

Account Application – Joint - Alternate

Types of Accounts	
<p>- You may open more than one type of account.</p> <p>- Securities Trading Account is required in order to open account(s) under Margin Trading and Other Financial Instruments.</p>	
<p>Regular Trading*</p> <p><input type="checkbox"/> Securities Trading Account</p> <p>- To trade Equities, Bonds, Unit Trusts, ETFs, ETNs, OTC products, etc</p> <p><input type="checkbox"/> UTRADE X Account</p> <p>- Online cash upfront account</p> <p>- To trade securities in SG, HK, MY, US Markets</p> <p>Margin Trading*</p> <p>(Please complete margin loan documents)</p> <p><input type="checkbox"/> Share Margin Financing</p>	<p>Other Financial Instruments*</p> <p>(Please complete Customer Account Review (CAR) / Customer Knowledge Assessment (CKA) Form)</p> <p><input type="checkbox"/> UTRADE Delta</p> <p><input type="checkbox"/> CFDs (Equities, Indices) & Leveraged (FX, Commodities)</p> <p>Please select the base currency:</p> <p><input type="checkbox"/> SGD <input type="checkbox"/> USD</p> <p><input type="checkbox"/> MT4</p> <p><input type="checkbox"/> Leveraged (FX, Commodities) & CFDs (Indices)</p> <p>Please select the base currency:</p> <p><input type="checkbox"/> SGD <input type="checkbox"/> USD</p> <p><input type="checkbox"/> Write Equity Call / Put Option</p>
<p>(Duly Completed Form W8BEN is required for trading in the US Market)</p> <p>*Account is enrolled with Online Trading facility and you will only receive electronic contracts and monthly statements</p>	
Main Account Holder	Joint Account Holder
<p>Name (As in NRIC or Passport, please <u>underline</u> surname):</p> <p>_____</p> <p>_____</p> <p>Former/ Alias Name (if any):</p> <p>_____</p> <p>_____</p> <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"/> Divorced <input type="checkbox"/> Widowed</p> <p>NRIC/Passport No. _____</p> <p>Country of Birth <input type="checkbox"/> Singapore <input type="checkbox"/> Malaysia <input type="checkbox"/> Others: _____ (please specify)</p> <p>Date of Birth (DD/MM/YYYY) _____</p> <p>Nationality <input type="checkbox"/> Singaporean <input type="checkbox"/> Malaysian <input type="checkbox"/> Others: _____ (please specify)</p> <p>Singapore Permanent Resident: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Are you currently holding multiple nationalities? (Please list <u>all</u>, provide a copy of your passport and tick the reason below): _____</p> <p><input type="checkbox"/> Citizenship/ Residency by Investment <input type="checkbox"/> Citizenship (by birth, marriage)</p> <p><input type="checkbox"/> Others _____</p> <p>Mobile No. + (_____) _____</p> <p>Country Code Area Code / Number</p> <p>Home Tel No. + (_____) _____</p> <p>Country Code Area Code / Number</p>	<p>Name (As in NRIC or Passport, please <u>underline</u> surname):</p> <p>_____</p> <p>_____</p> <p>Former/ Alias Name (if any):</p> <p>_____</p> <p>_____</p> <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"/> Divorced <input type="checkbox"/> Widowed</p> <p>NRIC/Passport No. _____</p> <p>Country of Birth <input type="checkbox"/> Singapore <input type="checkbox"/> Malaysia <input type="checkbox"/> Others: _____ (please specify)</p> <p>Date of Birth (DD/MM/YYYY) _____</p> <p>Nationality <input type="checkbox"/> Singaporean <input type="checkbox"/> Malaysian <input type="checkbox"/> Others: _____ (please specify)</p> <p>Singapore Permanent Resident: <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Are you currently holding multiple nationalities? (Please list <u>all</u>, provide a copy of your passport and tick the reason below): _____</p> <p><input type="checkbox"/> Citizenship/ Residency by Investment <input type="checkbox"/> Citizenship (by birth, marriage)</p> <p><input type="checkbox"/> Others _____</p> <p>Mobile No. + (_____) _____</p> <p>Country Code Area Code / Number</p> <p>Home Tel No. + (_____) _____</p> <p>Country Code Area Code / Number</p>

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Applicants Information																																																	
Mailing Address (complete only if different from Residential Address and accept the risk of delay or failure in receiving mails) (Reason for use of different mailing address: _____) _____ _____ _____ Postal Code: _____ City / State: _____ Country: _____ *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: 15px; 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)																																																
1. If you are unable to provide a Tax Identification Number (TIN), please provide the appropriate reason A, B or C where indicated below: Reason A - The country/jurisdiction where the Account Holder is a 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 table below 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 <table style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 33%; text-align: left;"><u>Country(ies)/Jurisdiction(s) of Tax residence</u></th> <th style="width: 33%; text-align: left;"><u>Tax Identification No.</u></th> <th style="width: 33%; text-align: left;"><u>If no TIN available, enter Reason A, B, or C</u></th> </tr> <tr> <td>i. _____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>ii. _____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>iii. _____</td> <td>_____</td> <td>_____</td> </tr> </table> 2. Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason B above. <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <tr> <th style="width: 5%; padding: 5px;">No.</th> <th style="width: 40%; padding: 5px;">Country(ies)/Jurisdiction(s) of Tax Residence</th> <th style="width: 55%; padding: 5px;">Reason(s)</th> </tr> <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> </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>	i. _____	_____	_____	ii. _____	_____	_____	iii. _____	_____	_____	No.	Country(ies)/Jurisdiction(s) of Tax Residence	Reason(s)	i.			ii.			iii.			1. If you are unable to provide a Tax Identification Number (TIN), please provide the appropriate reason A, B or C where indicated below: Reason A - The country/jurisdiction where the Account Holder is a 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 table below 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 <table style="width: 100%; border-collapse: collapse;"> <tr> <th style="width: 33%; text-align: left;"><u>Country(ies)/Jurisdiction(s) of Tax residence</u></th> <th style="width: 33%; text-align: left;"><u>Tax Identification No.</u></th> <th style="width: 33%; text-align: left;"><u>If no TIN available, enter Reason A, B, or C</u></th> </tr> <tr> <td>i. _____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>ii. _____</td> <td>_____</td> <td>_____</td> </tr> <tr> <td>iii. _____</td> <td>_____</td> <td>_____</td> </tr> </table> 2. Please explain in the following boxes why you are unable to obtain a TIN if you selected Reason B above. <table border="1" style="width: 100%; border-collapse: collapse; margin-top: 10px;"> <tr> <th style="width: 5%; padding: 5px;">No.</th> <th style="width: 40%; padding: 5px;">Country(ies)/Jurisdiction(s) of Tax Residence</th> <th style="width: 55%; padding: 5px;">Reason(s)</th> </tr> <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> </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>	i. _____	_____	_____	ii. _____	_____	_____	iii. _____	_____	_____	No.	Country(ies)/Jurisdiction(s) of Tax Residence	Reason(s)	i.			ii.			iii.		
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Employment Details	Employment Details
<p>Employment Status:</p> <p><input type="checkbox"/> Employed <input type="checkbox"/> Self-Employed (Sole Proprietor/ Freelance)</p> <p><input type="checkbox"/> Self-Employed (Business Owner) <input type="checkbox"/> Key Controller (CEO/CFO/ COO/MD)</p> <p><input type="checkbox"/> Unemployed <input type="checkbox"/> Housewife / Student / Retired (please circle ONE only)</p> <p>Name of Company/ Institution: _____</p> <p>Nature of Business: _____ (e.g. Manufacturing, Healthcare, Finance, Education)</p> <p>Role and Title: _____ (e.g. Research Analyst, Vice President)</p> <p>Office/ Institution Address: (Please provide reason if Country of Employment and Country of Residence differs: _____)</p> <p>Postal Code: _____ City / State: _____</p> <p>Country: _____</p>	<p>Employment Status:</p> <p><input type="checkbox"/> Employed <input type="checkbox"/> Self-Employed (Sole Proprietor/ Freelance)</p> <p><input type="checkbox"/> Self-Employed (Business Owner) <input type="checkbox"/> Key Controller (CEO/CFO/ COO/MD)</p> <p><input type="checkbox"/> Unemployed <input type="checkbox"/> Housewife / Student / Retired (please circle ONE only)</p> <p>Name of Company/ Institution: _____</p> <p>Nature of Business: _____ (e.g. Manufacturing, Healthcare, Finance, Education)</p> <p>Role and Title: _____ (e.g. Research Analyst, Vice President)</p> <p>Office/ Institution Address: (Please provide reason if Country of Employment and Country of Residence differs: _____)</p> <p>Postal Code: _____ City / State: _____</p> <p>Country: _____</p>
