

Account Application - Corporate

Types of Accounts

- You may open more than one type of account.
- Securities Trading Account is required in order to open account under Margin Trading and Other Financial 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
- UTRADE Plus Account**
- Online cash upfront account
- To trade securities in SGX only

Margin Trading*

- (Please complete margin loan documents)
- Share Margin Financing Account**

Other Financial Instruments*

- 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**

* Account is enrolled with Online Trading facility and you will only receive electronic contracts and monthly statements.

Applicant Information

Name of Corporation

RCB Registration No. / Company Registration No.

Legal Entity Identifier No (LEI) :

Country(ies) Where Business Is Conducted

Place of Incorporation / Registration

Date of Incorporation / Registration (DD/MM/YYYY)

Telephone No.

Country Code Area Code / Number

Principal Business Activity

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 established a trading account with us.

Registered Address

Postal Code

City / State

Country

Mailing Address (if different from the Registered Address)

Postal Code

City / State

Country

Entity Information

1. Please describe your key business activities, or indicate if this is an investment holding company with no operating activities.

2. Please describe your key products and/or services.

3. Please list the key geographical markets covered by your business.

4. Please provide a list of your directors and key executives. *Please attach a separate list if there is insufficient space

(Key executives refer to office bearers of the company who have executive decision making power (e.g. director, company secretary and other authorized signatories).

i) Name: _____ Gender: _____ Date of Birth(DD/MM/YY): _____ Country of Birth: _____

Nationality: _____ NRIC/Passport No.: _____ Designation: _____

Residential address: _____

ii) Name: _____ Gender: _____ Date of Birth(DD/MM/YY): _____ Country of Birth: _____

Nationality: _____ NRIC/Passport No.: _____ Designation: _____

Residential address: _____

iii) Name: _____ Gender: _____ Date of Birth(DD/MM/YY): _____ Country of Birth: _____

Nationality: _____ NRIC/Passport No.: _____ Designation: _____

Residential address: _____

iv) Name: _____ Gender: _____ Date of Birth(DD/MM/YY): _____ Country of Birth: _____

Nationality: _____ NRIC/Passport No.: _____ Designation: _____

Residential address: _____

v) Name: _____ Gender: _____ Date of Birth(DD/MM/YY): _____ Country of Birth: _____

Nationality: _____ NRIC/Passport No.: _____ Designation: _____

Residential address: _____

5. Please provide a list of your shareholders holding at least 25% of your issued shares. *Please attach a separate list if there is insufficient space

i) Name: _____ Gender: _____ NRIC/Passport/Reg No.: _____ Country of Birth: _____

Date of Birth/Incorporation (DD/MM/YY): _____ Country of Citizenship/ Incorporation: _____ Shareholding Percentage: _____

Residential / Registered Address: _____

ii) Name: _____ Gender: _____ NRIC/Passport/Reg No.: _____ Country of Birth: _____

Date of Birth/Incorporation (DD/MM/YY): _____ Country of Citizenship/ Incorporation: _____ Shareholding Percentage: _____

Residential / Registered Address: _____

iii) Name: _____ Gender: _____ NRIC/Passport/Reg No.: _____ Country of Birth: _____

Date of Birth/Incorporation (DD/MM/YY): _____ Country of Citizenship/ Incorporation: _____ Shareholding Percentage: _____

Residential / Registered Address: _____

6. If any of your directors or shareholders holding at least 25% of your issued share are themselves corporate entities or other non-natural persons, please provide a list of the key executives, directors or shareholders holding at least 25% of that corporate entity or other non-natural person. *Please attach a separate list if there is insufficient space

If your company falls under any of the categories listed below, your company is not required to complete Part 6:

- a) an entity listed on the Singapore Exchange;
- b) an entity listed on a stock exchange outside of Singapore that is subject to
 - (i) regulatory disclosure requirements; and
 - (ii) requirements relating to adequate transparency in respect of its beneficial owners (imposed through stock exchange rules, law or other enforceable means);

i) Name: _____ Gender: _____ NRIC/Passport/Reg No.: _____ Country of Birth: _____

Date of Birth/Incorporation (DD/MM/YY): _____ Country of Citizenship/ Incorporation: _____ Shareholding Percentage: _____

Residential / Registered Address: _____

ii) Name: _____ Gender: _____ NRIC/Passport/Reg No.: _____ Country of Birth: _____
 Date of Birth/Incorporation (DD/MM/YY): _____ Country of Citizenship/ Incorporation: _____ Shareholding Percentage: _____
 Residential / Registered Address: _____

iii) Name: _____ Gender: _____ NRIC/Passport/Reg No.: _____ Country of Birth: _____
 Date of Birth/Incorporation (DD/MM/YY): _____ Country of Citizenship/ Incorporation: _____ Shareholding Percentage: _____
 Residential / Registered Address: _____

Person(s) Authorised to Trade (Please attach a separate list if there is insufficient space)

1. Name: _____ Designation: _____ Date of Birth (DD/MM/YY): _____ Country of Birth: _____
 Nationality: _____ NRIC/Passport No.: _____ Specimen Signature: _____ Contact No. _____
 Residential address: _____

2. Name: _____ Designation: _____ Date of Birth (DD/MM/YY): _____ Country of Birth: _____
 Nationality: _____ NRIC/Passport No.: _____ Specimen Signature: _____ Contact No. _____
 Residential address: _____

3. Name: _____ Designation: _____ Date of Birth (DD/MM/YY): _____ Country of Birth: _____
 Nationality: _____ NRIC/Passport No.: _____ Specimen Signature: _____ Contact No. _____
 Residential address: _____

4. Name: _____ Designation: _____ Date of Birth (DD/MM/YY): _____ Country of Birth: _____
 Nationality: _____ NRIC/Passport No.: _____ Specimen Signature: _____ Contact No. _____
 Residential address: _____

5. Name: _____ Designation: _____ Date of Birth (DD/MM/YY): _____ Country of Birth: _____
 Nationality: _____ NRIC/Passport No.: _____ Specimen Signature: _____ Contact No. _____
 Residential address: _____

Account Relationship Details

1. Are there any trading account(s) in UOB Kay Hian in which you have control or influence?

Yes (please provide details below) No

Name _____ Account No. _____

Name _____ Account No. _____

2. Does any account holder in UOB Kay Hian has control or influence over this account?

Yes (please provide details below) No

Name _____ Account No. _____

Name _____ Account No. _____

Trading History / Objectives

1. Does the Company 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. Is the Company currently insolvent or unable to pay its debts as they fall due, or has the Company entered into or has proposed to enter into any scheme, arrangement or composition with its creditors, or has any bankruptcy, receivership, liquidation, winding up, judicial management, administration or similar proceeding or resolution been filed against the Company or passed to effect the same, or has a receiver, liquidator, administrator, judicial manager, custodian, trustee or other analogous officer been appointed overall or a material part of its assets? Yes No

If yes, please describe briefly _____

5. Does the Company have any disputed account(s) or unresolved litigation matters with any stockbroking firm(s) / financial institution(s)? Yes No

If yes, please describe briefly _____

Source of Wealth / Funds

We hereby declare that the entity's source of wealth / funds are as follows:

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

Business Income Sale of Investments Injection of Capital Bank Others (please specify) _____

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

Business Income Sale of Investments Injection of Capital Bank Others (please specify) _____

Declaration of Beneficial Owner(s) (Please attach a separate list if there is insufficient space)

We hereby declare and confirm that the following person(s) is the beneficial owner(s) of the trading account(s). We undertake to notify UOB Kay Hian Private Limited in writing immediately of any change in beneficial owner(s) of this account.

i) **Name:** _____ **Date of Birth (DD/MM/YY):** _____ **Country of Birth:** _____

Nationality: _____ **NRIC/Passport No.:** _____ **Signature:** _____

Residential address: _____

Beneficial Owner's Source of Wealth / Funds are as follows:

a. Source of Wealth Employment Rental Inheritance / Gifts Business Income Sales of Investments Others (please specify) _____

b. Source of Funds Bank Others (please specify) _____

ii) **Name:** _____ **Date of Birth (DD/MM/YY):** _____ **Country of Birth:** _____

Nationality: _____ **NRIC/Passport No.:** _____ **Signature:** _____

Residential address: _____

Beneficial Owner's Source of Wealth / Funds are as follows:

a. Source of Wealth Employment Rental Inheritance / Gifts Business Income Sales of Investments Others (please specify) _____

b. Source of Funds Bank Others (please specify) _____

iii) **Name:** _____ **Date of Birth (DD/MM/YY):** _____ **Country of Birth:** _____

Nationality: _____ **NRIC/Passport No.:** _____ **Signature:** _____

Residential address: _____

Beneficial Owner's Source of Wealth / Funds are as follows:

a. Source of Wealth Employment Rental Inheritance / Gifts Business Income Sales of Investments Others (please specify) _____

b. Source of Funds Bank Others (please specify) _____

iv) **Name:** _____ **Date of Birth (DD/MM/YY):** _____ **Country of Birth:** _____

