

TR Code

**Account Application – Joint - Alternate**

**Types of Accounts**

- You may open more than one type of account.

- Securities Trading Account is required in order to open account(s) 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**

**YieldMax Margin Account**

- Financing in selected high-yield SGX stocks

**Other Financial Instruments**

(Please complete Customer Account Review (CAR) / Customer Knowledge Assessment (CKA) Form)

**CFD Equities\***

**CFD 10\***

**Leveraged Products\* (Foreign Exchange, Indices, Commodities)**

Please select the base currency:

SGD  USD

**Write Equity Call / Put Option\***

(Duly Completed Form W8BEN is required for trading in the US Market)

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

Main Account Holder	Joint Account Holder
<input type="checkbox"/> Dr <input type="checkbox"/> Professor <input type="checkbox"/> Mr <input type="checkbox"/> Mrs <input type="checkbox"/> Miss <input type="checkbox"/> Mdm	<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 (As in NRIC or Passport) <table border="1" style="width: 100%; height: 20px;"></table>	Name (As in NRIC or Passport) <table border="1" style="width: 100%; height: 20px;"></table>
Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female
Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others: _____ <small style="margin-left: 100px;">please specify</small>	Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others: _____ <small style="margin-left: 100px;">please specify</small>
NRIC/Passport No. <table border="1" style="width: 100%; height: 20px;"></table>	NRIC/Passport No. <table border="1" style="width: 100%; height: 20px;"></table>
Country of Birth <input type="checkbox"/> Singapore <input type="checkbox"/> Malaysia <input type="checkbox"/> Others: _____ <small style="margin-left: 100px;">please specify</small>	Country of Birth <input type="checkbox"/> Singapore <input type="checkbox"/> Malaysia <input type="checkbox"/> Others: _____ <small style="margin-left: 100px;">please specify</small>
Date of Birth (DD/MM/YYYY) <table border="1" style="width: 100%; height: 20px;"></table>	Date of Birth (DD/MM/YYYY) <table border="1" style="width: 100%; height: 20px;"></table>
Nationality <input type="checkbox"/> Singaporean <input type="checkbox"/> Malaysian <input type="checkbox"/> Others: _____ <small style="margin-left: 100px;">please specify</small>	Nationality <input type="checkbox"/> Singaporean <input type="checkbox"/> Malaysian <input type="checkbox"/> Others: _____ <small style="margin-left: 100px;">please specify</small>
<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> or from our Client Services Department)	<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> or from our Client Services Department)
US Taxpayer Identification No. <table border="1" style="width: 100%; height: 20px;"></table>	US Taxpayer Identification No. <table border="1" style="width: 100%; height: 20px;"></table>
Singapore Permanent Resident <input type="checkbox"/> Yes <input type="checkbox"/> No	Singapore Permanent Resident <input type="checkbox"/> Yes <input type="checkbox"/> No
Home Tel No. <table border="1" style="width: 100%; height: 20px;"></table>	Home Tel No. <table border="1" style="width: 100%; height: 20px;"></table>
Office Tel No. <table border="1" style="width: 100%; height: 20px;"></table>	Office Tel No. <table border="1" style="width: 100%; height: 20px;"></table>
Mobile No. <table border="1" style="width: 100%; height: 20px;"></table>	Mobile No. <table border="1" style="width: 100%; height: 20px;"></table>

Main Account Holder	Joint Account Holder
Residential Address (as in NRIC for Singaporeans or Permanent Residents of Singapore) <div style="border: 1px solid black; height: 30px; width: 100%;"></div> <div style="border: 1px solid black; height: 30px; width: 100%;"></div> <div style="border: 1px solid black; height: 30px; width: 100%;"></div> <div style="border: 1px solid black; height: 30px; width: 100%;"></div>	Residential Address (as in NRIC for Singaporeans or Permanent Residents of Singapore) <div style="border: 1px solid black; height: 30px; width: 100%;"></div> <div style="border: 1px solid black; height: 30px; width: 100%;"></div> <div style="border: 1px solid black; height: 30px; width: 100%;"></div> <div style="border: 1px solid black; height: 30px; width: 100%;"></div>
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Country <div style="border: 1px solid black; height: 30px; width: 100%;"></div>	Country <div style="border: 1px solid black; height: 30px; width: 100%;"></div>

