## **UOBKayHian**

TR Code

## Account Application - Individual

Types of Accounts - You may open more than one type of account. - Securities Trading Account is required in order to ope	en account(s) under Margin Trading and Other Fin	ancial Instruments.											
Regular Trading*  Securities Trading Account - To trade Equities, Bonds, Unit Trusts, ETFs, ETNs, OTC products, etc  UTRADE Edge Account - Online cash upfront account - To trade securities in SG, HK, MY, US Markets	Margin Trading* (Please complete margin loan documents)	Other Financial Instruments*         (Please complete Customer Account Review (CAR) / Customer Knowledge Assessment (CKA) Form)         UTRADE Delta         CFDs (Equities, Indices) & Leveraged (FX, Commodities)         Please select the base currency:         SGD         USD         MT4         Leveraged (FX, Commodities) &CFDs (Indices)         Please select the base currency:         SGD         USD         Write Equity Call / Put Option											
(Duly Completed Form W8BEN is required for trading in th Account is enrolled with Online Trading facility and you w	,	tements											
Applicant Information	· · ·												
Name (As in NRIC or Passport)													
Gender  Male													
Marital Status	Female     Married     Divorced     Widowed												
		1 <b>u</b>											
NRIC/Passport No.													
Country of Birth	Malaysia     Gothers:	se specify											
Date of Birth (DD/MM/YYYY)		o speciny											
Nationality D Singaporean	Malaysian     Others:	se specify											
Singapore Permanent Resident	🗅 No												
Country Code Area Code / Number	Country Co	de Area Code / Number											
Mobile No. +( )	Home Tel No. +(												
Email Address (Mandatory) This email will be used for future correspondences and will supersede all previous email addresses that you may have furnished when you establish a trading													
account with us.													

Applicant Information																																										
Resi	dential A	Addre	ess (a	is in I	NRIC	for S	ingap	orean	is or I	Perm	anent F	Reside	nts of	Singa	apore)	)																										
Post	al Code						City	/ Stat	e											Cour	ntry																					
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Maili	ng Addr	ress (	comr	lete	onlv i	f diffe	rent f	rom R	leside	ential	Addres	ss and	accer	ot the	risk of	f dela	av or fa	ilure i	n rece	ivina	mails	)																				
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	ase att									ng S	tanda	ard –	Indiv	/idua	al Tax	x Re	side	ncy S	Gelf-C	Certif	ficati	ion f	orm	if th	ere	s in	suffi	cier	ıt sp	bace	e)											
lf you	u are una	able	to pro	ovide	a Ta	x Ide	ntific	ation	Num	ber (	TIN), p	lease	provi	de th	e app	oropri	ate re	ason	<b>A</b> , <b>B</b> (	or <b>C</b> v	where	indic	ated	belov	N:																	
Reas	son A -	The c	count	ry/ju	isdic	tion v	vhere	e the <i>l</i>	Acco	unt H	older i	s a re	siden	t does	s not i	issue	TINs	to its	reside	ents																						
<b>Reas</b> reas	<b>son B -</b> <sup>·</sup> on)	The A	Αссοι	unt H	olde	is ot	herw	ise ur	nable	to o	otain a	TIN o	or equ	ivalei	nt nur	nber	(Plea	se exp	olain v	why y	vou ar	e una	able t	o obt	ain a	TIN	in the	tabl	e be	low i	f you	hav	e sel	ected	this							
Reas	son C - I	No T	IN is	requi	red a	as the	dom	nestic	law	of the	relev	ant ju	isdict	ion do	oes no	ot rec	quire t	he co	lectio	n of t	the TI	N iss	ued b	y su	ch jur	isdic	tion															
	9	<u>Cour</u>			luris eside		on(s)	of			<u>Ta</u>	ax Ide	ntific	ation	No.						able, o B, or				Ex	plan	ation	if R	easc	on B	is s	elect	ed									
i.																																										
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ii.									-								_						-																			
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Emp	oloyme	ent D	etail	s																																						
Осси	pation																																									
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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?  Ves No																																										
Annual Income																																										
□ \$\$50,000 & Below □ \$\$50,001 - \$100,000 □ \$\$100,001 to \$300,000 □ \$\$300,001 to \$500,000 □ \$\$500,001 to \$ 700,000																																										
□ S\$700,001 and above, please state amount:																																										
Sou	Source of Wealth / Funds																																									
a. So		Wea	ılth (F	Refer	to th	e orio	gin of	your	total	asse	ets)																							a. Source of Wealth (Refer to the origin of your total assets)								
			`			e oriç s Inco	•		total ⊒ Re		,	] Sale	s of l	nvest	ment	I	🗆 Inl	nerita	nce /	Gifts		) Oth	ers, p	oleas	e spe	cify:																
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D E	ource of	nent Fund	ds (R	l Bus	ines to the	s Inco	ome in of	the fu	l Re	ental or oth	ner ass		hich a	are the	e subj	ject c		reque	sted t	ransa	action		-		·	•																