<p>Annual Income</p> <p><input type="checkbox"/> S\$50,000 & Below <input type="checkbox"/> S\$50,001 to \$100,000 <input type="checkbox"/> S\$100,001 to \$300,000</p> <p><input type="checkbox"/> S\$300,001 to \$500,000 <input type="checkbox"/> S\$500,001 to \$ 700,000</p> <p><input type="checkbox"/> S\$700,001 and above, please state amount: _____</p>	<p>Annual Income</p> <p><input type="checkbox"/> S\$50,000 & Below <input type="checkbox"/> S\$50,001 to \$100,000 <input type="checkbox"/> S\$100,001 to \$300,000</p> <p><input type="checkbox"/> S\$300,001 to \$500,000 <input type="checkbox"/> S\$500,001 to \$ 700,000</p> <p><input type="checkbox"/> S\$700,001 and above, please state amount: _____</p>
<p>Source of Wealth / Funds</p> <p>a. Source of Wealth (Refer to the origin of your total assets.)</p> <p><input type="checkbox"/> Employment <input type="checkbox"/> Business Income <input type="checkbox"/> Rental <input type="checkbox"/> Sales of Investment</p> <p><input type="checkbox"/> Inheritance / Gifts <input type="checkbox"/> Others, please specify: _____</p> <p>b. Source of Funds (Refer to the origin of the funds or other assets which are the subject of the requested transactions.)</p> <p><input type="checkbox"/> Employment <input type="checkbox"/> Business Income <input type="checkbox"/> Rental <input type="checkbox"/> Sales of Investment</p> <p><input type="checkbox"/> Inheritance / Gifts <input type="checkbox"/> Others, please specify: _____</p>	<p>Source of Wealth / Funds</p> <p>a. Source of Wealth (Refer to the origin of your total assets.)</p> <p><input type="checkbox"/> Employment <input type="checkbox"/> Business Income <input type="checkbox"/> Rental <input type="checkbox"/> Sales of Investment</p> <p><input type="checkbox"/> Inheritance / Gifts <input type="checkbox"/> Others, please specify: _____</p> <p>b. Source of Funds (Refer to the origin of the funds or other assets which are the subject of the requested transactions.)</p> <p><input type="checkbox"/> Employment <input type="checkbox"/> Business Income <input type="checkbox"/> Rental <input type="checkbox"/> Sales of Investment</p> <p><input type="checkbox"/> Inheritance / Gifts <input type="checkbox"/> Others, please specify: _____</p>
<p>Net Worth (excluding residences and retirement assets)</p> <p><input type="checkbox"/> S\$100,000 and below <input type="checkbox"/> S\$100,001 to \$500,000 <input type="checkbox"/> S\$500,001 to \$1,000,000</p> <p><input type="checkbox"/> S\$1,000,001 to \$5,000,000 <input type="checkbox"/> S\$5,000,001 to \$10,000,000</p> <p><input type="checkbox"/> S\$10,000,001 and above, please state amount: _____</p>	<p>Net Worth (excluding residences and retirement assets)</p> <p><input type="checkbox"/> S\$100,000 and below <input type="checkbox"/> S\$100,001 to \$500,000 <input type="checkbox"/> S\$500,001 to \$1,000,000</p> <p><input type="checkbox"/> S\$1,000,001 to \$5,000,000 <input type="checkbox"/> S\$5,000,001 to \$10,000,000</p> <p><input type="checkbox"/> S\$10,000,001 and above, please state amount: _____</p>
<p>Educational Qualifications</p> <p><input type="checkbox"/> Tertiary <input type="checkbox"/> Diploma <input type="checkbox"/> GCE 'A' / 'O' <input type="checkbox"/> Primary</p> <p><input type="checkbox"/> Others, please specify: _____</p>	<p>Educational Qualifications</p> <p><input type="checkbox"/> Tertiary <input type="checkbox"/> Diploma <input type="checkbox"/> GCE 'A' / 'O' <input type="checkbox"/> Primary</p> <p><input type="checkbox"/> Others, please specify: _____</p>
<p>Settlement of Accounts</p> <p>i) Securities Trading Account</p> <p><input checked="" type="checkbox"/> Standing Authorisation (SA)</p> <p>Please deposit any amounts that are due to us, including but not limited to sale proceeds, contra gains, dividends, and coupon payments that are due to us into our Trust Account in the settlement currency indicated on the contract note, contra statement, or payment advice from UOBKH, and withdraw from our Trust Account for settlement of whatever money due to UOBKH, including but not limited to purchases of stocks and shares, contra losses incurred by me, fees payable with respect to our transactions/accounts with UOBKH and/or payments for subscriptions/corporate actions that we instruct UOBKH to undertake on our behalf.</p> <p>We are aware that this arrangement will not apply (for SGD and/or USD and/or other currencies) if other mode of settlement (GIRO, EPS or TT) has been selected.</p>	<p>ii) UTRADE X Account</p> <p><input checked="" type="checkbox"/> Standing Authorisation (SA)</p> <p>Please deposit any amounts that are due to us, including but not limited to sale proceeds, contra gains, dividends, and coupon payments that are due to us into our Trust Account in the settlement currency indicated on the contract note, contra statement, or payment advice from UOBKH, and withdraw from our Trust Account for settlement of whatever money due to UOBKH, including but not limited to purchases of stocks and shares, contra losses incurred by us, fees payable with respect to our transactions/accounts with UOBKH and/or payments for subscriptions/corporate actions that we instruct UOBKH to undertake on our behalf.</p> <p>We are aware that this arrangement will not apply (for SGD and/or USD and/or other currencies) if other mode of settlement (GIRO, EPS or TT) has been selected.</p>

