

**UOB KAY HIAN PRIVATE LIMITED**

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**OPT-IN AUTHORISATION FORM FOR UCASH**

(A cash management services offered by UOB Kay Hian Private Limited ('UOBKH'))

**NAME (AS IN TRADING ACCOUNT)**

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**NRIC / PASSPORT / COMPANY REGISTRATION NO.**

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**NOTE:**

- UCASH will not apply if other mode of settlement (GIRO, EPS, TT) has been selected
- All/selected securities trading account(s) must have existing standing trust arrangement with UOBKH

I/We confirm that I/we wish to participate in UCASH (Please tick the relevant box below):

- For all my/our existing securities trading account(s) (Cash, UTRADE Edge and UTRADE Robo) maintained with UOBKH

**OR**

- For selected securities trading account(s) maintained with UOBKH (Please indicate your Trading Account No. below)

Trading Account No.

- 1) \_\_\_\_\_
- 2) \_\_\_\_\_
- 3) \_\_\_\_\_
- 4) \_\_\_\_\_
- 5) \_\_\_\_\_

In consideration of UOBKH agreeing to provide me/us with its cash management services called **UCASH**, and by my/our signature(s) below, I/we hereby opt-in for UCASH and agree to be bound by the following terms and conditions (as amended or supplemented from time to time):

1. I/We may from time to time have surplus funds with UOBKH which UOBKH would generally be obliged to hold pursuant to Regulation 16 of the Securities and Futures (Licensing and Conduct of Business) Regulations ("SF(LCB)R").
2. Without prejudice to and in addition to UOBKH's rights and powers including investment entitlement pursuant to Regulation 20 of the SF(LCB)R, I/we hereby confirm my/our standing request / authorisation for UOBKH to provide me/us with UCASH under which UOBKH shall have the absolute sole discretion to invest my/our free and available funds ("**Surplus Funds**") (whether such funds are held distinctly or on a commingled basis pursuant to UOBKH's entitlement to effect such commingling of customer's monies) on a discretionary basis in any collective investment scheme(s) ("**Funds**"), as may be permitted by the Securities and Futures Act or such other laws and regulations applicable hereto.
3. I/We understand that the Funds will be held by UOBKH on a segregated basis on trust for me/us and that these Funds will be automatically redeemed wholly or partially from UCash for payment of any investment purchases or funds withdrawal request made by me/us or fees and charges due from me/us.
4. I/We confirm that I/we have sought independent legal and financial advice on this standing request / authorisation and that I/we have the legal capacity and authority to give this request / authorisation.
5. I/We acknowledge that such investment management is at your discretion to provide and you will have discretionary authority (including but not limited to the frequency, scope and methodology of rebalancing) to invest my/our Surplus Funds and this shall include the rights of UOBKH to purchase, subscribe, switch, sell and redeem participation interests in the Funds as well as to decide on the appropriate actions or inactions with respect to each of the corporate actions, if any, of the Funds on my/our behalf. For the execution of such transactions, UOBKH has the discretion to deduct the relevant amount and related fees and charges from my/our account with UOBKH without any or further reference to me/us.
6. Where such investment management is effected, so long as the investment management is made in good faith with intent to preserve the principal and enhance returns on the Surplus Funds, UOBKH will not be liable whatsoever for any loss in principal or lack of

enhancement in the value of the principal occasioned by and/or arising from the fund management effected. I/We also accept the risk of any and all losses, whether direct or indirect, howsoever caused, or shortfalls that may result from UCASH.

7. I/We accept that whilst UOBKH will reasonably monitor my/our account with a view to determining whether to exercise the investment discretion UOBKH has been granted, UOBKH will exercise its discretion of appointment or acceptance of appointment herein only on the basis that UOBKH will not be liable whatsoever to me/us should the Surplus Funds not be regarded as appropriate for any purpose otherwise than placement in a trust account or if in fact invested they do not obtain the best possible returns or, for this matter, any returns.
8. I/We agree and accept that in any event the discretion I/we am/are hereby granting will only be considered for exercise in my/our favor if my/our Surplus Funds exceed the prevailing minimum amount (if any) stipulated by UOBKH from time to time.
9. With regard to investing my/our Surplus Funds in the Funds, I/we understand that and acknowledge the investment risks associated with such investments, including but not limited to the following:
  - (a) such Funds are not guaranteed funds in that there is no guarantee as to the amount of capital invested (i.e. not principal protected) and/or return to be received;
  - (b) purchase of units in a Fund is not the same as placing funds on deposit with a bank or deposit-taking company;
  - (c) there can be no assurance that these Funds will be able to meet my/our objectives;
  - (d) past performance of these Funds is not necessarily an indicative of future performance; and
  - (e) UOBKH earns a trailer fee from fund houses on the Funds and levies an administrative / handling fee for offering UCASH.
10. I/We agree and confirm that the terms and conditions set out in the Master Trading Agreement previously executed by me/us, including but not limited to the provisions of the Customer Account Review / Customer Knowledge Assessment, Risk Disclosure Statement, Guide and Cautionary Notes – Trading Account with UOB Kay Hian Private Limited (where relevant) and Account Application form, shall continue to apply without limitation or modification to me/us in relation to our dealings with UOBKH. In the event of any inconsistency between any of the aforementioned documents and this Opt-In Authorisation Form, the terms and conditions of this Opt-In Authorisation Form shall prevail.

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## DECLARATIONS

1. I/We hereby declare that all information provided in this Opt-In Authorisation form is correct, true and accurate and I/we have not willfully withheld any material fact.
2. I/We confirm that I/we have read and agree to the terms and conditions of this Opt-In Authorisation. I/We further confirm that I/we enter into this standing request / authorisation on my/our own volition.

Yours faithfully,

\_\_\_\_\_

Main Account Holder

\_\_\_\_\_

Joint Account Holder

\_\_\_\_\_

(Authorised Signatory(ies))  
For and on behalf of

Name:

Name:

Name of Company:

Date:

Date:

Date:

For Office Use Only

\_\_\_\_\_  
Signature Verified By CS.CA / Date

\_\_\_\_\_  
Data Entry By DMU / Date

\_\_\_\_\_  
Checked By DMU / Date

\_\_\_\_\_  
Updated By Finance / Date