Net Worth (excluding residences and retirement assets)
□ S\$100,000 and below □ S\$100,001 to \$500,000 □ S\$500,001 to \$1,000,000 □ S\$1,000,001 to \$5,000,000 □ S\$5,000,001 to \$10,000,000
□ S\$10,000,001 and above, please state amount:
Educational Qualifications
Tertiary     Diploma     GCE 'A' / 'O'     Primary     Others, please specify:
CPF Investment Scheme or Supplementary Retirement Scheme (Only applicable for Securities Trading account)
CPF Investment Scheme ("CPFIS")         UOB (690)         DBS (561)         OCBC (635)         CPF Investment A/c No.
Supplementary Retirement Scheme ("SRS") 🗖 UOB (690) 🗖 DBS (561) 🗖 OCBC (635) SRS A/c No.
Settlement of Accounts
a. Securities Trading Account
Standing Authorisation (SA) Please deposit any amounts that are due to me, including but not limited to sale proceeds, contra gains, dividends, and coupon payments that are due to me into my Trust Account in the settlement currency indicated on the contract note, contra statement, or payment advice from UOBKH, and withdraw from my Trust Account for settlement of whatever money due to UOBKH, including but not limited to purchases of stocks and shares, contra losses incurred by me, fees payable with respect to my transactions/accounts with UOBKH and/or pay ments for subscriptions/corporate actions that I instruct UOBKH to undertake on my behalf. I am aware that this arrangement will not apply (for SGD and/or USD and/or other currencies) if other mode of settlement (GIRO, EPS or TT) has been selected.
Please choose ONE of the following options for SGD settlement mode:
i) i) Electronic Payment System (EPS) Please link my designated Bank Account as indicated below to my trading account to enable me to make payment for purchases or contra losses, and to receive sale proceed or contra gains arising from my securities transactions.
UOB DBS OCBC Bank of Singapore Citibank Maybank
Bank Account No
ii) 🗖 GIRO (please attach Bank GIRO Application Form), please indicate your GIRO Bank Account No
<ul> <li>b. UTRADE Edge Account</li> <li>Standing Authorisation (SA)</li> <li>Please deposit any amounts that are due to me, including but not limited to sale proceeds, contra gains, dividends, and coupon payments that are due to me into my Trust Account in the settlement currency indicated on the contract note, contra statement, or payment advice from UOBKH, and withdraw from my Trust Account for settlement of whatever money due to UOBKH, including but not limited to purchases of stocks and shares, contra losses incurred by me, fees payable with respect to my transactions/accounts with UOBKH and/or payments for subscriptions/corporate actions that I instruct UOBKH to undertake on my behalf.</li> <li>I am aware that this arrangement will not apply (for SGD and/or USD and/or other currencies) if other mode of settlement (GIRO, EPS or TT) has been selected.</li> </ul>
* Cheque, bill payment, PayNow and telegraphic transfer are accepted for all trading accounts. Application to Open Depository Agent Sub-account(s)
a. Securities Trading Account
i) Do you wish to open <b>Depository Agent Sub-account</b> for UOB Kay Hian to safekeep your SGX-listed shares instead of CDP?
□ Yes □ No (please complete ii or iii below)
ii) D Please provide the CDP (Central Depository Pte Ltd) account number.
1       6       8       1       -       -       -         By providing your CDP Securities Account Number, you agree to and hereby authorise UOBKH to link your trading account to your CDP Securities Account in order to facilitate the settlement of securities for sales and purchases done in your trading account. In consideration of CDP agreeing to effect the linkage between your CDP Securities Account and your trading account, you hereby agree to comply with, and be bound by the CDP Terms and Conditions for the Operation of Securities Accounts, available at <a href="https://www.sgx.com/cdp">www.sgx.com/cdp</a> .
iii) 🗆 Trade foreign shares 🛛 Trade under CPFIS/SRS
<ul> <li>iv) Please note that a Depository Agent Sub-account will be opened for each of the following trading account(s) that you apply for.</li> <li>Share Margin Financing Account</li> <li>UTRADE Edge Account</li> </ul>
Trading in Specified Investment Products
Do you wish to trade in Specified Investment Products, such as Unit Trust, ETNs and OTC products?
If yes, please complete and submit the Customer Account Review (CAR) / Customer Knowledge Assessment (CKA) Form.
Stock Connect Northbound Trading Service         Do you wish to trade in Northbound China Connect Shares?         Yes
I acknowledge and agree that it is necessary to tag each of my orders submitted to the China Stock Connect System with a Broker-to-Client Assigned Number (BCAN) and to provide to the Hong Kong Exchanges and Clearing Limited ('Exchange') my assigned BCAN and such identification information relating to me as the Exchange may request from time to time under its rules. I acknowledge and agree to UOB Kay Hian Pte Ltd to process my personal data, use or transfer my identification information to the Exchange and the relevant subsidiaries of The Stock Exchange of Hong Kong Limited as set out in the 'Personal Information Collection Statement Concerning Northbound China Connect Orders'. This document can be viewed on <a href="http://www.utrade.com.sg">http://www.utrade.com.sg</a> . A printed copy can also be made available upon request.

