

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.		
<b>Regular Trading*</b>  <input type="checkbox"/> <b>Securities Trading Account</b> - To trade Equities, Bonds, Unit Trusts, ETFs, ETNs, OTC products, etc  <input type="checkbox"/> <b>UTRADE Edge Account</b> - Online cash upfront account - To trade securities in SG, HK, MY, US Markets	<b>Margin Trading*</b> (Please complete margin loan documents)  <input type="checkbox"/> <b>Share Margin Financing</b>	<b>Other Financial Instruments*</b> (Please complete Customer Account Review (CAR) / Customer Knowledge Assessment (CKA) Form)  <input type="checkbox"/> <b>UTRADE Delta</b> <input type="checkbox"/> <b>CFDs (Equities, Indices) &amp; Leveraged (FX, Commodities)</b> Please select the base currency: <input type="checkbox"/> SGD <input type="checkbox"/> USD  <input type="checkbox"/> <b>MT4</b> <input type="checkbox"/> <b>Leveraged (FX, Commodities) &amp; CFDs (Indices)</b> Please select the base currency: <input type="checkbox"/> SGD <input type="checkbox"/> USD  <input type="checkbox"/> <b>Write Equity Call / Put Option</b>

(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												
Name (As in NRIC or Passport) <div style="border: 1px solid black; height: 20px; width: 100%;"></div> <div style="border: 1px solid black; height: 20px; width: 100%;"></div> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>	Name (As in NRIC or Passport) <div style="border: 1px solid black; height: 20px; width: 100%;"></div> <div style="border: 1px solid black; height: 20px; width: 100%;"></div> <div style="border: 1px solid black; height: 20px; width: 100%;"></div>												
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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; width: 100%; height: 20px;"></div>	Postal Code                      City / State <div style="border: 1px solid black; width: 100%; height: 20px;"></div>
Country <div style="border: 1px solid black; width: 100%; height: 20px;"></div>	Country <div style="border: 1px solid black; width: 100%; height: 20px;"></div>

Applicants Information
Mailing Address (complete only if different from Residential Address and accept the risk of delay or failure in receiving mails) <div style="border: 1px solid black; height: 40px; width: 100%;"></div>
Postal Code                      City / State                      Country <div style="border: 1px solid black; width: 100%; height: 20px;"></div>
*We acknowledge and accept the inherent risk that mailers sent to the aforementioned addresses may be opened by another individual at the same address.
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: 20px; 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> 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> <p><b>Country(ies)/Jurisdiction(s) of Tax residence      Tax Identification No.      If no TIN available, enter Reason A, B, or C</b></p> <p>a. _____</p> <p>b. _____</p> <p>c. _____</p> <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; margin-top: 10px;"> <thead> <tr> <th style="width: 5%;">No.</th> <th style="width: 40%;">Country(ies)/Jurisdiction(s) of Tax Residence</th> <th style="width: 55%;">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>	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> 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> <p><b>Country(ies)/Jurisdiction(s) of Tax residence      Tax Identification No.      If no TIN available, enter Reason A, B, or C</b></p> <p>a. _____</p> <p>b. _____</p> <p>c. _____</p> <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; margin-top: 10px;"> <thead> <tr> <th style="width: 5%;">No.</th> <th style="width: 40%;">Country(ies)/Jurisdiction(s) of Tax Residence</th> <th style="width: 55%;">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>	No.	Country(ies)/Jurisdiction(s) of Tax Residence	Reason(s)	i.			ii.			iii.		
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## 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.

### To Use P O Box Address/ My Mail Box Address, where applicable

1. We hereby request to use the P O Box address/My Mail Box address as the mailing address for receiving contract notes, statements, letter of demand and any other correspondence (collectively known as 'correspondence') relating to our trading account with UOBKH.
2. We are fully aware of the risks involved in using the P O Box address/My Mail Box address as our mailing address. Such risks include not receiving my correspondence promptly from UOBKH, not being able to detect any discrepancies, trading errors or unauthorized transactions in our account(s) if there is any delay or failure in receiving the correspondence by us.
3. We agree and acknowledge that any correspondence addressed to us, sent to the P O Box address/My Mail Box address is deemed to have been sent to us and received by us. We shall not hold UOBKH responsible for any losses which we may suffer from the non-receipt or delay in receiving the correspondence by us.

### 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 By-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.

### Marketing Consent:

1. We agree to UOBKH, its agents and authorized service providers sending us marketing messages (including advertisements and promotions) about products and/or services offered by UOBKH and/or its business partners to our contact number(s) by way of voice call, text (SMS) and other forms of instant messaging such as WhatsApp. We are aware that we may at any time withdraw our consent for the sending of any marketing message to our 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**

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 and account(s) opening verified by TR-UOBKH:

Signature of Joint Applicant

Name of Joint Applicant:

Application witnessed/verified by:

\_\_\_\_\_  
TR Name:  
TR Code:  
Date:

\_\_\_\_\_  
Name:  
Date:

**TRADING LIMITS TO BE COMPLETED BY TRADING REPRESENTATIVE - SECURITIES TRADING ACCOUNT**

Account Type	TR Recommended Limit
Securities Trading:	SGD

Intended Investment Amount / Asset to bring in (\$\$): \_\_\_\_\_

Note: The limit is shared by both channels; online and offline. If TR wishes to have a different allocation of limits on the online/offline channels, please contact your credit officer. Trading Limit recommendation is not required for MT4 and UTRADE Edge account types.

\_\_\_\_\_  
Name of TR

\_\_\_\_\_  
TR Code

\_\_\_\_\_  
Signature of TR / Date