

Opening of Trading Accounts for Corporation

Opening of Trading Account with UOB Kay Hian Pte Ltd ("UOB Kay Hian")

(A) For Singapore companies

Kindly complete checklist and submit to UOBKH together with all account opening documents.

Mandatory Forms – Please complete the following forms:

1. Corporate Account Application Form
2. Extract of Directors' Resolution – Cash Trading (UOBKH pre-printed form)
3. Form W-8BEN-E or Form W-9
4. UOBKH CRS Entity Tax Residency Self-Certification Form
5. UOBKH CRS Controlling Person Tax Residency Self-Certification Form
6. AML Confirmation Letter (for applicant with RFMC license)
7. * Guarantee (Single Party) or Guarantee (Joint and Several) (for UTRADE Delta Account and MT4 Account)

Must be submitted in original wet-ink

- a. For Pte Ltd company, all Directors and Shareholders are required to sign on all pages.
- b. Not applicable for Public Listed Company.

* The signature(s) on the Guarantee must be witnessed by any of the following authorised personnel / representatives (name, title and company stamp affixed):

- UOBKH staff (including UOBKH regional offices)
- Notary Public
- Advocates and Solicitors
- Singapore Embassy
- Justice of Peace

Supporting Documents Required

1. Certificate of Incorporation
2. Memorandum and Articles of Association / Constitution
3. Latest ACRA Business Profile dated within the last 2 weeks
4. Clear copies of NRIC / Passport of:
 - a. Director(s)
 - b. Key Executive(s)
 - c. Beneficial Owner(s)
 - d. Controlling person(s)
 - e. Authorised Signatory(ies)
 - f. Authorised Trader(s)
 - g. Company Secretary(ies) – if signing on mandatory forms or CTC on supporting docs
 - h. Shareholder(s) with more than 25% indirect and/or direct shareholdings
5. Residential Address proof of personnel listed at point 4(a) – (g) above.

The commonly acceptable supporting documents by UOB Kay Hian, provided applicant is not opening securities account with CDP and documents must be dated within last 3 months are:

- Singapore NRIC / Malaysia IC
- Statement from Government Body (e.g. CPF / IRAS, etc)
- Bank Statement
- Utility / Telco Bill
- CDP / Other Brokerage Firm Statement

6. Applicant mailing address proof (if differs from Company Registered address)
7. Latest Audited Financial Statement / Annual Report
8. For Applicants with complex structure (if applicable):

Please provide a graphical presentation of the company's ownership structure showing Person(s) / Shareholder(s) with more than 25% indirect and/or direct shareholdings, or to provide corporate supporting documents of related entities to determine the beneficial owner. Please refer to Appendix 3 for reference.

Optional Forms and Documents

- 1. Declaration of Accredited Investor / Institutional Investor Status
- 2. NASDAQ Subscriber Agreement & NYSE Non-Professional Subscriber Agreement (for UTRADE Delta Account)
- 3. Margin Loan Documents (for Share Margin Financing Account)
- 4. Request for Trading in Northbound China Connect Shares

Other Forms Submitted

Others: _____

Important Notes

Please refer to notes on page 4.

(B) For Foreign companies

Kindly complete checklist and submit to UOBKH together with all account opening documents.

Mandatory Forms – Please complete the following forms:

1. Corporate Account Application Form
2. Extract of Directors' Resolution – Cash Trading (UOBKH pre-printed form)
3. Form W-8BEN-E or Form W-9
4. UOBKH CRS Entity Tax Residency Self-Certification Form
5. UOBKH CRS Controlling Person Tax Residency Self-Certification Form
6. Letter of Indemnity to be signed by Principal / Shareholder (for company incorporated in countries listed in Appendix 1)
(**DO NOT** affix company stamp)
7. * Guarantee (Single Party) or Guarantee (Joint and Several) (for UTRADE Delta Account and MT4 Account)
Must be submitted in original wet-ink

- a. For company incorporated in countries listed in Appendix 1, all Beneficial Owner(s) are required to sign on all pages.
- b. Not applicable for Public Listed Company.

* The signature(s) on the Guarantee must be witnessed by any of the following authorised personnel / representatives (name, title and company stamp affixed):

- UOBKH staff (including UOBKH regional offices)
- Notary Public
- Advocates and Solicitors
- Singapore Embassy
- Justice of Peace

Supporting Documents Required

1. Certificate of Incorporation / Registration
2. Memorandum and Articles of Association / Constitution
3. Certificate of Incumbency dated within the last 2 months (for company incorporated in countries listed in Appendix 1)
4. Declaration of Trust, if applicable (for company incorporated in countries listed in Appendix 1)
5. Register of Director(s), Company Secretary(ies), and Shareholder(s) or equivalent
6. Clear copies of NRIC / Passport of:
 - a. Director(s)
 - b. Key Executive(s)
 - c. Beneficial Owner(s)
 - d. Controlling person(s)
 - e. Authorised Signatory(ies)
 - f. Authorised Trader(s)
 - g. Company Secretary(ies) – if signing on mandatory forms or CTC on supporting docs
 - h. Shareholder(s) with more than 25% indirect and/or direct shareholdings
7. Residential Address proof of personnel listed at point 5(a) – (g) above.