Nationality: _____ **NRIC/Passport No.:** _____ **Signature:** _____

Residential address: _____

Beneficial Owner's Source of Wealth / Funds are as follows:

a. Source of Wealth Employment Rental Inheritance / Gifts Business Income Sales of Investments Others (please specify) _____

b. Source of Funds Bank Others (please specify) _____

(Note: The term "beneficial owner" means the natural person who ultimately owns or controls the Applicant or the person on whose behalf a transaction is being conducted and includes the person who exercises ultimate effective control over the Applicant.)

If you are a tax resident of the United States, please provide your U.S. Taxpayer Identification Number and return a completed signed Form W-9. A US citizen is considered a tax resident of the United States even if you are a tax resident of another jurisdiction.

Regulated Financial Institution

Countries or jurisdictions the Applicant is regulated: _____

Trading in Northbound China Connect Shares

Do you wish to trade in Northbound China Connect Shares?

Yes

We acknowledge and agree that it is necessary to tag each of our 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') our assigned BCAN and such identification information relating to us as the Exchange may request from time to time under its rules.

We acknowledge and agree to UOB Kay Hian Pte Ltd to process our personal data, use or transfer our 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 <http://www.utrade.com.sg>. A printed copy can also be made available upon request.

No

Settlement of Accounts

i) Securities Trading Account

Standing Authorisation (SA)

Please deposit any amounts that are due to us, including but not limited to sale proceeds, contra gains and dividends, and coupon payments that are due to us into our Trust Account in the settlement currency indicated on the contract note, contra statement, or payment advice from UOBKH, and withdraw from our Trust Account for settlement of whatever money due to UOBKH, including but not limited to purchases of stocks and shares, contra losses incurred by us, fees payable with respect to our transactions/accounts with UOBKH and/or payments for subscriptions/corporate actions that we instruct UOBKH to undertake on our behalf.

We are aware that this arrangement will not apply (for SGD and/or USD and/or other currencies) if other mode of settlement (GIRO or TT) has been selected.

Please select ONE of the following if you wish to opt out of default settlement mode:

a. GIRO (please attach Bank GIRO Application Form)

GIRO Bank Account No. _____

ii) UTRADE Edge and/or UTRADE Plus Account

Standing Authorisation (SA)

Please deposit any amounts that are due to us, including but not limited to sale proceeds, contra gains and dividends, and coupon payments that are due to us into our Trust Account in the settlement currency indicated on the contract note, contra statement, or payment advice from UOBKH, and withdraw from our Trust Account for settlement of whatever money due to UOBKH, including but not limited to purchases of stocks and shares, contra losses incurred by us, fees payable with respect to our transactions/accounts with UOBKH and/or payments for subscriptions/corporate actions that we instruct UOBKH to undertake on our behalf.

We are aware that this arrangement will not apply (for SGD and/or USD and/or other currencies) if other mode of settlement (GIRO or TT) has been selected.

* Cash, cheque, bill payment and telegraphic transfers are accepted for all trading accounts

Application to Open Depository Agent Sub-account(s)

a. Securities Trading Account

i) Do you wish to open **Depository Agent Sub-account** for UOB Kay Hian to safekeep your SGX-listed shares instead of CDP?

- Yes No (please complete ii or iii below)

ii) Please provide the **CDP (Central Depository Pte Ltd)** account number.

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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 www.sgx.com/cdp.

iii) Trade foreign shares only

b. Please note that for the following accounts, a Depository Agent Sub-account will be opened to safekeep your SGX-listed shares for:

- Share Margin Financing Account
- UTRADE Edge Account
- UTRADE Plus Account

Representations, Warranties and Declarations By the Applicant

1. We, 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 us in the Application Form to us. By signing this Application Form, we hereby represent, warrant and agree that:

- 1.1 All information furnished by us in this Application Form and any information separately provided by us or on our behalf in connection herewith is true, accurate, complete, correct and not misleading in any respect. We 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 we hereby consent to UOBKH collecting, using and/or disclosing any and all such information on us 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 We 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 us with UOBKH.
- 1.3 We 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) and the Risk Disclosure Statements for respective financial product(s), all of which may be varied or supplemented from time to time, (copies of which are available on <https://www.utrade.com.sg>) and which shall be fully binding upon and enforceable against us. We confirm and represent that we have taken independent advice from such advisers as we have deemed necessary or desirable in relation to this Application Form, and the related documents.
- 1.4 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.
- 1.5 We agree that by accessing the Internet Trading facility provided by UOBKH, we are 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>.

