

11/11/2019

(ALL FIELDS ARE MANDATORY)

Name (As in NRIC or Passport)

Name (As in NRIC or Passport)

Gender ☐ Male ☐ Female Marital Status ☐ Single ☐ Married ☐ Others: _____
please specify

NRIC/Passport No.	
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(NRIC-Singaporean/ Malaysian/ SG PR; Passport- Others Nationality)

Country of Birth ☐ Singapore ☐ Others: _____
please specify

Date of Birth (DD/MM/YYYY)			/			/		
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Nationality ☐ Singaporean ☐ Others: _____
please specify

☐ US Citizen (Please complete Form W-9. Form W-9 is available at <https://www.ustrade.com.sg/page/site/public/english/pdf/Form-W-9.pdf>)

US Taxpayer Identification No. | | | | | | | | | | | |

Singapore Permanent Resident ☐ Yes ☐ No

Country Code	Area Code / Number
1	1000000000
2	1000000000
3	1000000000
4	1000000000
5	1000000000
6	1000000000
7	1000000000
8	1000000000
9	1000000000
0	1000000000

Country Code Area Code / Number

Home Tel No. + () | | | | | | | | | Mobile Tel No. + () | | | | | | | | |

Email Address (This email will be used for future correspondences and will supersede all previous email addresses that you may have furnished us.)

Residential Address (as in NRIC for Singaporeans or Permanent Residents of Singapore). Please contact our client services at 6536 9338, if you have a different Mailing Address.

Postal Code City / State Country

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)

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

**Country(ies)/Jurisdiction(s) of
Tax Residence**

Tax Identification No.

If no TIN available, enter
Reason A, B, or C

Explanation if Reason B is selected

Please provide us with a completed Form W-9 if you are a US tax resident. A copy of Form W-9 is available on <https://www.utrade.com.sg/page/site/public/english/pdf/Form-W-9.pdf>

Occupation

[illegible]

Name of Employer _____

Country

☐ S\$30,000 & Below ☐ S\$30,001 - \$60,000 ☐ S\$60,001 - \$100,000 ☐ S\$100,001 - \$200,000 ☐ S\$200,001 - \$300,000 ☐ Above S\$300,000

☐ S\$50,000 & Below ☐ S\$50,001 - \$99,999 ☐ S\$100,000 - \$249,999 ☐ S\$250,000 - \$499,999 ☐ S\$500,000 - \$1,000,000 ☐ More than S\$1,000,000

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: _____
Settlement of Accounts☒ 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 payments 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.

Account Relationship Details

1. I am not related to any employee/ trading representative of UOB Kay Hian.

☐ True ☐ False (Please provide details below)

Account Name : _____

Relationship : _____

2. I have no control/ influence over any trading account(s) in UOB Kay Hian.

☐ True ☐ False (Please provide details below)

Account Name : _____

Account No : _____

3. There is no account holder in UOB Kay Hian that has control/ influence over this account.

☐ True ☐ False (Please provide details below)

Account Name : _____

Account No : _____

Trading History / Objectives1. Do you have previous experience in investing in financial product(s)? ☐ No ☐ Yes, please specify _____

2. Please indicate your investment objectives:

☐ Long Term Investment
☐ Short Term Trading Profits
☐ Dividend Yield
☐ Hedging
☐ Others (please specify) _____

3. Are you currently a bankrupt and/ or have any disputed account(s) or unresolved litigation matters with any stockbroking firm(s)/ financial institution(s)

☐ No
☐ Yes (please describe briefly) _____
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); *Terms and Conditions and Risk Disclosure Statement Applicable to Trading in BondbloXs*; 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 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.

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:

Verified By TR-UOBKH

TR Name/ Code:
Date:

Application witnessed/verified by:

Name:
Date: