

TR Code

**APPLICATION FOR TRADING ACCOUNT(S)**

**Joint-Alternate**

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Type of Trading - (You may select more than one) (You must have a securities trading account to open ^ account(s))																																																																																																											
<p><b>Regular Trading</b></p> <p><input type="checkbox"/> <b>Securities Trading</b> -Equities, Bonds, Unit Trusts, ETFs, ETNs, OTC products and etc.</p> <p><input type="checkbox"/> <b>Utrade Edge</b></p> <p><input type="checkbox"/> <b>Utrade Plus</b></p>	<p><b>Margin/Collateral Trading</b></p> <p><input type="checkbox"/> ^ <b>Share Margin Financing</b> (Please complete margin loan documents)</p> <p><input type="checkbox"/> ^ <b>Yieldmax</b> (Please complete margin loan documents)</p>	<p><b>Others</b></p> <p><input type="checkbox"/> ^ <b>Contract for Difference</b> (Please complete CAR/CKA form)</p> <p><input type="checkbox"/> ^ <b>Write US Equity Call/Put Option</b> (Please complete Form W-8BEN and CAR/CKA form)</p> <p><input type="checkbox"/> ^ <b>Spot Diamond Trading</b> (Accredited Investor or Expert Investor only)</p>	<p><input type="checkbox"/> ^ <b>Leveraged Foreign Exchange and/or Commodities</b> (Please complete CAR/CKA form)</p> <p>Please select the base currency for the account(s) that you apply:</p> <p><input type="checkbox"/> <b>UTRADE FX</b> <input type="checkbox"/> SGD <input type="checkbox"/> USD</p> <p><input type="checkbox"/> <b>UTRADE FX (Hedge)</b> <input type="checkbox"/> SGD <input type="checkbox"/> USD</p> <p><input type="checkbox"/> <b>UTRADE FX MT4</b> <input type="checkbox"/> SGD <input type="checkbox"/> USD</p>																																																																																																								
Main Account Holder	Joint Account Holder																																																																																																										
<p><input type="checkbox"/> Dr    <input type="checkbox"/> Professor    <input type="checkbox"/> Mr    <input type="checkbox"/> Mrs    <input type="checkbox"/> Miss    <input type="checkbox"/> Mdm</p> <p>Name (Full Name as in Identity Card or Passport)</p> <table border="1" style="width: 100%; height: 30px;"> <tr><td></td></tr> </table> <p>Gender    <input type="checkbox"/> Male    <input type="checkbox"/> Female</p> <p>Marital Status    <input type="checkbox"/> Single    <input type="checkbox"/> Married    <input type="checkbox"/> Others: _____ <small style="margin-left: 200px;">please specify</small></p> <p>NRIC/Passport No. <table border="1" style="width: 100%; height: 20px;"><tr><td></td></tr></table></p> <p>Country of Birth    <input type="checkbox"/> Singapore    <input type="checkbox"/> Malaysia    <input type="checkbox"/> Others: _____ <small style="margin-left: 100px;">please specify</small></p> <p>Date of Birth (DD/MM/YYYY)    <table border="1" style="width: 100%; height: 20px;"><tr><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td><td></td></tr></table></p> <p>Nationality    <input type="checkbox"/> Singaporean    <input type="checkbox"/> Malaysian    <input type="checkbox"/> Others: _____ <small style="margin-left: 100px;">please specify</small></p> <p><input type="checkbox"/> US Citizen (Please complete Form W-9 and US Taxpayer Identification No. below. 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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: 40px; width: 100%;"></div>	Residential Address (as in NRIC for Singaporeans or Permanent Residents of Singapore) <div style="border: 1px solid black; height: 40px; width: 100%;"></div>
Postal Code                      City / State <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	Postal Code                      City / State <div style="border: 1px solid black; height: 20px; width: 100%;"></div>
Country <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	Country <div style="border: 1px solid black; height: 20px; width: 100%;"></div>

Applicants Information	
Mailing Address (If different from residential address specified above, please state reason _____) <div style="border: 1px solid black; height: 40px; width: 100%;"></div>	
Postal Code                      City / State                      Country <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	
Email Address (Mandatory) <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	
Tax Resident of Singapore (for GST purpose) <input type="checkbox"/> Yes <input type="checkbox"/> No	

Tax Residence Information (Mandatory) (Please attach a separate list if there is insufficient space.)		
1. If a TIN is unavailable, please provide the appropriate reason <b>A, B</b> or <b>C</b> where indicated below:		
<b>Reason A</b> - The country/jurisdiction where the Account Holder is resident does not issue TINs to its residents		
<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 below table if you have selected this reason)		
<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		
<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. _____	_____	_____
2. Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason <b>B</b> above.		
<b>No.</b>	<b>Country(ies)/Jurisdiction(s) of Tax Residence</b>	<b>Reason(s)</b>
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 <a href="http://www.utrade.com.sg">http://www.utrade.com.sg</a> or from our Client Services Department.		