2. We confirm that we are not currently insolvent or unable to pay our debts as they fall due or the subject of a bankruptcy, receivership, liquidation, winding up, judicial management, administration or other similar proceeding nor has a resolution been passed to effect the same and further confirm that we have not entered into, or proposed to enter into, any scheme, arrangement or composition with our creditors generally nor have had a receiver, liquidator, administrator, judicial manager, custodian, trustee or other analogous officer appointed over all or a material part of our assets.

3. We also enclose with our duly completed Application Form, a certified true extract of the resolutions of our board of directors in respect of our application herein.

4. We 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 we shall be trading in.

5. We hereby authorise and consent to update the information provided in this application to all our trading account(s) maintained with UOBKH.

Share Margin Financing Facility, where applicable

1. We 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. We understand that you reserve the right at your absolute discretion to determine the quantum of Share Margin Trading Facility and the collateral required.

Depository Agent Sub-Account, where applicable

1. We agree that the operations of the depository agent sub-account shall be subjected to the rules and regulations of The Central Depository (Pte) Ltd (CDP) and rules and by-laws of Singapore Exchange Securities Trading Limited.

2. We accept the charges levied by the CDP/UOBKH, which may be revised from time to time without prior notice.

Tax Compliance Representation and Warranty

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

- (a) We will ensure that we will remain in compliance with all laws to which we are 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 we 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 we are domiciled in or tax resident or deemed tax resident of and which I/we are legally subject to.
- (c) Any profits which accrue from our transactions will also be dealt with in full compliance with the Tax Laws of the countries where we are domiciled in or resident or deemed tax resident of and which we are legally subject to.

Certificate of Fund Manager Concerning Verification of Customer Identity (This section is only applicable if you are fund manager)

We confirm that we are acting as fund manager for our customer(s) in our dealings with UOB Kay Hian Private Limited ("UOBKH"):

We hereby represent and warrant the following in respect of our customer(s):

1. That in accordance with the anti-money laundering laws of the jurisdiction of the supervisory authority by whom we are regulated, we have ascertained the identity of all customers for whom we act as fund manager.
2. We have conducted client verification procedures which are sufficient to establish the identity and source of funds of each of such customers.
3. We have recorded the evidence establishing the identities and sources of funds of such customers and we will retain or procure the retention of such evidence for a period of not less than 5 years, and
4. We will promptly provide copies of such evidence to UOBKH in response to a request from UOBKH's regulator whether directly to us or UOBKH.

In addition, we also specifically represent and warrant:

- A. None of the proposed customers, nor any person controlling, controlled by, or under common control with, any customer, nor any person having a significant beneficial interest in the customer (being a beneficial interest of no less than 5%), or for whom the customer is (a) a person or entity resident in, or organized or chartered under the laws of a jurisdiction identified as non-cooperative by the Financial Action Task Force ("FATF"); or (b) a person whose subscription funds originate from or will be routed through, an account maintained at a foreign shell bank or "offshore bank" not subject to compliance with the anti-money laundering and anti-terrorism financing prescriptions of FATF;
- B. We will immediately notify UOBKH if we become aware of (i) any update information on any customer; and/or (ii) any suspicious activity or pattern of activity that may require further review to determine whether the information gives rise to suspicion of the customer; and/or the activity or pattern of activity is suspicious;
- C. None of the customers and proposed customers is or will be a politically exposed person within the meaning of the expression under the FATF prescriptions or the notices of the Monetary Authority of Singapore unless they have successfully passed the enhanced customer due diligence required to be performed against such persons.

We will retain, until further notice, all documentation required to identify our customers and the basis for reasonable belief on their respective funds and funds use not being illicit accurately.

Dated this _____ day of _____ 20 _____.

Authorised Signatory
Name :

Authorised Signatory
Name :

Please Affix Company's Stamp

Application Form Witnessed / Verified By / Date

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

Initial Deposit: No Yes, Amount SGD _____ Cash / Cheque No. _____

Limits	TR Recommendation	
Securities Trading Limits:	SGD	
	Offline Channel	Online Channel
Channel Limit Recommended by TR	SGD	SGD
Asian Market	%	%
Non-Asian Market	%	%

Note: The Limit will be defaulted to Offline channel if no recommendation has been made for the channel and Markets will be set to 100%

Name of TR

TR Code

Signature of TR/ Date