The commonly acceptable supporting documents by UOB Kay Hian, provided applicant is not opening securities account with CDP and documents must be dated within 3 months validity are:

- Foreign Identity Card (translated in English)
- Bank Statement
- Utility / Telco Bill
- CDP / Other Brokerage Firm Statement

8. Applicant mailing address proof (if differs from Company Registered address)
9. For Applicants with complex structure (if applicable):

Please provide a graphical presentation of the company's ownership structure showing Person(s) / Shareholder(s) with more than 25% indirect and/or direct shareholdings, or to provide corporate supporting documents of related entities to determine the beneficial owner. Please refer to Appendix 3 for reference.

Optional Forms and Documents

- 1. Declaration of Accredited Investor / Institutional Investor Status
- 2. Latest Audited Financial Statement / Annual Report
- 3. NASDAQ Subscriber Agreement & NYSE Non-Professional Subscriber Agreement (for CFD Account)
- 4. Margin Loan Documents (for Share Margin Financing Account)
- 5. Request for Trading in Northbound China Connect Shares

Other Forms Submitted

Others: _____

Important Notes

Please refer to notes on page 4.

Opening of Securities Account with Central Depository Pte Limited (“CDP”)

Kindly complete checklist and submit to UOBKH together with all account opening documents.

Mandatory Forms– Please complete the following Forms:

- | | |
|--|--------------------------|
| 1. CDP Apply for Securities Account Application Form | <input type="checkbox"/> |
| 2. Certificate of Resolution (CDP pre-printed form) | <input type="checkbox"/> |
| 3. CDP Entity KYC Form (Non-FI) | <input type="checkbox"/> |
| 4. Form W-8BEN-E or Form W-9 | <input type="checkbox"/> |
| 5. CDP Self-Certification for Entity Tax Residency Form | <input type="checkbox"/> |
| 6. CDP Self-Certification for Controlling Person (Entity Tax Residency) Form | <input type="checkbox"/> |

Supporting Documents Required

- | | |
|---|--------------------------|
| 1. Certificate of Incorporation / Registration | <input type="checkbox"/> |
| 2. Latest ACRA Business Profile dated within the last 2 weeks – for Singapore Corporation | <input type="checkbox"/> |
| 3. Register of Director(s), Company Secretary(ies), and Shareholder(s) – for Foreign Corporation | <input type="checkbox"/> |
| 4. Legal Opinion Letter from law firm per sample in Appendix 2 (for company incorporated in countries listed in Appendix 1) | <input type="checkbox"/> |
| 5. Clear copies of NRIC / Passport of Authorised Persons, Company Secretary and Person(s) signing the Resolution | <input type="checkbox"/> |
| 6. Company Mailing address proof dated within the last 3 months
(e.g. ACRA Business Profile or equivalent, Statement from Government Body) | <input type="checkbox"/> |

Important Notes

- Company stamp is required to be affixed on all CDP forms and supporting documents, except for CDP Self-Certification for Controlling Person (Entity Tax Residency) Form.
- Please refer to notes on page 4.

Notes

- The signature on the Application Forms must be witnessed and supporting documents submitted must be certified true copy by any of the following authorised personnel / representatives (name, title and company stamp affixed):
 - UOBKH staff (including UOBKH regional offices)
 - Notary Public
 - Advocates and Solicitors
 - Singapore Embassy
 - Justice of Peace
 - *Company Secretary may witness the UOBKH Application Forms as an authorised personnel acting independently with no signing power for the company, provided supporting documents are certified true copy by any of the above or Company Director.
- Documents submitted in non-English must be translated into English.
- The application forms will not be accepted if they were dated more than 1 month upon receipt.
- The board resolution will not be accepted if they were dated more than 6 months upon receipt
- Applicant may be asked to furnish other information and supporting documents, if required.

Appendix 1

Letter of Indemnity (required by UOB Kay Hian) and Legal Opinion Letter (required by CDP) if the applicant is incorporated in any of the following countries:

S/No	Countries	S/No	Countries
1	Andora	22	Liberia
2	Anguilla	23	Maldives
3	Antigua & Barbuda	24	Malta
4	Aruba	25	Marshall Islands
5	Bahamas	26	Mauritius
6	Bahrain	27	Monaco
7	Barbados	28	Montserrat
8	Bermuda	29	Nauru
9	Belize	30	Netherlands Antilles
10	British Virgin Islands	31	Niue
11	Cayman Islands	32	Panama
12	Cook Islands	33	Samoa
13	Cyprus	34	San Marino
14	Dominica	35	Seychelles
15	Gibraltar	36	St Lucia
16	Grenadines	37	St Kitts & Nevis
17	Grenada	38	St Vincent & The Tonga
18	Guernsey/Sark/Alderney	39	Turks and Caicos
19	Isle of Man	40	US Virgin Islands
20	Jersey	41	Vanuatu
21	Liechtenstein		

Appendix 2

Article I. LEGAL OPINION LETTER ADDRESSED TO THE CENTRAL DEPOSITORY (PTE) LIMITED (CDP)

Please ensure a letter from a law firm certifying to CDP that requirements (1) to (5) listed below have been satisfied:

1. that all legal requirements for Opening a Securities Account in the country of its incorporation have been satisfied.
2. that the Company has the capacity to contract with CDP under our Terms and Conditions for the operation of Securities Account.
3. that the Certificate of Resolution in our prescribed form has been validly passed according to the laws of country of incorporation.
4. that the authorised signatories have been validly empowered by the Company.
5. that the Company has limited liabilities.

Appendix 3

Note: Below is an example, please use this as a reference only and to provide us your own company's structure.