Settlement of Accounts																									
<p>i) Securities Trading Account</p> <p>Please choose ONE of the following options for SGD settlement mode:</p> <div style="display: flex; justify-content: space-between;"> <div style="width: 48%;"> <p>a. <input type="checkbox"/> Electronic Payment System (EPS) Please link our designated Bank Account as indicated below to our trading account to enable us to make payment for purchases or contra losses, and to receive sale proceed or contra gains arising from our securities transactions.</p> <p><input type="checkbox"/> UOB <input type="checkbox"/> DBS <input type="checkbox"/> OCBC <input type="checkbox"/> Bank of Singapore <input type="checkbox"/> Citibank <input type="checkbox"/> Maybank</p> <p>Bank Account No. _____</p> </div> <div style="width: 48%;"> <p>b. <input type="checkbox"/> GIRO (please attach Bank GIRO Application Form), please indicate your GIRO Bank Account No. _____</p> <p><i>*Cheque, bill payment, PayNow and telegraphic transfer are accepted for all trading accounts.</i></p> </div> </div>																									
Application to Open Depository Agent Sub-account(s)																									
<p>a. Securities Trading Account</p> <p>i) Do you wish to open Depository Agent Sub-account for UOB Kay Hian to safekeep your SGX-listed shares instead of CDP? <input type="checkbox"/> Yes <input type="checkbox"/> No (please complete ii or iii below)</p> <p>ii) <input type="checkbox"/> Please provide the CDP (Central Depository Pte Ltd) account number</p> <table border="1" style="width: 100%; border-collapse: collapse; text-align: center;"> <tr> <td style="width: 5%;">1</td> <td style="width: 5%;">6</td> <td style="width: 5%;">8</td> <td style="width: 5%;">1</td> <td style="width: 5%;">-</td> <td style="width: 5%;"></td> <td style="width: 5%;"></td> <td style="width: 5%;"></td> <td style="width: 5%;"></td> <td style="width: 5%;">-</td> <td style="width: 5%;"></td> <td style="width: 5%;"></td> <td style="width: 5%;"></td> </tr> </table> <p>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.</p> <p>iii) <input type="checkbox"/> Trade foreign shares <input type="checkbox"/> Trade under CPFIS/SRS</p> <p>b. Please note that a Depository Agent Sub-account will be opened for each of the following trading account(s) that you apply for.</p> <ul style="list-style-type: none"> - Share Margin Financing Account - UTRADE X Account 		1	6	8	1	-					-														
1	6	8	1	-					-																
Trading in Specified Investment Products																									
<p>Do you wish to trade in Specified Investment Products, such as Unit Trust, ETNs and OTC products? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, please complete and submit the Customer Account Review (CAR) / Customer Knowledge Assessment (CKA) Form.</p>																									
Stock Connect Northbound Trading Service																									
<p>Do you wish to trade in Northbound China Connect Shares? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>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</p>																									
Account Relationship Details	Account Relationship Details																								
<p>1. Are you related to any employee / trading representative of UOB Kay Hian?</p> <p><input type="checkbox"/> Yes (please provide details below) <input type="checkbox"/> No</p> <p>Name _____ Relationship _____</p> <p>Name _____ Relationship _____</p> <p>2. Are there any trading account(s) in UOB Kay Hian in which you have control or influence?</p> <p><input type="checkbox"/> Yes (please provide details below) <input type="checkbox"/> No</p> <table style="width: 100%;"> <tr> <td style="width: 50%;">Account Name</td> <td style="width: 50%;">Account No.</td> </tr> <tr> <td>a. _____</td> <td>_____</td> </tr> <tr> <td>b. _____</td> <td>_____</td> </tr> </table> <p>3. Does any account holder in UOB Kay Hian has control or influence over this trading account?</p> <p><input type="checkbox"/> Yes (please provide details below) <input type="checkbox"/> No</p> <table style="width: 100%;"> <tr> <td style="width: 50%;">Account Name</td> <td style="width: 50%;">Account No.</td> </tr> <tr> <td>a. _____</td> <td>_____</td> </tr> <tr> <td>b. _____</td> <td>_____</td> </tr> </table>	Account Name	Account No.	a. _____	_____	b. _____	_____	Account Name	Account No.	a. _____	_____	b. _____	_____	<p>1. Are you related to any employee / trading representative of UOB Kay Hian?