

UOB KAY HIAN PRIVATE LIMITED

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DECLARATION OF ACCREDITED / EXPERT / INSTITUTIONAL INVESTOR STATUS

NAME (AS IN TRADING ACCOUNT)

[illegible]

EMAIL

1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16	17	18	19	20	21	22	23	24	25	26	27	28	29	30	31	32	33	34	35	36	37	38	39	40	41	42	43	44	45	46	47	48	49	50	51	52	53	54	55	56	57	58	59	60	61	62	63	64	65	66	67	68	69	70	71	72	73	74	75	76	77	78	79	80	81	82	83	84	85	86	87	88	89	90	91	92	93	94	95	96	97	98	99	100
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TRADING ACCOUNT NUMBER / TR CODE

<div style="display: flex; justify-content: space-between; border-bottom: 1px solid black; padding-bottom: 5px;"> 1 2 3 4 5 6 </div>	/	<div style="display: flex; justify-content: space-between; border-bottom: 1px solid black; padding-bottom: 5px;"> 7 8 </div>
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NRIC / PASSPORT / COMPANY REGISTRATION NO.

[illegible]

CONTACT NO.

[illegible]

Please select any of the following transaction(s) that you intend to do (you may select more than one):

- ☐ Listed SIPs: For example, ETFs, ETNs, Structured Warrants, Certificates
- ☐ Listed SIP: ES (Please complete ES Account Application Form)
- ☐ Unlisted SIP: Unit trusts
- ☐ Unlisted SIP: Over-the-counter products such as structured notes
- ☐ Unlisted SIP: LFX (Please complete LFX Account Application Form)
- ☐ Unlisted SIP: CFD (Please complete CFD Account Application Form)

DECLARATION OF INVESTOR STATUS

(Pls complete either A, B or C)

A. ACCREDITED INVESTOR (as defined in Section 4A(1)(a) of the Securities and Futures Act (Cap. 289):

INDIVIDUAL

- ☐ i. whose net personal assets exceed in value S\$2 million (or its equivalent in a foreign currency) or such other amount as the authority may prescribe in place of the first amount; or

Supporting Proof Required:

- Copy of latest bank statement, CPF statement (dated within 3 months)
- Copy of latest statement of holdings from CDP/ brokerage firms (dated within 3 months)
- Copy of property title deed

- ☐ ii. whose income in the preceding 12 months is not less than S\$300,000 (or its equivalent in a foreign currency) or such other amount as the authority may prescribe in place of the first amount;

Supporting Proof Required:

- Copy of pay slip (dated within 3 months)
- Copy of bank statement with salary credit (dated within 3 months)
- Copy of most recent income tax notice assessment / IR8A form
- Original letter of employment stating position and income (dated within 3 months)
- Copy of listed company's financial statements / annual report for directors of listed companies (latest)

CORPORATE

- ☐ i. a corporation with net assets exceeding S\$10 million in value (or whose net personal assets or its equivalent in a foreign currency) or such other amount as the authority may prescribe, in place of the first amount, as determined by:
- *the most recent audited balance-sheet of the corporation; or*
 - *where the corporation is not required to prepare audited account regularly, a balance sheet of the corporation certified by the corporation as giving a true and fair view of state of affairs of the corporation as of the date of the balance sheet, of which the date shall be within the preceding 12 months.*
- ☐ ii. a corporation, the sole business of which is to hold investments and the entire share capital of which is owned by one or more persons, each of whom is an accredited investor.

B. EXPERT INVESTOR (as defined in Section 4A(1)(b) of the Securities and Futures Act (Cap. 289) being a person:

- ☐ whose business involves the acquisition and the disposal, or the holding, of capital markets products, whether as principal or agent

Supporting Proof Required:

- Copy of name card
- Copy of letter of employment stating position (dated within 3 months)

C. INSTITUTIONAL INVESTOR (as defined in Section 4A(1)(c) of the Securities and Futures Act (Cap. 289)

- ☐ i. a bank that is licensed under the Banking Act (Cap. 19);
- ☐ ii. a merchant bank that is approved as a financial institution under section 28 of the Monetary Authority of Singapore Act (Cap.186);
- ☐ iii. a finance company that is licensed under the Finance Companies Act (Cap. 108);
- ☐ iv. a company or society registered under the Insurance Act (Cap. 142) as an insurer;
- ☐ v. a company licensed under the Trust Companies Act 2005 (Act 11 of 2005);
- ☐ vi. the Government;
- ☐ vii. a statutory body established under any Act;
- ☐ viii. a pension fund or collective investment scheme;
- ☐ ix. the holder of a capital markets services licence for (a) dealing in securities; (b) fund management; (c) providing custodial services for securities; (d) real estate investment trust management; (e) securities financing; or (f) trading in futures contracts;
- ☐ x. a person (other than an individual) who carries on the business of dealing in bonds with accredited investors or expert investors;

ACKNOWLEDGMENT

1. I/We hereby declare that all information provided above and all documents that are to be provided are correct, true and accurate and I/we have not willfully withheld any material fact.
2. I/We will also endeavour to notify UOBKH immediately should there be any changes in my/our circumstances which would result in a change of investor status.

Dated this _____ day of _____ 20_____

For Individual / Joint Account

Signature	:	_____	Signature of Joint Account	:	_____
Name of Client	:	_____	Name of Client	:	_____
NRIC/Passport	:	_____	NRIC/Passport	:	_____

For Corporate Account (please affix company's stamp)

Signature	:	_____	Signature	:	_____
Name of Authorised Signatory	:	_____	Name of Authorised Signatory	:	_____
NRIC/Passport	:	_____	NRIC/Passport	:	_____
Designation:	:	_____	Designation:	:	_____

For Office Use Only

Signature Verified By / Date

Data Entry By / Date