Account Relationship Details										
1. Are you related to any employee / trading representative of UOB Kay Hian? Name	<ul> <li>Yes (please provide details below)</li> <li>No</li> <li>Relationship</li> </ul>									
a										
b.										
2. Are there any trading account(s) in UOB Kay Hian in which you have control or influence? Account Name	<ul> <li>Yes (please provide details below)</li> <li>No</li> <li>Account No</li> </ul>									
a										
b										
3. Does any account holder in UOB Kay Hian has control or influence over this trading account Account Name     a	nt?  Yes (please provide details below) Account No.									
b										
··										
Trading History / Objectives										
1. Do you have previous experience in investing in financial product(s)?										
<ul> <li>Yes, please specify</li> <li>No</li> </ul>										
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										
Yes (please describe briefly)     No										
Representations, Warranties and Declarations by the Applicant										
<ul> <li>any respect. I agree to promptly notify UOBKH in writing in the event that the infor changes and I hereby consent to UOBKH collecting, using and/or disclosing any an to be necessary or required by applicable laws and regulations.</li> <li>1.2 I shall execute and provide all documents and instruments (including any security processing of this application and the opening, operation and/or maintenance of any I have read, understood, accepted and agreed to the terms and conditions set ou UOBKH Master Trading Agreement (printed copy can be made available on reques Private Limited ("Guide") and the Risk Disclosure Statements for the respective final</li> </ul>	resent, warrant and agree that: tely provided by me in connection herewith is true, accurate, complete, correct and not misleading in mation contained in this Application Form or separately provided in connection with this application d all such information on me to such persons as UOBKH in its sole and absolute discretion deems it documents) and do all such acts and things as may be required by UOBKH in connection with the <i>y</i> trading account(s) or facility established by me with UOBKH. t in this Application Form, as well as the terms and conditions set out in the latest versions of the st), the <i>Guide and Cautionary Notes in Applying For/Continuing with an Account with UOB Kay Hian</i> ancial product(s) I intend to trade/invest in, all of which as may be varied or supplemented from time hall be fully binding upon and enforceable against me. I confirm and represent that I have taken									
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.										
is available on http://www.utrade.com.sg.	for Shares (EPS) service as stated in the Terms and Conditions for the Application for EPS. A copy									
1.6 The submission and acceptance of this Application Form in no way implies app discretion to approve or reject this application without giving any reasons whatsoever	roval for the opening of the trading account(s) and that UOBKH reserves the sole and absolute er.									
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. by and accept the terms and conditions (which may be varied from time to time) as stated in the									
4. I declare that I am the sole legal and beneficial owner of the trading account(s) and I am not a	acting as agent or nominee for any other person(s) or entity. nd operate the trading account(s), to effect the transactions for the trading account(s) mentioned									
<ol> <li>I agree at all times to abide by the Rules and Regulations of the Singapore Exchange Securit</li> <li>I hereby authorise and consent to update the information provided in this application to all my</li> </ol>	ies Trading Limited and the stock exchanges of any other markets that I shall be trading in.									
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									
being able to detect any discrepancies, trading errors or unauthorized transactions in my acc	dress/My Mail Box address is deemed to have been sent to me and received by me. I shall not hold									

