



Individual Investor Transaction Form

In accordance with the Capital Markets and Services Act 2007, this Transaction Form should not be circulated unless accompanied by the applicable prospectus, information memorandum, disclosure document and supplemental thereto (if any). You should read and understand the contents of the relevant prospectus, information memorandum, disclosure document and supplemental thereto (if any) before completing this form.

- IMPORTANT:** 1. Please complete in CAPITAL LETTERS and BLACK INK only, and tick where applicable. Any alteration made must be countersigned.
2. If an existing investor wishes to invest / switch into a new fund which does not match the current risk profile, the investor is required to perform the Suitability Assessment Test again to determine if the new fund chosen matches the risk profile of the investor.

Account Type Single Joint **Account No.**

Transaction Type Investment Cooling-off Repurchase Switching

DETAILS OF FIRST APPLICANT

Full Name (as per NRIC / Passport)

NRIC No. - **Passport No. / Other**

DETAILS OF JOINT-APPLICANT

Full Name (as per NRIC / Passport)

NRIC No. - **Passport No. / Other**

INVESTMENT DETAILS (UTF)

1. Cash Plan EPF Plan **Currency**

Fund Name

Investment Amount **Sales Charge (%)** ***Distribution Instruction**
 Reinvest Credit to Bank Account

2. Cash Plan EPF Plan **Currency**

Fund Name

Investment Amount **Sales Charge (%)** ***Distribution Instruction**
 Reinvest Credit to Bank Account

3. Cash Plan EPF Plan **Currency**

Fund Name

Investment Amount **Sales Charge (%)** ***Distribution Instruction**
 Reinvest Credit to Bank Account

4. Cash Plan EPF Plan **Currency**

Fund Name

Investment Amount **Sales Charge (%)** ***Distribution Instruction**
 Reinvest Credit to Bank Account

*Note: *This instruction is only applicable for new Funds that you are investing in. Kindly fill up the Request For Change Form if you would like to change the distribution instruction for your existing Funds.*

INVESTMENT PAYMENT MODE

1. **Cash Plan**
 Cheque: Bank Cheque No.
 Interbank Transfer

2. **Cash Plan**
 Cheque: Bank Cheque No.
 Interbank Transfer

APPLICATION FOR SMARTSAVE PLAN

1. **Fund Name**

Investment Amount **Sales Charge (%)** **Mode of Frequency** Monthly Yearly

Date of Deduction 5th 20th Both Dates

2. **Fund Name**

Investment Amount **Sales Charge (%)** **Mode of Frequency** Monthly Yearly

Date of Deduction 5th 20th Both Dates

Note: Please also complete the Direct Debit Authorisation Form.

COOLING-OFF

I / We would like to exercise my / our cooling-off right for my / our investment in

1. **Fund Name**

2. **Fund Name**

Purchased On

Note: Not applicable for EPF Plan.

REPURCHASE REQUEST

1. Cash Plan EPF Plan
Fund Name No. of Unit to Redeem Amount to Redeem All Units

2. Cash Plan EPF Plan
Fund Name No. of Unit to Redeem Amount to Redeem All Units

3. Cash Plan EPF Plan
Fund Name No. of Unit to Redeem Amount to Redeem All Units

*Note: 1. Payment will be transferred into the registered bank account which was provided.
2. You are required to complete & submit the Bank Account Registration Form together with the Repurchase request if you did not provide bank detail before or you would like to change your bank account details.*

SWITCHING OF FUND

1. Fund Name Cash Plan EPF Plan

From

To

No. of Units Sales Charge (%)

2. Fund Name Cash Plan EPF Plan

From

To

No. of Units Sales Charge (%)

3. Fund Name Cash Plan EPF Plan

From

To

No. of Units Sales Charge (%)

SOPHISTICATED INVESTOR DECLARATION (SEE CLAUSE 1.6 OF THE TERMS AND CONDITIONS)

I / We hereby confirm that I am / we are sophisticated investor(s). Yes No

DECLARATION & SIGNATURE(S)

I / We acknowledge that I / we have received, read and understood the relevant Prospectus, Information Memorandum, Disclosure Document dated 1 March 2017 and any supplemental and/or replacement thereto (if any) and agree to be bound by them for my / our initial and subsequent transactions with AII MAN Asset Management Sdn Bhd ("AII MAN").

I / We undertake to be bound by the provision of the documents constituting the Fund(s) subscribed to as if I was / we were a party thereto.

I / We acknowledge that I am / we are aware of the fees and charges that will be incurred directly and indirectly when investing into the Fund(s) and such fees and charges are exclusive of goods and services tax (if applicable).

