

Applicant Information

Residential Address (as in NRIC for Singaporeans or Permanent Residents of Singapore)

Grid for Residential Address (3 rows, 25 columns each)

Postal Code

City / State

Country

Grid for Postal Code, City/State, and Country (3 columns, 10, 15, and 10 columns respectively)

Mailing Address (complete only if different from Residential Address and accept the risk of delay or failure in receiving mails)

Grid for Mailing Address (3 rows, 25 columns each)

Postal Code

City / State

Country

Grid for Postal Code, City/State, and Country (3 columns, 10, 15, and 10 columns respectively)

*I acknowledge and accept the inherent risk that mailers sent to the aforementioned addresses may be opened by another individual at the same address.

Tax Residence Information (Mandatory)

(Please attach a separate Common Reporting Standard – Individual Tax Residency Self-Certification form if there is insufficient space)

If you are unable to provide a Tax Identification Number (TIN), please provide the appropriate reason **A**, **B** or **C** where indicated below:

Reason A - The country/jurisdiction where the Account Holder is a resident does not issue TINs to its residents

Reason B - The Account Holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the table below if you have selected this reason)

Reason C - No TIN is required as the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction

	<u>Country(ies)/Jurisdiction(s) of Tax Residence</u>	<u>Tax Identification No.</u>	<u>If no TIN available, enter Reason A, B, or C</u>	<u>Explanation if Reason B is selected</u>
i.	_____	_____	_____	_____
ii.	_____	_____	_____	_____
iii.	_____	_____	_____	_____

Employment Details

Occupation

Grid for Occupation (1 row, 25 columns)

Name of Employer

Grid for Name of Employer (2 rows, 25 columns each)

Country

Grid for Country (1 row, 25 columns)

Do you own any businesses in sectors such as remittance agents, money changers, moneylenders, internet-based stored value facility holders, corporate service providers, casinos, or pawnbrokers? Yes No

Are you working or involved in Marijuana or Cannabis-related business? Yes No

Annual Income

S\$50,000 & Below S\$50,001 - \$100,000 S\$100,001 to \$300,000 S\$300,001 to \$500,000 S\$500,001 to \$ 700,000

S\$700,001 and above, please state amount: _____

Source of Wealth / Funds

a. Source of Wealth (Refer to the origin of your total assets)

Employment Business Income Rental Sales of Investment Inheritance / Gifts Others, please specify: _____

b. Source of Funds (Refer to the origin of the funds or other assets which are the subject of the requested transactions)

Employment Business Income Rental Sales of Investment Inheritance / Gifts Others, please specify: _____

Account Relationship Details

1. Are you related to any employee / trading representative of UOB Kay Hian? Yes (please provide details below) No
- | Name | Relationship |
|----------|--------------|
| a. _____ | _____ |
| b. _____ | _____ |
2. Are there any trading account(s) in UOB Kay Hian in which you have control or influence? Yes (please provide details below) No
- | Account Name | Account No |
|--------------|------------|
| a. _____ | _____ |
| b. _____ | _____ |
3. Does any account holder in UOB Kay Hian has control or influence over this trading account? Yes (please provide details below) No
- | Account Name | Account No. |
|--------------|-------------|
| a. _____ | _____ |
| b. _____ | _____ |

Trading History / Objectives

1. Do you have previous experience in investing in financial product(s)?
- Yes, please specify _____
 No
2. Please indicate your investment objectives:
- Long Term Investment Short Term Trading Profits Dividend Yield Hedging Others (please specify) _____
3. Name of other financial institution(s) currently used to invest in any financial product(s): _____
4. Are you currently unable to pay your debts as they fall due, or have entered into or have proposed to enter into any scheme, arrangement or composition with your creditors, or has any bankruptcy proceeding or resolution been filed against you or passed to effect the same, or has an administrator, trustee or other analogous officer been appointed over all or a material part of your assets?
- Yes (please describe briefly) _____
 No
5. Do you have any disputed account(s) or unresolved litigation matters with any stockbroking firm(s)/ financial institution(s)?
- Yes (please describe briefly) _____
 No