Applicants Information
Mailing Address (If different from residential address specified above, please state reason _____) <div style="border: 1px solid black; height: 30px; width: 100%;"></div> <div style="border: 1px solid black; height: 30px; width: 100%;"></div> <div style="border: 1px solid black; height: 30px; width: 100%;"></div>
Postal Code <span style="margin-left: 100px;">City / State</span> <span style="margin-left: 100px;">Country</span> <div style="border: 1px solid black; height: 30px; width: 100%;"></div>
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. <div style="border: 1px solid black; height: 30px; width: 100%;"></div>

Tax Residence Information (Mandatory) (Please attach a separate Common Reporting Standard – Individual Tax Residency Self-Certification form if there is insufficient space)	Tax Residence Information (Mandatory) (Please attach a separate Common Reporting Standard – Individual Tax Residency Self-Certification form if there is insufficient space)																																																
<p>1. If you are unable to provide a Tax Identification Number (TIN), please provide the appropriate reason <b>A</b>, <b>B</b> or <b>C</b> where indicated below:</p> <p><b>Reason A</b> - The country/jurisdiction where the Account Holder is a resident does not issue TINs to its residents</p> <p><b>Reason B</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 if you have selected this reason)</p> <p><b>Reason C</b> - No TIN is required as the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction</p> <table style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 33%;"><u>Country(ies)/Jurisdiction(s) of Tax residence</u></th> <th style="width: 33%;"><u>Tax Identification No.</u></th> <th style="width: 33%;"><u>If no TIN available, enter Reason A, B, or C</u></th> </tr> </thead> <tbody> <tr><td>a. _____</td><td>_____</td><td>_____</td></tr> <tr><td>b. _____</td><td>_____</td><td>_____</td></tr> <tr><td>c. _____</td><td>_____</td><td>_____</td></tr> </tbody> </table> <p>2. Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason <b>B</b> above.</p> <table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 10%;">No.</th> <th style="width: 60%;">Country(ies)/Jurisdiction(s) of Tax Residence</th> <th style="width: 30%;">Reason(s)</th> </tr> </thead> <tbody> <tr><td style="text-align: center;">i.</td><td></td><td></td></tr> <tr><td style="text-align: center;">ii.</td><td></td><td></td></tr> <tr><td style="text-align: center;">iii.</td><td></td><td></td></tr> </tbody> </table>	<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>	a. _____	_____	_____	b. _____	_____	_____	c. _____	_____	_____	No.	Country(ies)/Jurisdiction(s) of Tax Residence	Reason(s)	i.			ii.			iii.			<p>1. If you are unable to provide a Tax Identification Number (TIN), please provide the appropriate reason <b>A</b>, <b>B</b> or <b>C</b> where indicated below:</p> <p><b>Reason A</b> - The country/jurisdiction where the Account Holder is a resident does not issue TINs to its residents</p> <p><b>Reason B</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 if you have selected this reason)</p> <p><b>Reason C</b> - No TIN is required as the domestic law of the relevant jurisdiction does not require the collection of the TIN issued by such jurisdiction</p> <table style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 33%;"><u>Country(ies)/Jurisdiction(s) of Tax residence</u></th> <th style="width: 33%;"><u>Tax Identification No.</u></th> <th style="width: 33%;"><u>If no TIN available, enter Reason A, B, or C</u></th> </tr> </thead> <tbody> <tr><td>a. _____</td><td>_____</td><td>_____</td></tr> <tr><td>b. _____</td><td>_____</td><td>_____</td></tr> <tr><td>c. _____</td><td>_____</td><td>_____</td></tr> </tbody> </table> <p>2. Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason <b>B</b> above.</p> <table border="1" style="width:100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 10%;">No.</th> <th style="width: 60%;">Country(ies)/Jurisdiction(s) of Tax Residence</th> <th style="width: 30%;">Reason(s)</th> </tr> </thead> <tbody> <tr><td style="text-align: center;">i.</td><td></td><td></td></tr> <tr><td style="text-align: center;">ii.</td><td></td><td></td></tr> <tr><td style="text-align: center;">iii.</td><td></td><td></td></tr> </tbody> </table>	<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>	a. _____	_____	_____	b. _____	_____	_____	c. _____	_____	_____	No.	Country(ies)/Jurisdiction(s) of Tax Residence	Reason(s)	i.			ii.			iii.		
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Employment Details	Employment Details
Occupation <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"></table> <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"></table>	Occupation <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"></table> <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"></table>
Name of Employer <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"></table> <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"></table>	Name of Employer <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"></table> <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"></table>
