

**Corporate**

**APPLICATION FOR TRADING ACCOUNT(S)**

Type of Trading -(You may select more than one) (You must have a securities trading account to open ^ account(s))			
<b>Regular Trading</b>  <input type="checkbox"/> <b>Securities Trading</b> -Equities, Bonds, Unit Trusts, ETFs, ETNs, OTC products and etc.  <input type="checkbox"/> <b>Utrade Edge</b>  <input type="checkbox"/> <b>Utrade Plus</b>	<b>Margin/Collateral Trading</b>  <input type="checkbox"/> <b>^ Share Margin Financing</b> (Please complete margin loan document)  <input type="checkbox"/> <b>^ Yieldmax</b> (Please complete margin loan document)	<b>Others</b>  <input type="checkbox"/> <b>^ Contract for Difference</b>  <input type="checkbox"/> <b>^ Write US Equity Call/Put Option</b> ( Please complete Form W-8BEN-E)  <input type="checkbox"/> <b>^ Spot Diamond Trading</b> (Accredited investor or Expert Investor only)	<input type="checkbox"/> <b>^Leveraged Foreign Exchange and/or Commodities</b> Please select the base currency for the account(s) that you apply;  <input type="checkbox"/> <b>UTRADE FX</b> <input type="checkbox"/> SGD <input type="checkbox"/> USD <input type="checkbox"/> <b>UTRADE FX (Hedge)</b> <input type="checkbox"/> SGD <input type="checkbox"/> USD <input type="checkbox"/> <b>UTRADE FX MT4</b> <input type="checkbox"/> SGD <input type="checkbox"/> USD

**Applicant Information**

Name of Corporation  
 \_\_\_\_\_  
 \_\_\_\_\_

RCB Registration No. / Company Registration No.  
 \_\_\_\_\_

Country(ies) Where Business Is Conducted  
 \_\_\_\_\_

Place of Incorporation / Registration  
 \_\_\_\_\_

Date of Incorporation / Registration (DD/MM/YYYY)  
 \_\_\_\_ / \_\_\_\_ / \_\_\_\_

Telephone No.  
 Country Code Area Code / Number  
 + ( ) \_\_\_\_\_

Fax No.  
 Country Code Area Code / Number  
 + ( ) \_\_\_\_\_

Principal Business Activity  
 \_\_\_\_\_

Email Address (Mandatory)  
 \_\_\_\_\_  
 \_\_\_\_\_

Registered Address  
 \_\_\_\_\_  
 \_\_\_\_\_

Postal Code City / State Country  
 \_\_\_\_\_

Mailing Address (if different from the Registered Address)  
 \_\_\_\_\_  
 \_\_\_\_\_

Postal Code City / State Country  
 \_\_\_\_\_

Tax Resident of Singapore ( for GST purpose )  Yes  No

**Entity Information**

1. Please describe your key business activities, or indicate if this is an investment holding company with no operating activities.

\_\_\_\_\_

\_\_\_\_\_

**2. Please describe your key products and/or services.**

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**3. Please list the key geographical markets covered by your business.**

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**4. Please provide a list of your directors and key executives.** \*Please attach a separate list if there is insufficient space

(Key executives refer to office bearers of the company who have executive decision making power (e.g. director, company secretary and other authorized signatories).

i) **Name:** \_\_\_\_\_ **Gender:** \_\_\_\_\_ **Date of Birth(DD/MM/YY):** \_\_\_\_\_ **Country of Birth:** \_\_\_\_\_

**Nationality:** \_\_\_\_\_ **NRIC/Passport No.:** \_\_\_\_\_ **Designation:** \_\_\_\_\_

**Residential address:** \_\_\_\_\_

ii) **Name:** \_\_\_\_\_ **Gender:** \_\_\_\_\_ **Date of Birth(DD/MM/YY):** \_\_\_\_\_ **Country of Birth:** \_\_\_\_\_

**Nationality:** \_\_\_\_\_ **NRIC/Passport No.:** \_\_\_\_\_ **Designation:** \_\_\_\_\_

**Residential address:** \_\_\_\_\_

iii) **Name:** \_\_\_\_\_ **Gender:** \_\_\_\_\_ **Date of Birth(DD/MM/YY):** \_\_\_\_\_ **Country of Birth:** \_\_\_\_\_