Tax Residence Information (Mandatory) (Please attach a separate list if there is insufficient space.)		
1. If a TIN is unavailable, please provide the appropriate reason <b>A, B</b> or <b>C</b> where indicated below:		
<b>Reason A</b> - The country/jurisdiction where the Account Holder is resident does not issue TINs to its residents		
<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 below table if you have selected this reason)		
<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		
<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. _____	_____	_____
2. Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason <b>B</b> above.		
<b>No.</b>	<b>Country(ies)/Jurisdiction(s) of Tax Residence</b>	<b>Reason(s)</b>
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 <a href="http://www.utrade.com.sg">http://www.utrade.com.sg</a> or from our Client Services Department.		

Employment Details	Employment Details
Occupation <input style="width: 100%; height: 20px;" type="text"/> <input style="width: 100%; height: 20px;" type="text"/>	Occupation <input style="width: 100%; height: 20px;" type="text"/> <input style="width: 100%; height: 20px;" type="text"/>
Name of Employer <input style="width: 100%; height: 20px;" type="text"/> <input style="width: 100%; height: 20px;" type="text"/>	Name of Employer <input style="width: 100%; height: 20px;" type="text"/> <input style="width: 100%; height: 20px;" type="text"/>
Employer Address <input style="width: 100%; height: 20px;" type="text"/> <input style="width: 100%; height: 20px;" type="text"/> <input style="width: 100%; height: 20px;" type="text"/> <input style="width: 100%; height: 20px;" type="text"/>	Employer Address <input style="width: 100%; height: 20px;" type="text"/> <input style="width: 100%; height: 20px;" type="text"/> <input style="width: 100%; height: 20px;" type="text"/> <input style="width: 100%; height: 20px;" type="text"/>
Postal Code                      City / State <input style="width: 20%; height: 20px;" type="text"/> <input style="width: 80%; height: 20px;" type="text"/>	Postal Code                      City / State <input style="width: 20%; height: 20px;" type="text"/> <input style="width: 80%; height: 20px;" type="text"/>
Country <input style="width: 100%; height: 20px;" type="text"/>	Country <input style="width: 100%; height: 20px;" type="text"/>
Security Questions	Security Questions
1. Mother's Maiden Name _____ 2. Father's Name _____ 3. Name of Primary School Attended _____	1. Mother's Maiden Name _____ 2. Father's Name _____ 3. Name of Primary School Attended _____
Annual Income	Annual Income
<input type="checkbox"/> \$30,000 & Below <input type="checkbox"/> \$30,001 - \$60,000 <input type="checkbox"/> \$60,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$ 200,000 <input type="checkbox"/> \$200,001 - \$300,000 <input type="checkbox"/> Above \$300,000	<input type="checkbox"/> \$30,000 & Below <input type="checkbox"/> \$30,001 - \$60,000 <input type="checkbox"/> \$60,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$ 200,000 <input type="checkbox"/> \$200,001 - \$300,000 <input type="checkbox"/> Above \$300,000
Source of Funds / Wealth	Source of Funds / Wealth
<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: _____	<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: _____
Networth (excluding residences and retirement assets)	Networth (excluding residences and retirement assets)
<input type="checkbox"/> \$50,000 & Below <input type="checkbox"/> \$50,001 - \$99,999 <input type="checkbox"/> \$100,000 - \$249,999 <input type="checkbox"/> \$250,000 - \$ 499,999 <input type="checkbox"/> \$500,000 - \$1,000,000 <input type="checkbox"/> More than \$1,000,000	<input type="checkbox"/> \$50,000 & Below <input type="checkbox"/> \$50,001 - \$99,999 <input type="checkbox"/> \$100,000 - \$249,999 <input type="checkbox"/> \$250,000 - \$ 499,999 <input type="checkbox"/> \$500,000 - \$1,000,000 <input type="checkbox"/> More than \$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	
i) Please select <b>ONE</b> settlement option for Securities Trading Account  <input type="checkbox"/> Electronic Payment System (EPS) Please link our designated Bank Account as indicated below to trading account to enable us to make payment for purchases or contra losses, and to receive sale proceeds or contra gains, arising from our 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 Singapore  Bank Account No. _____  <input type="checkbox"/> GIRO (please complete a separate authorization form)  <input type="checkbox"/> Do not wish to apply EPS and GIRO	ii) Utrade Edge and/or Utrade Plus Account  Please deposit all our sales proceeds and contra gains into our Trust Account in the settlement currency indicated in the contract or contra statement and withdraw from the same account to settle our 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

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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 only

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, each account holder to 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 \_\_\_\_\_

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 who 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 \_\_\_\_\_

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 who has control or influence over this trading account?

Yes (please provide details below)  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

**Trading History / Objectives**

1. Do you have previous experience in investing in financial product(s)?

Yes, please specify \_\_\_\_\_  No

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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 telephone 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><input type="checkbox"/> Fax</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 telephone 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><input type="checkbox"/> Fax</p>

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 Applicants

1. 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:
  - 1.1 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.
  - 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), 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.
  - 1.4 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.
  - 1.5 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>.
  - 1.6 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. 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.
3. 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>.
4. 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.
5. 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.
6. 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.
7. 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.
8. 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 the Margin Trading Facility and the collateral required.

### Depository Agent Sub-Account, where applicable

1. 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 Bye-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 at all times remain in compliance with all laws to which we are subject including, without limitation, all tax laws and regulations and exchange control requirements ("Tax Laws").
- (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 S\$ \_\_\_\_\_ Cash / Cheque No. \_\_\_\_\_

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

Name of TR

TR Code

Signature of TR / Date