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Country <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"></table>	Country <table border="1" style="width: 100%; height: 20px; border-collapse: collapse;"></table>
Security Questions	Security Questions
1. Mother's Maiden Name _____	1. Mother's Maiden Name _____
2. Father's Name _____	2. Father's Name _____
3. Name of Primary School Attended _____	3. Name of Primary School Attended _____
Annual Income	Annual Income
<input type="checkbox"/> S\$30,000 & Below <input type="checkbox"/> S\$30,001 - S\$60,000 <input type="checkbox"/> S\$60,001 - S\$100,000 <input type="checkbox"/> S\$100,001 - S\$ 200,000 <input type="checkbox"/> S\$200,001 - S\$300,000 <input type="checkbox"/> Above S\$300,000	<input type="checkbox"/> S\$30,000 & Below <input type="checkbox"/> S\$30,001 - S\$60,000 <input type="checkbox"/> S\$60,001 - S\$100,000 <input type="checkbox"/> S\$100,001 - S\$ 200,000 <input type="checkbox"/> S\$200,001 - S\$ 300,000 <input type="checkbox"/> Above S\$300,000
Source of Wealth / Funds	Source of Wealth / Funds
a. Source of Wealth (Refer to the origin of your total assets.) <input type="checkbox"/> Employment <input type="checkbox"/> Business Income <input type="checkbox"/> Rental <input type="checkbox"/> Sales of Investment <input type="checkbox"/> Inheritance / Gifts <input type="checkbox"/> Others, please specify: _____	a. Source of Wealth (Refer to the origin of your total assets.) <input type="checkbox"/> Employment <input type="checkbox"/> Business Income <input type="checkbox"/> Rental <input type="checkbox"/> Sales of Investment <input type="checkbox"/> Inheritance / Gifts <input type="checkbox"/> 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.) <input type="checkbox"/> Employment <input type="checkbox"/> Business Income <input type="checkbox"/> Rental <input type="checkbox"/> Sales of Investment <input type="checkbox"/> Inheritance / Gifts <input type="checkbox"/> 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.) <input type="checkbox"/> Employment <input type="checkbox"/> Business Income <input type="checkbox"/> Rental <input type="checkbox"/> Sales of Investment <input type="checkbox"/> Inheritance / Gifts <input type="checkbox"/> Others, please specify: _____
Net Worth (excluding residences and retirement assets)	Net Worth (excluding residences and retirement assets)
<input type="checkbox"/> S\$50,000 & Below <input type="checkbox"/> S\$50,001 - \$99,999 <input type="checkbox"/> S\$100,000 - \$249,999 <input type="checkbox"/> S \$250,000 - \$ 499,999 <input type="checkbox"/> S\$500,000 - \$1,000,000 <input type="checkbox"/> More than S\$1,000,000	<input type="checkbox"/> S\$50,000 & Below <input type="checkbox"/> S\$50,001 - \$99,999 <input type="checkbox"/> S\$100,000 - \$249,999 <input type="checkbox"/> S \$250,000 - \$ 499,999 <input type="checkbox"/> S\$500,000 - \$1,000,000 <input type="checkbox"/> More than S\$1,000,000
Educational Qualifications	Educational Qualifications
<input type="checkbox"/> Tertiary <input type="checkbox"/> Diploma <input type="checkbox"/> GCE 'A' / 'O' <input type="checkbox"/> Primary <input type="checkbox"/> Others, please specify: _____	<input type="checkbox"/> Tertiary <input type="checkbox"/> Diploma <input type="checkbox"/> GCE 'A' / 'O' <input type="checkbox"/> Primary <input type="checkbox"/> Others, please specify: _____
Settlement of Accounts	Settlement of Accounts
i) Securities Trading Account <input checked="checked" type="checkbox"/> Standing Authorisation (SA) Please deposit any amounts that is due to me including but not limited to sale proceeds, contra gains and dividends into my trust account based on the settlement currency indicated on the contract, contra statement, or payment advice from UOB Kay Hian and to withdraw from my trust account for settlement of whatever money due to UOB Kay Hian including but not limited to purchases of stocks and shares, contra losses and fees payable with respect to my transactions/accounts with UOB Kay Hian.  Please select <b>ONE</b> of the following if you wish to <b>opt out</b> of default settlement mode: a. <input type="checkbox"/> 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.  <input type="checkbox"/> UOB <input type="checkbox"/> ICB <input type="checkbox"/> DBS <input type="checkbox"/> OCBC <input type="checkbox"/> Bank of Singapore <input type="checkbox"/> Citibank <input type="checkbox"/> Maybank Bank Account No. _____  b. <input type="checkbox"/> GIRO (please attach Bank GIRO Application Form) GIRO Bank Account No. _____  c. <input type="checkbox"/> Do not wish to apply for EPS, GIRO and SA	ii) UTRADE Edge and/or UTRADE Plus Account <input checked="checked" type="checkbox"/> Standing Authorisation (SA) Please deposit any amounts that is due to me including but not limited to sale proceeds, contra gains and dividends into my trust account based on the settlement currency indicated on the contract, contra statement, or payment advice from UOB Kay Hian and to withdraw from my trust account for settlement of whatever money due to UOB Kay Hian including but not limited to purchases of stocks and shares, contra losses and fees payable with respect to my transactions/accounts with UOB Kay Hian.  * Cash, cheque, bill payment 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 **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