I / We acknowledge that I / we have received a copy of the Unit Trust Loan Financing Risk Disclosure Statement (on the following page) and understand its contents.

I / We hereby agree to indemnify AII MAN against all actions, suit, proceedings, claims, damages and losses which may be suffered by AII MAN as a result of any inaccuracy of the declarations herein.

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Signature of First Applicant
Date:

Signature of Joint-applicant
Date:

COMPULSORY FOR DISTRIBUTOR (AUTHORISED UTC / PRC)

FOR OFFICE USE ONLY

Name (as per NRIC)

*UTC / PRC Code

*Delete where not applicable.

Reporting Branch

Tel No. _____

Form Verified By:	Processed By:
Name:	Name:
Date:	Date:

Campaign Code

Unit Trust Loan Financing Disclosure

Investing in a Unit Trust Fund 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 risk, which would include the following:

- i) The higher the margin of financing (that is, the amount of money you borrow for every ringgit of your own money which you put in as deposit or down payment), the greater the loss or gain on your investment.
- ii) 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 rates rise, your total repayment amount will be increased.
- iii) If unit price fall beyond a certain level, you may be asked to provide additional acceptable collateral (where units are used as collateral) or pay additional amounts on top of your normal instalments. If you fail to comply within the time prescribed, your units may be sold towards the settlement of your loan.
- iv) Return of unit trusts 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 are experienced. Whether you eventually realise a gain or 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 carefully study the terms & conditions before you decide to take a loan. If you are in doubt about any aspect of this risk disclosure statement or the terms of the loan financing, you should consult the institution offering the loan.

TERMS AND CONDITIONS

1. INVESTMENT

- 1.1 All monies due and payable by the customer to AIIIMAN Asset Management Sdn Bhd ("AIIIMAN") shall be made with clear funds and any cheques issued by the customer must be honoured when presented.
- 1.2 No physical cash shall be accepted as payment for investment.
- 1.3 If any application made by the customer is rejected for whatever reason, whether in part or whole, any monies paid or remaining balance thereof will be returned (without interest or return) via cheque or such other manner determined to be practicable by AIIIMAN within 30 days from the date of application and any costs or expenses incurred thereof shall be borne solely by the customer.
- 1.4 Without prejudice to the generality of the foregoing, all employees and agents of AIIIMAN are prohibited from receiving from any parties monies for investment (whether by way of cash or cheque or any other instrument) made out in favour of the employees and / or agents, for their onwards transmission to AIIIMAN and in the event you do hand over such physical cash, or cheque or any other instrument made to the favour of the employee and/or agent, such employee and/or agent shall for the purposes of such transmission of monies to AIIIMAN be your agent and not AIIIMAN's. AIIIMAN shall not be liable for any loss whatsoever occasioned to you or any other person as a result of you handing over such monies to the employee and / or agent. AIIIMAN is under no obligation to accept payments for investments via employees and / or agents of AIIIMAN or any third party and may in its sole discretion reject such payments.
- 1.5 In the absence of any instructions to the contrary or as allowed under the deed of the relevant fund, the customer authorises AIIIMAN to automatically re-invest any distributions.
- 1.6 Only "Sophisticated Investor" may invest in a Wholesale Fund. To obtain the latest definition of "Sophisticated Investor", kindly refer to the Guidelines on Unlisted Capital Market Products under the Lodge and Launch Framework issued by Securities Commission Malaysia or the glossary section of the respective information memorandum of the relevant fund.

2. REPURCHASE

- 2.1 AIIIMAN shall repurchase units from a customer upon receipt of a valid and completed Transaction Form, at the price (NAV) of the fund as determined in accordance with the terms of the Deed of the relevant fund.
- 2.2 Request for repurchase of units of funds purchased via EPF Member Investment Scheme shall be made payable to EPF only.
- 2.3 Payment of repurchase proceeds to a third party is strictly not allowed.
- 2.4 AIIIMAN will pay the repurchase proceeds via telegraphic transfer to the customer's bank account as advised by the customer to AIIIMAN at account opening stage, or as and when updated to AIIIMAN. AIIIMAN will not be held responsible for any delay or loss incurred due to incorrect bank account number provided by the customer for payment of repurchase proceeds. It is recommended that a copy of bank passbook, or bank statement is provided for verification.
- 2.5 For partial repurchase, the customer must leave a minimum balance of units required to maintain the fund's account. In the event any request for partial repurchase results in the customer holding less than the minimum balance of units required, AIIIMAN reserves the right to full repurchase all the units held by the customer.

