

Opening of Trading Accounts for Corporation

(A) Opening of Trading Account with UOB Kay Hian Pte Ltd (“UOB Kay Hian”)

I) **Mandatory Forms** – Please complete the following Forms:

1. Corporate Account Application Form – For Opening of Trading Account(s)
2. Extract of Directors’ Resolution – Cash Trading (UOBKH pre-printed Form)
3. Form W8-BEN-E or Form W-9
4. Letter of Indemnity to be signed by Principal/Shareholder if the applicant is incorporated in countries listed in Appendix 1
(**DO NOT** affix company stamp)
5. UOBKH CRS Entity Tax Residency Self-Certification Form
6. UOBKH CRS Controlling Person Tax Residency Self-Certification Form – Each Controlling Person to complete the Self-Certification of Controlling Person Form

II) **Supporting Documents Required**

1. Certificate of Incorporation / Registration
2. Memorandum and Articles of Association / Constitution
3. Latest ACRA Business Profile dated not more than 2 weeks old (for Singapore Corporation)
4. Register of Director(s), Company Secretary(ies), and Shareholder(s) (for Foreign Corporation)
5. Certificate of Incumbency dated not more than 2 months old (for company incorporated in countries listed in Appendix 1)
6. Declaration of Trust (for company incorporated in countries listed in Appendix 1)
7. Clear copies of NRIC / Passport of Authorised Signatory(ies) and Trader(s), Beneficial Owner(s), Director(s), Company Secretary(ies), Key Executive(s), Person(s)/ Shareholder(s) with more than 25% indirect and/or direct shareholdings.
8. Residential Address proof of natural person(s) appointed to act on behalf of the company ie Authorised Signatory(ies) and Trader(s), Beneficial Owner(s), Director(s), Company Secretary(ies), Key Executive(s) and Person(s)/ Shareholder(s) with more than 25% indirect and/or direct shareholdings. The following are the commonly acceptable supporting documents by UOB Kay Hian, provided applicant is not opening securities account with CDP and documents must be dated within 3 months validity:
 - a) National Identification Card (For Singaporean or Singapore Permanent Resident)
 - b) Government bodies correspondences (CPF Statement, IRAS Statement, MOE Statement & etc)
 - c) Bank statement
 - d) Utility & Telco Bill
 - e) CDP Statement
 - f) Other Broking Firm statement
 - g) ACRA Business Profile or equivalent
9. Mailing address proof (ie any of the documents proof listed at point 8(b) – (g) above)
10. Latest audited Financial Statement / Annual Report
11. For Applicant with complex structure, please provide a graphical presentation of the company’s ownership structure showing Person(s)/ Shareholder(s) with more than 25% indirect and/or direct shareholdings, or to provide corporate supporting documents of related entities to determine the beneficial owner.

III) **Optional Forms**– Please submit the additional form if you intend to apply:

1. Declaration of Accredited / Expert / Institutional Status
2. Application to Opt Out for UOBKH Electronic Statements
3. Margin Loan Documents – available from our Client Services Department

(B) Opening of Securities Account with Central Depository Pte Limited (“CDP”)

I) Mandatory Forms– Please complete the following Forms:

1. CDP Apply for Securities Account Application Form
2. Certificate of Board Resolution (CDP pre-printed form)
3. CDP Entity KYC Questionnaires
4. Form W-8BEN-E or Form W-9
5. CDP Self-Certification for Entity Tax Residency Form
6. CDP Self-Certification for Controlling Person (Entity Tax Residency) Form – Each Controlling Person to complete the Self-Certification of Controlling Person Form

II) Supporting Documents Required

1. Certificate of Incorporation / Registration
2. Latest ACRA Business Profile dated not more than 2 weeks old (for Singapore Corporation)
3. Register of Director(s), Company Secretary(ies), and Shareholder(s) (for Foreign Corporation)
4. Legal Opinion Letter from law firm per sample attached in Appendix 2 (for company incorporated in countries listed in Appendix 1)
5. Clear copies of NRIC / Passport of Authorised Persons, Company Secretary and person(s) signing the Resolution
6. Mailing address proof (ie ACRA Business Profile or equivalent, Statement dated within last 3 months from Government Body eg IRAS/CPF)

(C) Notes

1. The signature on the Application Forms must be witnessed and supporting documents submitted must be certified true copy by any of the following authorised personnel/representatives (name, title and company stamp affixed):
 - UOBKH staff (including UOBKH regional offices)
 - Notary Public
 - Advocates and solicitors
 - Singapore Embassy
 - Justice of Peace

*Company Secretary may witness the Application Forms as an authorised personnel acting independently with no signing power for the company, provided supporting documents are certified true copy by any of the above or Company Director.
2. Documents submitted in non-English must be translated into English.
3. The application forms will not be accepted if they were dated more than 1 month upon receipt.
4. Company stamp is required to be affixed on all CDP Mandatory forms, except for CDP Self-Certification for Controlling Person Form.
5. Applicant may be asked to furnish other information and supporting documents, if required.

Letter of Indemnity (required by UOB Kay Hian) and Legal Opinion Letter (required by CDP) if the applicant is incorporated in any of the following countries:

S/No	Countries	S/No	Countries
1	Andora	22	Liberia
2	Anguilla	23	Maldives
3	Antigua & Barbuda	24	Malta
4	Aruba	25	Marshall Islands
5	Bahamas	26	Mauritius
6	Bahrain	27	Monaco
7	Barbados	28	Montserrat
8	Bermuda	29	Nauru
9	Belize	30	Netherlands Antilles
10	British Virgin Islands	31	Niue
11	Cayman Islands	32	Panama
12	Cook Islands	33	Samoa
13	Cyprus	34	San Marino
14	Dominica	35	Seychelles
15	Gibraltar	36	St Lucia
16	Grenadines	37	St Kitts & Nevis
17	Grenada	38	St Vincent & The Tonga
18	Guernsey/Sark/Alderney	39	Turks and Caicos
19	Isle of Man	40	US Virgin Islands
20	Jersey	41	Vanuatu
21	Liechtenstein		

LEGAL OPINION LETTER ADDRESSED TO THE CENTRAL DEPOSITORY (PTE) LIMITED (CDP)

Please ensure a letter from a law firm certifying to CDP that requirements (1) to (5) listed below have been satisfied:

1. that all legal requirements for Opening a Securities Account in the country of its incorporation have been satisfied.
2. that the Company has the capacity to contract with CDP under our Terms and Conditions for the operation of Securities Account.
3. that the Certificate of Resolution in our prescribed form has been validly passed according to the laws of country of incorporation.
4. that the authorised signatories have been validly empowered by the Company.
5. that the Company has limited liabilities.