

TR Code

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**APPLICATION FOR TRADING ACCOUNT(S)**

<b>Individual</b>
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Type of Trading - (You may select more than one) (You must have a securities trading account to open ^ account(s))			
<b>Regular Trading</b>  <input type="checkbox"/> <b>Securities Trading</b> -Equities, Bonds, Unit Trusts, ETFs, ETNs, OTC products and etc.  <input type="checkbox"/> <b>Utrade Edge</b>  <input type="checkbox"/> <b>Utrade Plus</b>	<b>Margin/Collateral Trading</b>  <input type="checkbox"/> <b>^ Share Margin Financing</b> (Please complete margin loan documents)  <input type="checkbox"/> <b>^ Yieldmax</b> (Please complete margin loan documents)	<b>Others</b>  <input type="checkbox"/> <b>^ Contract for Difference</b> (Please complete CAR/CKA form)  <input type="checkbox"/> <b>^ Write US Equity Call/Put Option</b> (Please complete Form W-8BEN and CAR/CKA form)  <input type="checkbox"/> <b>^ Spot Diamond Trading</b> (Accredited Investor or Expert Investor only)	<input type="checkbox"/> <b>^ Leveraged Foreign Exchange and/or Commodities</b> (Please complete CAR/CKA form)  Please select the base currency for the account(s) that you apply:  <input type="checkbox"/> <b>UTRADE FX</b> <input type="checkbox"/> SGD <input type="checkbox"/> USD  <input type="checkbox"/> <b>UTRADE FX (Hedge)</b> <input type="checkbox"/> SGD <input type="checkbox"/> USD  <input type="checkbox"/> <b>UTRADE FX MT4</b> <input type="checkbox"/> SGD <input type="checkbox"/> USD

**Applicant Information**

<input type="checkbox"/> Dr <input type="checkbox"/> Professor <input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Miss <input type="checkbox"/> Mdm		
Name (Full Name as in Identity Card or Passport)		
Gender <input type="checkbox"/> Male <input type="checkbox"/> Female		
Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others: _____ <span style="margin-left: 150px;">please specify</span>		
NRIC/Passport No.    _____		
Country of Birth <input type="checkbox"/> Singapore <input type="checkbox"/> Malaysia <input type="checkbox"/> Others: _____ <span style="margin-left: 150px;">please specify</span>		
Date of Birth (DD/MM/YYYY)    _____ / _____ / _____		
Nationality <input type="checkbox"/> Singaporean <input type="checkbox"/> Malaysian <input type="checkbox"/> Others: _____ <span style="margin-left: 150px;">please specify</span>		
<input type="checkbox"/> US Citizen (Please complete Form W-9 and US Taxpayer Identification No. below. Form W-9 is available at <a href="http://www.utrade.com.sg">http://www.utrade.com.sg</a> from our Client Services Department)		
US Taxpayer Identification No.    _____		
Permanent Resident of Singapore <input type="checkbox"/> Yes <input type="checkbox"/> No		
Home Tel No.    Country Code    Area Code / Number + ( ) _____	Office Tel No.    Country Code    Area Code / Number + ( ) _____	
Mobile No.    + ( ) _____	Fax No.    + ( ) _____	
Email Address (Mandatory)		
Tax Resident of Singapore (for GST purpose) <input type="checkbox"/> Yes <input type="checkbox"/> No		
Residential Address (as in NRIC for Singaporeans or Permanent Residents of Singapore)		
Postal Code	City / State	Country

**Applicant Information**

Mailing Address (If different from residential address specified above, please state reason \_\_\_\_\_ )  
 \_\_\_\_\_  
 \_\_\_\_\_  
 \_\_\_\_\_

Postal Code \_\_\_\_\_ City / State \_\_\_\_\_ Country \_\_\_\_\_

**Tax Residence Information (Mandatory)**  
**(Please attach a separate list if there is insufficient space.)**

If a TIN is unavailable, please provide the appropriate reason **A**, **B** or **C** where indicated below:

**Reason A** - The country/jurisdiction where the Account Holder is 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 below table 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.	_____	_____	_____	_____

Please provide us with a completed Form W-9 if you are a US tax resident. Form W-9 is available at <http://www.utrade.com.sg> or from our Client Services Department.

**Employment Details**

Occupation \_\_\_\_\_

Name of Employer \_\_\_\_\_

Employer Address \_\_\_\_\_

Postal Code \_\_\_\_\_ City / State \_\_\_\_\_ Country \_\_\_\_\_

**Security Questions**

1. Mother's Maiden Name \_\_\_\_\_
2. Father's Name \_\_\_\_\_
3. Name of Primary School Attended \_\_\_\_\_

**Annual Income**

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

**Source of Funds / Wealth**

- Employment     Business Income     Rental     Sales of Investment     Inheritance / Gifts     Others, please specify: \_\_\_\_\_

**Networth (excluding residences and retirement assets)**

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

**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**i) Please select **ONE** settlement option for Securities Trading Account

ii) Utrade Edge and/or Utrade Plus Account

 Electronic Payment System (EPS)

Please link my designated Bank Account as indicated below to trading account to enable me to make payment for purchases or contra losses, and to receive sale proceeds or contra gains, arising from my securities transactions.