Representations, Warranties and Declarations by the Applicant

1. I, the Applicant in this Account Application (the "Application Form"), hereby request that UOB Kay Hian Private Limited ("UOBKH") open trading account(s) and/or provide the services specified by me in this Application Form to me. By signing this Application Form, I hereby represent, warrant and agree that:
- 1.1 All information furnished by me in this Application Form and any information separately provided by me in connection herewith is true, accurate, complete, correct and not misleading in any respect. I agree to promptly notify UOBKH in writing in the event that the information contained in this Application Form or separately provided in connection with this application changes and I hereby consent to UOBKH collecting, using and/or disclosing any and all such information on me to such persons as UOBKH in its sole and absolute discretion deems it to be necessary or required by applicable laws and regulations.
 - 1.2 I shall execute and provide all documents and instruments (including any security documents) and do all such acts and things as may be required by UOBKH in connection with the processing of this application and the opening, operation and/or maintenance of any trading account(s) or facility established by me with UOBKH.
 - 1.3 I have read, understood, accepted and agreed to the terms and conditions set out in this Application Form, as well as the terms and conditions set out in the latest versions of the UOBKH Master Trading Agreement (printed copy can be made available on request), the Guide and Cautionary Notes in Applying For/Continuing with an Account with UOB Kay Hian Private Limited ("Guide") and the Risk Disclosure Statements for the respective financial product(s) I intend to trade/invest in, all of which as may be varied or supplemented from time to time (copies of which are available on <http://www.utrade.com.sg>) and which shall be fully binding upon and enforceable against me. I confirm and represent that I have taken independent advice from such advisers as I have deemed necessary or desirable in relation to this Application Form and the related documents.
 - 1.4 It is my sole responsibility to ensure the suitability for me of the financial product(s) that I have selected to trade/invest in unless I am receiving Guided or Paid Advice. Specifically, I confirm having read and agree to the contents of the 'Acknowledgement of Personal Responsibility for and Limits Of Execution-Related Advice On Listed Excluded Investment Products' in the body of the Guide and in particular the warning to me in the contents of such acknowledgement.
 - 1.5 I have read and agreed to the terms and conditions relating to Electronic Payment for Shares (EPS) service as stated in the Terms and Conditions for the Application for EPS. A copy is available on <http://www.utrade.com.sg>.
 - 1.6 The submission and acceptance of this Application Form in no way implies approval for the opening of the trading account(s) and that UOBKH reserves the sole and absolute discretion to approve or reject this application without giving any reasons whatsoever.
2. I am 18 years of age or over and hereby declare that I am not an undischarged bankrupt, nor am I unable to pay my debts as they fall due.
3. I agree that by accessing the Internet Trading facility provided by UOBKH, I am to be bound by and accept the terms and conditions (which may be varied from time to time) as stated in the Terms and Conditions Governing Internet Trading. A copy is available on <http://www.utrade.com.sg>.
4. I declare that I am the sole legal and beneficial owner of the trading account(s) and I am not acting as agent or nominee for any other person(s) or entity.
5. I have full authority and power and legal capacity to sign this Application Form, to maintain and operate the trading account(s), to effect the transactions for the trading account(s) mentioned above and to accept the terms of the services contemplated by UOBKH's Master Trading Agreement.
6. I agree at all times to abide by the Rules and Regulations of the Singapore Exchange Securities Trading Limited and the stock exchanges of any other markets that I shall be trading in.
7. I hereby authorise and consent to update the information provided in this application to all my trading account(s) maintained with UOBKH.

To Use P O Box Address/ My Mail Box Address, where applicable

1. I hereby request to use the P O Box address/My Mail Box address as the mailing address for receiving contract notes, statements, letter of demand and any other correspondence (collectively known as 'correspondence') relating to my trading account with UOBKH.
2. I am fully aware of the risks involved in using the P O Box address/My Mail Box address as my mailing address. Such risks include not receiving my correspondence promptly from UOBKH, not being able to detect any discrepancies, trading errors or unauthorized transactions in my account(s) if there is any delay or failure in receiving the correspondence by me.
3. I agree and acknowledge that any correspondence addressed to me, sent to the P O Box address/My Mail Box address is deemed to have been sent to me and received by me. I shall not hold UOBKH responsible for any losses which I may suffer from the non-receipt or delay in receiving the correspondence by me.

Representations, Warranties and Declarations By the Applicant

Share Margin Financing Facility, where applicable

- 1. I agree to abide by the Margin Trading Facility Terms, Terms and Conditions Applicable To Margin Trading and Memorandum of Charge as may be amended from time to time.
- 2. I understand that you reserve the right at your absolute discretion to determine the quantum of the Margin Trading Facility and the collateral required.

Depository Agent Sub-Account, where applicable

- 1. I agree that the operation of the depository agent sub-account shall be subject to the rules and regulations of The Central Depository (Pte) Ltd (CDP) and Rules and Bye-laws of Singapore Exchange Securities Trading Limited.
- 2. I accept the charges levied by the CDP/UOBKH, which may be revised from time to time without prior notice.

Marketing Consent:

- 1. I agree to UOBKH, its agents and authorized service providers sending me marketing messages (including advertisements and promotions) about products and/or services offered by UOBKH and/or its business partners to my contact number(s) by way of voice call, text (SMS) and other forms of instant messaging such as Whatsapp. I am aware that I may at any time withdraw my consent for the sending of any marketing message to my contact number(s) by giving at least 10 business days' notice in writing via email, fax or letter to you.

Tax Compliance Representation and Warranty

I hereby represent and warrant in favour of UOB Kay Hian Private Limited ("UOBKH"):

- (a) I will ensure that I will remain in compliance with all laws to which I am subject to including, without limitation, all tax laws and regulations and exchange control requirements ("Tax Laws") at all times
- (b) Any and all funds and assets that I have placed and will place with UOBKH have been and will be dealt with in full compliance with the Tax Laws of the countries where I am domiciled in or tax resident or deemed tax resident of and which I am legally subject to.
- (c) Any profits which accrue from my transactions will also be dealt with in full compliance with the Tax Laws of the countries where I am domiciled in or resident or deemed tax resident of and which I am legally subject to.

Dated this _____ day of _____ 20 _____.

Signature of Applicant
Name of Applicant: _____

Signature and account(s) opening verified by
TR-UOBKH: _____
TR Name: _____
TR Code: _____
Date: _____

Application witnessed/verified by:
Name: _____
Date: _____

TRADING LIMITS TO BE COMPLETED BY TRADING REPRESENTATIVE - SECURITIES TRADING ACCOUNT

Account Type	TR Recommended Limit
Securities Trading:	SGD

Intended Investment Amount / Asset to bring in (S\$): _____

Note: The limit is shared by both channels; online and offline. If TR wishes to have a different allocation of limits on the online/offline channels, please contact your credit officer. Trading Limit recommendation is not required for MT4 and UTRADE Edge account types.

Name of TR

TR Code

Signature of TR / Date