1	6	8	1	-																
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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](http://www.sgx.com/cdp).

iii)  Trade foreign shares  Trade under CPFIS/SRS

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

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

**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 \_\_\_\_\_

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. \_\_\_\_\_

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

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

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

Yes (please provide details below)  No

Account Name \_\_\_\_\_ Account No. \_\_\_\_\_

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

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

**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 \_\_\_\_\_

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Yes (please provide details below)  No

Account Name \_\_\_\_\_ Account No. \_\_\_\_\_

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

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

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

Yes (please provide details below)  No

Account Name \_\_\_\_\_ Account No. \_\_\_\_\_

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

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

**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, each account holder to 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  No

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 <http://www.utrade.com.sg>. A printed copy can also be made available upon request.

**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 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 firm(s)/ financial institution(s)?

Yes (please describe briefly) \_\_\_\_\_

No

**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) \_\_\_\_\_

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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	Personal Data Protection Consent
<p>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 contact number(s) by:</p> <p><input type="checkbox"/> Phone (voice calls)</p> <p><input type="checkbox"/> Text Messages (SMS / MMS / VOIP based phone application e.g. Viber, Whatsapp)</p>	<p>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 contact number(s) by:</p> <p><input type="checkbox"/> Phone (voice calls)</p> <p><input type="checkbox"/> Text Messages (SMS / MMS / VOIP based phone application e.g. Viber, Whatsapp)</p>

How did you know about us?			
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 Applicants

- We, the Applicants 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 us in this Application Form to us. By signing this Application Form, we hereby represent, warrant and agree that:
  - All information furnished by us in this Application Form and any information separately provided by us 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.
  - 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.
  - 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), 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) we 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 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.
  - It is our sole responsibility to ensure the suitability for us of the financial product(s) that we have selected to trade/invest in unless we are receiving Guided or Paid Advice. Specifically, we 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 us in the contents of such acknowledgement.
  - We 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.
- We are 18 years of age or over and hereby declare that we are not an undischarged bankrupt(s), nor are we unable to pay our debts as they fall due.
- 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>.
- We declare that we are the sole legal and beneficial owners of the trading account(s) and we are not acting as agent or nominee for any other person(s) or entity.
- We shall be held jointly and severally liable with the other to UOBKH. Any one of us is authorized to give orders to buy and sell shares, give settlement instructions and receive scrips / payment which are in the joint account name from UOBKH. Payments made by UOBKH shall be in the joint names indicated on the Application form.
- We 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.
- 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.
- 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

- 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.
- We 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

- We 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 By-laws of Singapore Exchange Securities Trading Limited.
- 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 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.

Dated this \_\_\_\_\_ day of \_\_\_\_\_ 20 \_\_\_\_\_.

Signature of Main Applicant

Name of Main Applicant:

Signature of Joint Applicant

Name of Joint Applicant:

Application witnessed/verified by:

Verified By TR-UOBKH

TR Name:

TR Code:

Date:

Name:

Date:

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

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

Limits	TR Recommendation		Limits	TR Recommendation	
<b>Securities Trading Limits:</b>	<b>SGD</b>		<b>Spot Diamond Trading Limits:</b>	<b>Buy ('000)</b>	<b>Sell ('000)</b>
			Limit (USD)		
	<b>Offline Channel</b>	<b>Online Channel</b>			
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