</p> <p><input type="checkbox"/> Yes (please provide details below) <input type="checkbox"/> No</p> <p>Name _____ Relationship _____</p> <p>Name _____ Relationship _____</p> <p>2. Are there any trading account(s) in UOB Kay Hian in which you have control or influence?</p> <p><input type="checkbox"/> Yes (please provide details below) <input type="checkbox"/> No</p> <table style="width: 100%;"> <tr> <td style="width: 50%;">Account Name</td> <td style="width: 50%;">Account No.</td> </tr> <tr> <td>a. _____</td> <td>_____</td> </tr> <tr> <td>b. _____</td> <td>_____</td> </tr> </table> <p>3. Does any account holder in UOB Kay Hian has control or influence over this trading account?</p> <p><input type="checkbox"/> Yes (please provide details below) <input type="checkbox"/> No</p> <table style="width: 100%;"> <tr> <td style="width: 50%;">Account Name</td> <td style="width: 50%;">Account No.</td> </tr> <tr> <td>a. _____</td> <td>_____</td> </tr> <tr> <td>b. _____</td> <td>_____</td> </tr> </table>	Account Name	Account No.	a. _____	_____	b. _____	_____	Account Name	Account No.	a. _____	_____	b. _____	_____
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Trading History / Objectives	Trading History / Objectives
<p>1. Do you have previous experience in investing in financial product(s)?</p> <p><input type="checkbox"/> Yes, please specify _____ <input type="checkbox"/> No</p> <p>2. Please indicate your investment objectives:</p> <p><input type="checkbox"/> Long Term Investment <input type="checkbox"/> Short Term Trading Profits <input type="checkbox"/> Dividend Yield</p> <p><input type="checkbox"/> Hedging <input type="checkbox"/> Others (please specify) _____</p> <p>3. Name of other financial institution(s) currently used to invest in any financial product(s):</p> <p>_____</p> <p>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?</p> <p><input type="checkbox"/> Yes (please describe briefly) _____</p> <p><input type="checkbox"/> No</p> <p>5. Do you have any disputed account(s) or unresolved litigation matters with any stockbroking firm(s)/ financial institution(s)?</p> <p><input type="checkbox"/> Yes (please describe briefly) _____</p> <p><input type="checkbox"/> No</p>	<p>1. Do you have previous experience in investing in financial product(s)?</p> <p><input type="checkbox"/> Yes, please specify _____ <input type="checkbox"/> No</p> <p>2. Please indicate your investment objectives:</p> <p><input type="checkbox"/> Long Term Investment <input type="checkbox"/> Short Term Trading Profits <input type="checkbox"/> Dividend Yield</p> <p><input type="checkbox"/> Hedging <input type="checkbox"/> Others (please specify) _____</p> <p>3. Name of other financial institution(s) currently used to invest in any financial product(s):</p> <p>_____</p> <p>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?</p> <p><input type="checkbox"/> Yes (please describe briefly) _____</p> <p><input type="checkbox"/> No</p> <p>5. Do you have any disputed account(s) or unresolved litigation matters with any stockbroking firm(s)/ financial institution(s)?</p> <p><input type="checkbox"/> Yes (please describe briefly) _____</p> <p><input type="checkbox"/> No</p>

Representations, Warranties and Declarations by the Applicants
<p>1. We, the Applicants in this <i>Application for Trading Account(s)</i> (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:</p> <p>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.</p> <p>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.</p> <p>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 <i>UOBKH Master Trading Agreement</i> (printed copy can be made available on request), the <i>Guide and Cautionary Notes in Applying For/Continuing with an Account with UOB Kay Hian Private Limited</i> ("<i>Guide</i>") and the <i>Risk Disclosure Statements</i> 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.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>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.</p> <p>8. We hereby authorise and consent to update the information provided in this application to all our trading account(s) maintained with UOBKH.</p>

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 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.

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:

TR Name:

TR Code:

Date:

Signature of Joint Applicant

Name of Joint Applicant:

Application witnessed/verified by:

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 (S\$): _____

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 X account types.

Name of TR

TR Code

Signature of TR / Date