**Nationality:** \_\_\_\_\_ **NRIC/Passport No.:** \_\_\_\_\_ **Designation:** \_\_\_\_\_

**Residential address:** \_\_\_\_\_

iv) **Name:** \_\_\_\_\_ **Gender:** \_\_\_\_\_ **Date of Birth(DD/MM/YY):** \_\_\_\_\_ **Country of Birth:** \_\_\_\_\_

**Nationality:** \_\_\_\_\_ **NRIC/Passport No.:** \_\_\_\_\_ **Designation:** \_\_\_\_\_

**Residential address:** \_\_\_\_\_

v) **Name:** \_\_\_\_\_ **Gender:** \_\_\_\_\_ **Date of Birth(DD/MM/YY):** \_\_\_\_\_ **Country of Birth:** \_\_\_\_\_

**Nationality:** \_\_\_\_\_ **NRIC/Passport No.:** \_\_\_\_\_ **Designation:** \_\_\_\_\_

**Residential address:** \_\_\_\_\_

**5. Please provide a list of your shareholders holding at least 25% of your issued shares.** \*Please attach a separate list if there is insufficient space

i) **Name:** \_\_\_\_\_ **Gender:** \_\_\_\_\_ **NRIC/Passport/Reg No.:** \_\_\_\_\_ **Country of Birth:** \_\_\_\_\_

**Date of Birth/Incorporation (DD/MM/YY):** \_\_\_\_\_ **Country of Citizenship/ Incorporation:** \_\_\_\_\_ **Shareholding Percentage:** \_\_\_\_\_

**Residential / Registered Address:** \_\_\_\_\_

ii) **Name:** \_\_\_\_\_ **Gender:** \_\_\_\_\_ **NRIC/Passport/Reg No.:** \_\_\_\_\_ **Country of Birth:** \_\_\_\_\_

**Date of Birth/Incorporation (DD/MM/YY):** \_\_\_\_\_ **Country of Citizenship/ Incorporation:** \_\_\_\_\_ **Shareholding Percentage:** \_\_\_\_\_

**Residential / Registered Address:** \_\_\_\_\_

iii) **Name:** \_\_\_\_\_ **Gender:** \_\_\_\_\_ **NRIC/Passport/Reg No.:** \_\_\_\_\_ **Country of Birth:** \_\_\_\_\_

**Date of Birth/Incorporation (DD/MM/YY):** \_\_\_\_\_ **Country of Citizenship/ Incorporation:** \_\_\_\_\_ **Shareholding Percentage:** \_\_\_\_\_

**Residential / Registered Address:** \_\_\_\_\_

**6. If any of your directors or shareholders holding at least 25% of your issued share are themselves corporate entities or other non-natural persons, please provide a list of the key executives, directors or shareholders holding at least 25% of that corporate entity or other non-natural person.** \*Please attach a separate list if there is insufficient space

If your company falls under any of the categories listed below, your company is not required to complete Part 6:

- a) an entity listed on the Singapore Exchange;
- b) an entity listed on a stock exchange outside of Singapore that is subject to
  - (i) regulatory disclosure requirements; and
  - (ii) requirements relating to adequate transparency in respect of its beneficial owners (imposed through stock exchange rules, law or other enforceable means);

i) **Name:** \_\_\_\_\_ **Gender:** \_\_\_\_\_ **NRIC/Passport/Reg No.:** \_\_\_\_\_ **Country of Birth:** \_\_\_\_\_  
**Date of Birth/Incorporation (DD/MM/YY):** \_\_\_\_\_ **Country of Citizenship/ Incorporation:** \_\_\_\_\_ **Shareholding Percentage:** \_\_\_\_\_  
**Residential / Registered Address:** \_\_\_\_\_

ii) **Name:** \_\_\_\_\_ **Gender:** \_\_\_\_\_ **NRIC/Passport/Reg No.:** \_\_\_\_\_ **Country of Birth:** \_\_\_\_\_  
**Date of Birth/Incorporation (DD/MM/YY):** \_\_\_\_\_ **Country of Citizenship/ Incorporation:** \_\_\_\_\_ **Shareholding Percentage:** \_\_\_\_\_  
**Residential / Registered Address:** \_\_\_\_\_

iii) **Name:** \_\_\_\_\_ **Gender:** \_\_\_\_\_ **NRIC/Passport/Reg No.:** \_\_\_\_\_ **Country of Birth:** \_\_\_\_\_  
**Date of Birth/Incorporation (DD/MM/YY):** \_\_\_\_\_ **Country of Citizenship/ Incorporation:** \_\_\_\_\_ **Shareholding Percentage:** \_\_\_\_\_  
**Residential / Registered Address:** \_\_\_\_\_

