as a reporting institution, to identify the beneficial owner(s) and controller(s) of your entity and to collect supporting documents relating thereto.

All information collected from this form will be used for due diligence purposes and AHAM undertakes not to transfer, release and disclose any information which you provide herein to any third party except as required by law, regulation or directive, or in relation to any legal action, or to any court, regulatory agency, government body or authority.

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**Declaration of Beneficial Ownership**

*Please refer to the Guidance in the Appendix for definition of Ultimate Beneficial Owner.*

We hereby confirm the following:

*[Please check either one of the boxes below that applies to you and complete the relevant Section.]*

☐ We **have** one or more individual(s) that owns/controls directly or indirectly (via intermediary ownership layers) 25% or more of our entity.

**[Please complete Section 1]**

OR

☐ We **have** one or more individual(s) that owns/controls directly or indirectly (via intermediary ownership layers) 25% or more of our entity, but there are other individual(s) that exercises control over our entity.

**[Please complete Section 2]**

OR

☐ We **do not have** any individual(s) that owns/controls directly or indirectly (via intermediary ownership layers) 25% or more of our entity.

**[Please complete Section 2]**

## Section 1

These are the individual(s) that own/control directly or indirectly 25% (via intermediary ownership layers) or more of our entity:

<b>Beneficial Owner #1</b>			
Full Name:		Identification No.:	
Residential address:		Mailing address (if different):	
Nationality:		Annual Income Range	<input type="checkbox"/> RM0 – 149,999 <input type="checkbox"/> RM150,000 – 299,999 <input type="checkbox"/> RM300,000 and above
Contact No.:		Position:	
Email:		Name of Company:	
Source of Wealth:		Effective shareholding (%):	

<b>Beneficial Owner #2</b>			
Full Name:		Identification No.:	
Residential address:		Mailing address (if different):	
Nationality:		Annual Income Range	<input type="checkbox"/> RM0 – 149,999 <input type="checkbox"/> RM150,000 – 299,999 <input type="checkbox"/> RM300,000 and above
Contact No.:		Position:	
Email:		Name of Company:	
Source of Wealth:		Effective shareholding (%):	

<b>Beneficial Owner #3</b>			
Full Name:		Identification No.:	
Residential address:		Mailing address (if different):	

Nationality:		Annual Income Range	<input type="checkbox"/> RM0 – 149,999 <input type="checkbox"/> RM150,000 – 299,999 <input type="checkbox"/> RM300,000 and above
Contact No.:		Position:	
Email:		Name of Company:	
Source of Wealth:		Effective shareholding (%):	

<b>Beneficial Owner #4</b>			
Full Name:		Identification No.:	
Residential address:		Mailing address (if different):	
Nationality:		Annual Income Range	<input type="checkbox"/> RM0 – 149,999 <input type="checkbox"/> RM150,000 – 299,999 <input type="checkbox"/> RM300,000 and above
Contact No.:		Position:	
Email:		Name of Company:	
Source of Wealth:		Effective shareholding (%):	

**Please provide a copy of the identification document, i.e. NRIC or passport, of each beneficial owner listed above for verification, unless this information is readily available in official documentation.**

## **Section 2**

☐ As there are no individuals who own/control directly or indirectly (via intermediary ownership layers) 25% or more of our entity, we confirm that the following individual(s) is/are Senior Managing Officials\* of our entity:

OR

☐ We have one or more individual(s) that owns/controls directly or indirectly (via intermediary ownership layers) 25% or more of our entity, but we confirm that the following individual(s) exercises control over our entity in their capacity as Senior Managing Officials\*:

*\*“Senior managing officials” are identified as persons who exercise executive control over the daily or regular affairs of the company, and includes directors, deputy directors, board members, CEO, CFO, COO, chairman, advisors, or other individuals performing similar management functions.*

Senior Managing Official #1			
Full Name:		Identification No.:	
Residential address:		Mailing address (if different):	
Nationality:		Annual Income Range	<input type="checkbox"/> RM0 – 149,999 <input type="checkbox"/> RM150,000 – 299,999 <input type="checkbox"/> RM300,000 and above
Contact No.:		Position:	
Email:		Name of Company:	
Source of Wealth:		Effective shareholding (%): If applicable	

Senior Managing Official #2			
Full Name:		Identification No.:	
Residential address:		Mailing address (if different):	
Nationality:		Annual Income Range	<input type="checkbox"/> RM0 – 149,999 <input type="checkbox"/> RM150,000 – 299,999 <input type="checkbox"/> RM300,000 and above
Contact No.:		Position:	
Email:		Name of Company:	
Source of Wealth:		Effective shareholding (%): If applicable	

