

**PHILLIP MUTUAL BERHAD (570409-K) (CMSL/A0245/2008)**

B-2-7, Block B, Level 2, Unit 7, Megan Avenue II  
 No 12, Jalan Yap Kwan Seng, 50450 Kuala Lumpur, Malaysia.  
 Tel no: (+603) 2783 0300 Fax no: (+603) 2166 5099  
 Website: www.phillipmutual.com E-mail: phillipmutual@poems.com.my  
 Customer Services Hotline: 03-2783 0200

**SUPPLEMENTARY FORM****FOREIGN ACCOUNT TAX COMPLIANCE ACT (“FATCA”)****Preliminary Customer Identification Form for Individual / Joint Accounts / Corporate Accounts**

(The information in this section is collected in order to comply with Foreign Account Tax Compliance Act (FATCA) requirements which require Phillip Mutual Berhad to identify and report on U.S persons and withhold certain U.S sourced income).

**SECTION A: Particulars of Applicant****(A) APPLICANT / CORPORATE APPLICANT**

<b>Name / Name of Corporation:</b>
<b>IC / Passport / Company Registration Number:</b>

**(B) JOINT APPLICANT**

<b>Name:</b>
<b>IC / Passport Number:</b>

**NOTE: ONLY INDIVIDUAL INVESTORS ARE REQUIRED TO COMPLETE SECTION B – PRELIMINARY IDENTIFICATION. LEGAL ENTITY(S) OR CORPORATE CLIENTS DO NOT HAVE TO COMPLETE SECTION B – PRELIMINARY IDENTIFICATION.**

**SECTION B: Preliminary Identification (To be completed by the applicant)**

Please complete this section and tick (“v”) in the “Yes” / “No” column respectively for each of the following questions:

No	U.S Indicia Status	Main Applicant		Joint Applicant	
		Yes	No	Yes	No
1.	Are you a U.S. citizen or resident (including passport / green card holder)?				
2.	Is U.S. your country of birth?				
3.	Do you hold a current U.S. residence address or mailing address (including a U.S post office box)?				
4.	Do you have a current U.S. telephone number?				
5.	Do you currently maintain any standing instructions to the U.S.?				
6.	Do you currently assign power of attorney or signatory authority to a person within the U.S?				
7.	Do you currently have a U.S. ‘hold mail’ or ‘in care of’ address as your sole address?				

**NOTE: ALL INVESTORS (INDIVIDUAL & LEGAL ENTITY(S) / CORPORATE) ARE REQUIRED TO COMPLETE THE FOLLOWING DECLARATION.**

**SECTION C: Declaration & Acknowledgement**

Please tick (“v”) one of the following:

- I am a U.S. person / U.S. Legal Entity(s)  
**Please provide Form W-9**
- I am a Non-U.S. person with  
**No U.S. indicia**
- I am a Non-U.S. person / Non-U.S. Legal Entity(s) with  
**U.S. indicia**  
**Please provide Form W-8BEN / provide Form W-8BEN-E**

**Declaration**

I/We represent and declare that the information provided above is true, accurate and complete. I/We understand that the term "U.S. person" means any citizen or resident of the United States, and shall include the definition below.

I/We hereby consent for Phillip Mutual Berhad, or any of its affiliates, including branches (collectively "The Company") to disclose /report my/our information to any person, including the regulatory authorities in accordance with the requirements of Foreign Account Tax Compliance Act 2010 ("FATCA") as may be stipulated by applicable laws, regulations, agreement or regulatory guidelines or directives.

I/We hereby consent that Company may withhold from my/our account(s) such amounts in accordance with the requirements of FATCA as may be stipulated by applicable laws, regulations, agreement or regulatory guidelines or directives.

If there is any change in information provided to the Company that makes me/us a U.S. person, or a recalcitrant (person who fails to comply with reasonable requests for information to determine if this account belongs to a U.S. person), the Company has the right to terminate my/our account(s) and/or facilities granted to me/us.

I/We undertake to notify the Company in writing within 30 calendar days if there is a change in any information which I/We have provided to the Company.

Signature of Principal Holder/Authorised Signatories

Signature of Joint Holder

Common Seal/Company's Stamp

Name :  
Date :

Name :  
Date :

**FOR UTC VERIFICATION**

**Part I – Documentation Checklist**

<b>FACTA checklist</b>	
<b>Passport</b>	
Client has not provided a U.S. passport.	<input type="checkbox"/>
<b>Nationality</b>	
Client does not have U.S. citizenship.	<input type="checkbox"/>
<b>Non U.S. Passport</b>	
Client's country of birth is not in the U.S.	<input type="checkbox"/>
<b>Others</b>	
Client has not provided any other indication of being U.S. citizen or resident.	<input type="checkbox"/>

UTC's Signature

---

Name:  
Date:

**FOR OFFICE USE ONLY**

**Part II – Confirmation and acknowledgement by Customer Service/PIC**

Based on the abovementioned declarations and assessments, the customer(s)' FATCA classification is:

- 1. U.S. Person       3. Recalcitrant client with U.S. Indicia. (Non U.S. Clients with U.S. Indicia who do not provide Form W-8BEN)
- 2. Non U.S. Person     4. Recalcitrant client with U.S. Person. (U.S. Clients with U.S. Indicia who do not provide Form W-8BEN)
- I confirm that the required checklist has been performed as listed above, and the necessary documents have been provided to client, where applicable.

Name	Signature	Date	Remarks

**Part III – Confirmation by Operations**

Based on Part I and II above:

- I have entered into the system, the client(s)' FATCA status accordingly as stated in Part II above

Name	Signature	Date	Remarks