**Person(s) Authorised to Trade (Please attach a separate list if there is insufficient space.)**

	<b>Name</b>	<b>NRIC / Passport No.</b>	<b>Designation</b>	<b>Specimen Signature</b>	<b>Contact No.</b>
1.	_____	_____	_____	_____	_____
2.	_____	_____	_____	_____	_____
3.	_____	_____	_____	_____	_____
4.	_____	_____	_____	_____	_____
5.	_____	_____	_____	_____	_____

**Account Relationship Details**

1. Are there any trading account(s) in UOB Kay Hian in which you have control or influence?

Yes (please provide details below)  No

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

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

2. Does any account holder in UOB Kay Hian have control or influence over this account?

Yes (please provide details below)  No

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

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

**Trading History / Objectives**

1. Does the Company 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. Is the Company currently insolvent or unable to pay its debts as they fall due, or has the Company entered into or has proposed to enter into any scheme, arrangement or composition with its creditors, or has any bankruptcy, receivership, liquidation, winding up, judicial management, administration or similar proceeding or resolution been filed against the Company or passed to effect the same, or has a receiver, liquidator, administrator, judicial manager, custodian, trustee or other analogous officer been appointed overall or a material part of its assets?  Yes  No

If yes, please describe briefly \_\_\_\_\_

5. Does the Company have any disputed account(s) or unresolved litigation matters with any stockbroking firm(s) / financial institution(s)?  Yes  No

If yes, please describe briefly \_\_\_\_\_

**Source of Funds / Wealth**

We hereby declare that the entity's source of funds / wealth are as follows:

Business Income  Sales of Investments  Injection of Capital  Others (please specify) \_\_\_\_\_

**Declaration of Beneficial Owner(s)** (Please attach a separate list if there is insufficient space.)

We hereby declare and confirm that the following person(s) is the beneficial owner(s) of the trading account(s). We undertake to notify UOBKH Pte Ltd in writing immediately of any change in beneficial owner(s) of this account.

i) **Name:** \_\_\_\_\_ **Date of Birth (DD/MM/YY):** \_\_\_\_\_ **Country of Birth:** \_\_\_\_\_

**Nationality:** \_\_\_\_\_ **NRIC/Passport No:** \_\_\_\_\_ **Signature:** \_\_\_\_\_

**Residential address:** \_\_\_\_\_

**Beneficial Owner's Source of Funds / Wealth are as follows:**

Employment  Rental  Inheritance / Gifts  Business Income  Sales of Investments  Others (please specify) \_\_\_\_\_

ii) **Name:** \_\_\_\_\_ **Date of Birth (DD/MM/YY):** \_\_\_\_\_ **Country of Birth:** \_\_\_\_\_

**Nationality:** \_\_\_\_\_ **NRIC/Passport No:** \_\_\_\_\_ **Signature:** \_\_\_\_\_

**Residential address:** \_\_\_\_\_

**Beneficial Owner's Source of Funds / Wealth are as follows:**

Employment  Rental  Inheritance / Gifts  Business Income  Sales of Investments  Others (please specify) \_\_\_\_\_

iii) **Name:** \_\_\_\_\_ **Date of Birth (DD/MM/YY):** \_\_\_\_\_ **Country of Birth:** \_\_\_\_\_

**Nationality:** \_\_\_\_\_ **NRIC/Passport No:** \_\_\_\_\_ **Signature:** \_\_\_\_\_

**Residential address:** \_\_\_\_\_

**Beneficial Owner's Source of Funds / Wealth are as follows:**

Employment  Rental  Inheritance / Gifts  Business Income  Sales of Investments  Others (please specify) \_\_\_\_\_

iv) **Name:** \_\_\_\_\_ **Date of Birth (DD/MM/YY):** \_\_\_\_\_ **Country of Birth:** \_\_\_\_\_