Share Margin Financing Facility, where applicable									
<ol> <li>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.</li> <li>I understand that you reserve the right at your absolute discretion to determine the quantum of the Margin Trading Facility and the collateral required.</li> </ol>									
Depository Agent Sub-Account, where	applicable								
1. I agree that the operation of the dep	pository agent sub-account shall be s	subject to the rules and regulations of The Central	Depository (Pte) Ltd (CDP) and Rules and Bye-laws of						
Singapore Exchange Securities Tra		e a a a a a a a a							
2. I accept the charges levied by the C	CDP/UOBKH, which may be revised f	from time to time without prior notice.							
Marketing Consent:									
	uthorized service providers sending r	ne marketing messages (including advertisements	and promotions) about products and/or services offered						
by UOBKH and/or its business partners to	o my contact number(s) by way of voi	ice call, text (SMS) and other forms of instant mes	saging such as Whatsapp. I am aware that I may at any						
time withdraw my consent for the sending	of any marketing message to my co	ntact number(s) by giving at least 10 business day	vs' notice in writing via email, fax or letter to you.						
Tax Compliance Representation ar	nd Warranty								
I hereby represent and warrant in favour of									
	npliance with all laws to which I am s	ubject to including, without limitation, all tax laws a	and regulations and exchange control requirements ("Tax						
Laws") at all times	have placed and will place with LIOP	KH have been and will be dealt with in full complic	nce with the Tax Laws of the countries where I am						
(b) Any and all funds and assets that I domiciled in or tax resident or deer	ned tax resident of and which I am leg	nally subject to							
			where I am domiciled in or resident or deemed tax resident						
of and which I am legally subject to									
Dated this day of	20	·							
Oirrestore of Applicant		in the second second (1-) and in the second s	Anglianting with an and the iffer discussion						
Signature of Applicant Name of Applicant:		gnature and account(s) opening verified by FR-UOBKH:	Application witnessed/verified by: Name:						
Nume of Applicant.		R Name:	Date:						
		R Code:	Date.						
		ate:							
TRADING LIMITS TO BE COMPLETED	BY TRADING REPRESENTATIVE -	SECURITIES TRADING ACCOUNT							
Account Type	TR Recommended Limit								
Securities Trading:	SGD								
Intended Investment Amount / Asset to	o bring in (S\$):								
Noto: The limit is charad by both above of	a online and offline . If TD wishes to	have a different allocation of limits on the artification	fling shannals, plages contact your credit officer. Tradies						
Limit recommendation is not required for I			ffline channels, please contact your credit officer. Trading						
Name of TD	TR Code	Signature of TD / Data							
Name of TR	IK Code	Signature of TR / Date							

Representations, Warranties and Declarations By the Applicant