3. SWITCHING

- 3.1 The customer may switch investments in any one fund to another fund managed by the same investment manager (unless otherwise stated by the Deed for the relevant Fund). Any distribution instruction earlier given for that Fund switched out will apply to the additional units and remain unchanged. If the switching is made to an initial (new) fund / investment, the net amount switched must meet the minimum requirement of the new fund's initial investment amount.
- 3.2 In the event any request for partial switching results in the customer holding less than the minimum balance of units required, AIIIMAN reserves the right to fully switch all the units held by the customer.
- 3.3 Any Switching Fee as disclosed in the relevant prospectus, information memorandum, disclosure document and any supplemental thereto, shall be charged to and borne by the customer.

4. COOLING-OFF

- 4.1 Cooling-off is only available to customers investing into any unit trust fund or private retirement scheme managed by the same investment manager for the first time.
- 4.2 A cooling-off request must be made within the prescribed period as stated in the prospectus, information memorandum or disclosure document of the relevant fund.

5. FEES, CHARGES AND EXPENSES

- 5.1 The customer shall be responsible for the payment of any charges, fees, costs, expenses, taxes (if any) and other liabilities properly payable or incurred by AIIIMAN and in holding or executing transaction in respect of any of the units.
- 5.2 AIIIMAN shall not be liable to pay any interest to the customer for any monies held by AIIIMAN for the customer for any reason whatsoever.

6. RIGHTS OF AIIIMAN

- 6.1 AIIIMAN reserves the right to accept or reject any application in whole or in part thereof without assigning any reason in respect thereof, without compensation to the customer and the duly completed Transaction Form received by AIIIMAN are deemed irrevocable by the customer.
- 6.2 Notwithstanding anything contained herein, AIIIMAN shall be at liberty to disregard or refuse to process any of the instructions given via this Transaction Form if the processing of such instructions would be in contravention of any laws or regulatory requirements, whether or not having the force of law and / or would expose AIIIMAN to any liability.
- 6.3 The customer shall indemnify and keep AIIIMAN, its directors, shareholders, and employees fully indemnified against all any direct and / or indirect cost, actions, claims, expenses, fees, liabilities, penalties, fines, suits, losses, and / or damages, suffered and / or incurred by AIIIMAN arising out of and / or in connection with the instructions given in this Transaction Form, save and except for the gross negligence and wilful default on the part of AIIIMAN.

7. RELATIONSHIP

- 7.1 For investments in Shariah funds, the account is based on the contract of agency under the Shariah principle of Wakalah. AIIIMAN Asset Management Sdn Bhd, will act in its capacity as an agent ("Wakil") for and on behalf of the customer ("Muwakkil") pursuant to its appointment under the Terms and Conditions of the Account Opening Form.

8. INVESTMENT INTO UNIT TRUSTS DISTRIBUTED BY AIIIMAN AS INSTITUTIONAL UNIT TRUST ADVISER (IUTA) AND APPOINTMENT OF NOMINEE TO HOLD UNIT TRUSTS (UNITS)

- 8.1 The customer may invest in both unit trust funds that are managed by AIIIMAN or distributed by AIIIMAN as IUTA for other unit trust management companies ("UTMC")
- 8.2 As an IUTA and for ease of operations, AIIIMAN requires one services of a nominee ("Nominee") to effect transactions for the customer and also to keep in custody Units for and on behalf of the customer.
- 8.3 Where the customer invests in a unit trust fund distributed by us as an IUTA, the customer hereby agrees to appoint AIIIMAN to hold and act for and on behalf of the customer in relation to those Units subject to the terms and conditions provided herein. All transaction with respect to the Units will be effected by the Nominee on behalf of the customer with the relevant representative agent, adviser or management company of the Units in accordance with the restrictions or limitations set by the respective UTMC, the relevant prospectus and deed of the respective funds and the laws, rules, regulations, guidelines and practices of the unit trusts industry.
- 8.4 The customer agrees that where he invests in a unit trust fund distributed by AIIIMAN as an IUTA.
 - 8.4.1 the Units shall be held by the Nominee as the registered holder for and on behalf of the customer.
 - 8.4.2 the Nominee shall not recognize any trust or equity in respect of the Units or any part thereof and
 - 8.4.3 the Nominee shall be a bare custodian and not a trustee in all matters relating to this arrangement and/or the Units.
- 8.5 The Nominee shall have no duty or responsibility, as regards attendance at meetings or voting in respect of any of the Units or as regards any subscription, conversion or other rights in respect thereof or as regards any merger, consolidation, reorganisation, receivership, bankruptcy or insolvency proceedings, compromise or arrangement in connection with the Units nor shall the Nominee be under any duty to investigate or participate therein or take any alternative action in connection therewith except in accordance with written instructions from the customer and upon such conditions and indemnity and provision for expenses as the Nominee may require.