**Nationality:** \_\_\_\_\_ **NRIC/Passport No:** \_\_\_\_\_ **Signature:** \_\_\_\_\_

**Residential address:** \_\_\_\_\_

**Beneficial Owner's Source of Funds / Wealth are as follows:**

Employment  Rental  Inheritance / Gifts  Business Income  Sales of Investments  Others (please specify) \_\_\_\_\_

**(Note: The term "beneficial owner" means the natural person who ultimately owns or controls the Applicant or the person on whose behalf a transaction is being conducted and includes the person who exercises ultimate effective control over the Applicant.)**

*If you are a tax resident of the United States, please provide your U.S. Taxpayer Identification Number and return a completed signed Form W-9. A US citizen is considered a tax resident of the United States even if you are a tax resident of another jurisdiction.*

**Security Question**

Year of Incorporation \_\_\_\_\_

**Regulated Financial Institution**

Countries or jurisdictions the Applicant is regulated: \_\_\_\_\_

**Internet Trading**

You will have Internet Trading access to multi-markets. Please submit Form W-8BEN-E 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.

**Settlement of Accounts**

For 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 and contra losses.

**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

## Representations, Warranties and Declarations By the Applicant

1. We, the Applicant 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 the 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 or on our behalf 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) and the Risk Disclosure Statements for respective financial product(s), all of which may be varied or supplemented from time to time, (copies of which are available on <https://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 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.
  - 1.5 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>.
2. We confirm that we are not currently insolvent or unable to pay our debts as they fall due or the subject of a bankruptcy, receivership, liquidation, winding up, judicial management, administration or other similar proceeding nor has a resolution been passed to effect the same and further confirm that we have not entered into, or proposed to enter into, any scheme, arrangement or composition with our creditors generally nor have had a receiver, liquidator, administrator, judicial manager, custodian, trustee or other analogous officer appointed over all or a material part of our assets.
3. We also enclose with our duly completed Application Form, a certified true extract of the resolutions of our board of directors in respect of our application herein.
4. 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.
5. 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 Share 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 I/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.

## Certificate of Fund Manager Concerning Verification of Customer Identity (This section is only applicable if you are fund manager.)

We confirm that we are acting as fund manager for our customer(s) in our dealings with UOB Kay Hian Private Limited ("UOBKH"):

We hereby represent and warrant the following in respect of our customer(s):

1. That in accordance with the anti-money laundering laws of the jurisdiction of the supervisory authority by whom we are regulated, we have ascertained the identity of all customers for whom we act as fund manager.
2. We have conducted client verification procedures which are sufficient to establish the identity and source of funds of each of such customers.
3. We have recorded the evidence establishing the identities and sources of funds of such customers and we will retain or procure the retention of such evidence for a period of not less than 5 years, and
4. We will promptly provide copies of such evidence to UOBKH in response to a request from UOBKH's regulator whether directly to us or UOBKH.

In addition, we also specifically represent and warrant:

- A. None of the proposed customers, nor any person controlling, controlled by, or under common control with, any customer, nor any person having a significant beneficial interest in the customer (being a beneficial interest of no less than 5%), or for whom the customer is (a) a person or entity resident in, or organized or chartered under the laws of a jurisdiction identified as non-cooperative by the Financial Action Task Force ("FATF"); or (b) a person whose subscription funds originate from or will be routed through, an account maintained at a foreign shell bank or "offshore bank" not subject to compliance with the anti-money laundering and anti-terrorism financing prescriptions of FATF;
- B. We will immediately notify UOBKH if we become aware of (i) any update information on any customer; and/or (ii) any suspicious activity or pattern of activity that may require further review to determine whether the information gives rise to suspicion of the customer; and/or the activity or pattern of activity is suspicious;
- C. None of the customers and proposed customers is or will be a politically exposed person within the meaning of the expression under the FATF prescriptions or the notices of the Monetary Authority of Singapore unless they have successfully passed the enhanced customer due diligence required to be performed against such persons.

We will retain, until further notice, all documentation required to identify our customers and the basis for reasonable belief on their respective funds and funds use not being illicit accurately.

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

Authorised Signatory  
Name :

Authorised Signatory  
Name :

\_\_\_\_\_  
Please Affix Company's Stamp

\_\_\_\_\_  
Application Form Witnessed / Verified By / 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>	<b>Buy '000</b>	<b>Sell '000</b>
Limit (USD\$)		

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

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

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