Senior Managing Official #3			
Full Name:		Identification No.:	
Residential address:		Mailing address (if different):	

Nationality:		Annual Income Range	<input type="checkbox"/> RM0 – 149,999 <input type="checkbox"/> RM150,000 – 299,999 <input type="checkbox"/> RM300,000 and above
Contact No.:		Position:	
Email:		Name of Company:	
Source of Wealth:		Effective shareholding (%): If applicable	

*[If you have more than 3 Senior Managing Officials, please continue in Appendix 2]*

**Please provide a copy of the identification document, i.e. NRIC or passport, of each beneficial owner listed above for verification, unless this information is readily available in official documentation.**

We acknowledge that AHAM Asset Management Berhad may use the above and attached information and documentation for the purpose of updating all accounts we hold, as well as for new accounts we may open in the future. Should there be any change to the information provided in this form or attached documentation, we undertake to provide the updated information to you as soon as possible.

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**Signature**

[Name of Signatory]  
[Position of Signatory]  
[Date]

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**Signature**

[Name of Signatory]  
[Position of Signatory]  
[Date]

## **Appendix 1: Guidance for Beneficial Ownership Declaration**

### **A. Entities Limited by Shares**

In an entity limited by shares, the ultimate beneficial owner is a natural person (i.e. individual), who meets one or more of the following criteria:

- i) Has shareholding interest, directly or indirectly, of 25% or more of the shares of the entity;
- ii) Holds, directly or indirectly, 25% or more of the voting shares of the entity<sup>1</sup>;
- iii) Has the right to exercise ultimate effective control, whether formally or informally, over the entity, the directors, or the management of the entity<sup>2</sup>;
- iv) Has the right or power to directly or indirectly appoint or remove a director(s) who holds majority of the voting rights at a director's meeting; or
- v) Is a member of the entity and, under an agreement with another member of the entity, controls alone a majority of the voting rights in the entity.

### **B. Entities without Share Capital**

In an entity without share capital, the ultimate beneficial owner is a natural person (i.e. individual), who meets one or more of the following criteria:

- i) Has the right to exercise ultimate effective control, whether formally or informally, over the entity, the directors, or the management of the entity<sup>2</sup>; or
- ii) Has the right or power to directly or indirectly appoint or remove a director(s);

### **C. Government-owned or State-owned Entities**

In a government-owned or state-owned entity, the ultimate beneficial owner is a natural person (i.e. individual), who has the right to exercise ultimate effective control over the entity, the directors, or the management of the entity<sup>2</sup>.

### **Footnote**

No.	Description
1	<i>Voting shares are the rights of the holder to vote on resolutions, either at general meetings, or otherwise, on all or most matters.</i>
2	<p><i>An individual has ultimate effective control when the recommendations made by him/her is always followed by members holding a majority of the voting rights in the entity. The recommendation refers to any recommendation or proposal which may influence the decision of the company and can be done formally or informally.</i></p> <p><i>This individual does not need to be a member or director of an entity but is someone that consistently exercises dominant influence or control over the entity, or someone who regularly advises and consults the board of directors.</i></p>

## **Appendix 2: Additional Beneficial Owners**

<b>Additional BO/SMO # 1</b>			
Full Name:		Identification No.:	
Residential address:		Mailing address (if different):	
Nationality:		Annual Income Range	<input type="checkbox"/> RM0 – 149,999 <input type="checkbox"/> RM150,000 – 299,999 <input type="checkbox"/> RM300,000 and above
Contact No.:		Position:	
Email:		Name of Company:	
Source of Wealth:		Effective shareholding (%): If applicable	

<b>Additional BO/SMO # 2</b>			
Full Name:		Identification No.:	
Residential address:		Mailing address (if different):	
Nationality:		Annual Income Range	<input type="checkbox"/> RM0 – 149,999 <input type="checkbox"/> RM150,000 – 299,999 <input type="checkbox"/> RM300,000 and above
Contact No.:		Position:	
Email:		Name of Company:	
Source of Wealth:		Effective shareholding (%): If applicable	

<b>Additional BO/SMO # 3</b>			
Full Name:		Identification No.:	
Residential address:		Mailing address (if different):	



Nationality:		Annual Income Range	<input type="checkbox"/> RM0 – 149,999 <input type="checkbox"/> RM150,000 – 299,999 <input type="checkbox"/> RM300,000 and above
Contact No.:		Position:	
Email:		Name of Company:	
Source of Wealth:		Effective shareholding (%): If applicable	