 UOB  ICB  DBS  OCBC  Bank of Singapore Citibank  Maybank Singapore

Bank Account No. \_\_\_\_\_

 GIRO (please complete a separate authorization form) Do not wish to apply EPS and GIRO

Please deposit all my sales proceeds and contra gains into my Trust Account in the settlement currency indicated in the contract or contra statement and withdraw from the same account to settle my purchases, contra losses and any fees due to UOBKH.

\* Cash, cheque, bill payment and telegraphic transfer are accepted for all accounts.

**Application to Open Depository Agent Sub-account(s)**i) Do you wish to open **Depository Agent Sub-account** for securities trading?  Yes  No (please complete ii or iii below)ii)  Please provide the **CDP** (Central Depository Pte Ltd) account number and complete CDP linkage form

1	6	8	1	-					-				
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OR please complete CDP account opening form and linkage form if you are not an existing CDP account holder.

iii)  Trade foreign shares  Trade under CPFIS/SRS

iv) Please note that a Depository Agent Sub-account will be opened for each of the following trading account(s) that you apply.

- Share Margin Financing - Utrade Edge - Utrade Plus - Yieldmax

**Bank Reference**

Name of Bank \_\_\_\_\_ Bank Account Number \_\_\_\_\_

Address of Bank \_\_\_\_\_

**Internet Trading**You will have Internet Trading access to multi-markets. Please submit Form W-8BEN if you intend to trade in the US market. A copy is available at <http://www.utrade.com.sg> or from our Client Services Department. You will receive all your monthly statements and contracts electronically.**Trading in Specified Investment Products**Do you wish to trade in Specified Investment Products, such as Unit Trust, ETNs and OTC products?  Yes  No

If yes, please complete and submit the Customer Account Review (CAR) / Customer Knowledge Assessment (CKA) Form.

**Account Relationship Details**1. Are you related to any employee / trading representative of UOB Kay Hian?  Yes (please provide details below)  No

Name

Relationship

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.

Account Name

Account No.

a. \_\_\_\_\_ b. \_\_\_\_\_

3. Does any account holder in UOB Kay Hian who has control or influence over this trading account?  Yes (please provide details below)  No

Account Name

Account 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 for 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**Personal Data Protection Consent**

I confirm that I understand and accept the Personal Data Protection Consent terms stipulated in UOBKH Master Trading Agreement and agree that Marketing Messages may be sent to my telephone contact number(s) by:

 Phone (voice calls) Text Messages (SMS / MMS / VOIP based phone application e.g. Viber, Whatsapp) Fax

**How did you come to know of UOB KAY HIAN?**

Please tick the relevant boxes (maximum three boxes):

- |   |  |   |   |
|---|--|---|---|
| <p>1. Media</p> <p><input type="checkbox"/> Online (e.g. banners, search website, newsletters, emails, etc.)</p> <p><input type="checkbox"/> Print (e.g. newspaper, magazines, flyers, mail drops, etc.)</p> <p><input type="checkbox"/> Outdoor (e.g. billboards, buspak, MRT, cinema, street posters, etc.)</p> <p><input type="checkbox"/> Over-the air (e.g. TV, radio, etc.)</p> | <p>2. Events</p> <p><input type="checkbox"/> Workshop Seminars</p> <p><input type="checkbox"/> Roadshows / Launches</p> <p><input type="checkbox"/> Event Booths</p> | <p>3. Referral</p> <p><input type="checkbox"/> United Overseas Bank Limited</p> <p><input type="checkbox"/> Other Partners</p> <p><input type="checkbox"/> Friends &amp; Family</p> <p><input type="checkbox"/> UOB Kay Hian Regional Offices</p> | <p>4. Sales</p> <p><input type="checkbox"/> Telemarketing</p> <p><input type="checkbox"/> Dealers / Remisiers</p> |
|---|--|---|---|

**Representations, Warranties and Declarations By the Applicant**

- I, the Applicant in this *Application For Trading Account(s)* (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:
  - 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.
  - 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.
  - 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.
  - 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.
  - 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>.
  - 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.
- 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.
- 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>.
- 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.
- 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.
- 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.
- I hereby authorise and consent to update the information provided in this application to all my trading account(s) maintained with UOBKH.

**Share Margin Financing Facility, where applicable**

- 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.
- 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**

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

**Tax Compliance Representation and Warranty**

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

- I will ensure that I will at all times remain in compliance with all laws to which I am subject including, without limitation, all tax laws and regulations and exchange control requirements ("**Tax Laws**").
- 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.
- 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:

TR Code:

Date:

Application witnessed/verified by:

Name:

Date:

**TRADING LIMITS TO BE COMPLETED BY TRADING REPRESENTATIVE - SECURITIES TRADING ACCOUNT AND/OR SPOT DIAMOND TRADING ACCOUNT**

Initial Deposit:  No  Yes, Amount S\$ \_\_\_\_\_ Cash / Cheque No. \_\_\_\_\_

Limits	TR Recommendation		Limits	TR Recommendation	
Securities Trading Limits:	Buy ('000)	Sell ('000)	Spot Diamond Trading Limits:	Buy ('000)	Sell ('000)
GL/SL Limit (S\$)			Limit (USD\$)		
<b>Internet Limits:</b>					
Singapore Market (S\$)					
Malaysia Market (S\$)					
HK Market (HK\$)					
US Market (US\$)					

Name of TR

TR Code

Signature of TR / Date