

## Account Application - Corporate

### Types of Accounts

- You may open more than one type of account.
- Securities Trading Account is required in order to open account under Margin Trading and Other Financial Instruments.

#### Regular Trading\*

- ☐ **Securities Trading Account**
- To trade Equities, Bonds, Unit Trusts, ETFs, ETNs, OTC products, etc.
- ☐ **UTRADE Edge**
- Online cash upfront account
  - To trade securities in SG, HK, MY, US Markets

#### Margin Trading\*

- (Please complete margin loan documents)
- ☐ **Share Margin Financing Account**

#### Other Financial Instruments\*

- ☐ **UTRADE Delta**
- ☐ **CFDs (Equities, Indices) & Leveraged (FX, Commodities)**
- Please select the base currency:
- ☐ SGD ☐ USD
- ☐ **MT4**
- ☐ **Leveraged (FX, Commodities) & CFDs (Indices)**
- Please select the base currency:
- ☐ SGD ☐ USD
- ☐ **Write Equity Call / Put Option**

\* Account is enrolled with Online Trading facility and you will only receive electronic contracts and monthly statements.

### Applicant Information

Name of Corporation

RCB Registration No. / Company Registration No.

Legal Entity Identifier No (LEI) :

Place of Incorporation / Registration

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

Country(ies) Where Business Is Conducted / Key geographical market coverage by your business

Principal Business Activity (to describe your key business activities, or indicate if this is an investment holding company with no operating activities)

Telephone No.

Country Code Area Code / Number

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.

Registered Address

Postal Code

City / State

Country

Mailing Address (if different from the Registered Address)

Postal Code

City / State

Country

**Entity Information**

**1. Please provide a list of your Directors, Key Executives and Beneficial Owners.** *\*Please attach a separate list if there is insufficient space.*

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

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 your company falls under any of the categories listed below, your company is not required to declare Beneficial Owner and not required to complete Question 2 and 3:

- 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);
- c) a financial institution incorporated or established in or outside Singapore that is subject to and supervised for compliance with AML/CFT requirements consistent with standards set by the FATF

i) ☐ Director ☐ Key Executive ☐ Beneficial Owner (Please check all applicable boxes.)

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

Nationality: \_\_\_\_\_ NRIC/Passport No: \_\_\_\_\_ Specimen Signature: \_\_\_\_\_ Contact No. \_\_\_\_\_

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

Source of Wealth / Funds are as follows: (**\*applicable to Beneficial Owner only**)

- a. Source of Wealth ☐ Employment ☐ Rental ☐ Inheritance / Gifts ☐ Business Income ☐ Sales of Investments ☐ Others (please specify) \_\_\_\_\_
- b. Source of Funds ☐ Bank ☐ Others (please specify) \_\_\_\_\_

ii) ☐ Director ☐ Key Executive ☐ Beneficial Owner (Please check all applicable boxes.)

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

Nationality: \_\_\_\_\_ NRIC/Passport No: \_\_\_\_\_ Specimen Signature: \_\_\_\_\_ Contact No. \_\_\_\_\_

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

Source of Wealth / Funds are as follows: (**\*applicable to Beneficial Owner only**)

- a. Source of Wealth ☐ Employment ☐ Rental ☐ Inheritance / Gifts ☐ Business Income ☐ Sales of Investments ☐ Others (please specify) \_\_\_\_\_
- b. Source of Funds ☐ Bank ☐ Others (please specify) \_\_\_\_\_

iii) ☐ Director ☐ Key Executive ☐ Beneficial Owner (Please check all applicable boxes.)

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

Nationality: \_\_\_\_\_ NRIC/Passport No: \_\_\_\_\_ Specimen Signature: \_\_\_\_\_ Contact No. \_\_\_\_\_

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

Source of Wealth / Funds are as follows: (**\*applicable to Beneficial Owner only**)

- a. Source of Wealth ☐ Employment ☐ Rental ☐ Inheritance / Gifts ☐ Business Income ☐ Sales of Investments ☐ Others (please specify) \_\_\_\_\_
- b. Source of Funds ☐ Bank ☐ Others (please specify) \_\_\_\_\_

iv) ☐ Director ☐ Key Executive ☐ Beneficial Owner (Please check all applicable boxes.)

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

Nationality: \_\_\_\_\_ NRIC/Passport No: \_\_\_\_\_ Specimen Signature: \_\_\_\_\_ Contact No. \_\_\_\_\_

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

Source of Wealth / Funds are as follows: (**\*applicable to Beneficial Owner only**)

- a. Source of Wealth ☐ Employment ☐ Rental ☐ Inheritance / Gifts ☐ Business Income ☐ Sales of Investments ☐ Others (please specify) \_\_\_\_\_
- b. Source of Funds ☐ Bank ☐ Others (please specify) \_\_\_\_\_

v) ☐ Director ☐ Key Executive ☐ Beneficial Owner (Please check all applicable boxes.)

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

Nationality: \_\_\_\_\_ NRIC/Passport No: \_\_\_\_\_ Specimen Signature: \_\_\_\_\_ Contact No. \_\_\_\_\_

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

Source of Wealth / Funds are as follows: (**\*applicable to Beneficial Owner only**)

- a. Source of Wealth ☐ Employment ☐ Rental ☐ Inheritance / Gifts ☐ Business Income ☐ Sales of Investments ☐ Others (please specify) \_\_\_\_\_
- b. Source of Funds ☐ Bank ☐ Others (please specify) \_\_\_\_\_

*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.*

**2. 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:** \_\_\_\_\_

**3. 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

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:** \_\_\_\_\_

**Source of Wealth / Funds**

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

a. Source of Wealth (Refer to the origin of your total assets)

☐ Business Income ☐ Sale of Investments ☐ Injection of Capital ☐ Bank ☐ Others (please specify) \_\_\_\_\_

b. Source of Funds (Refer to the origin of the funds or other assets which are the subject of the requested transaction)

☐ Business Income ☐ Sale of Investments ☐ Injection of Capital ☐ Bank ☐ Others (please specify) \_\_\_\_\_

**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) used to invest in 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 \_\_\_\_\_

**Settlement of Accounts**

Securities Trading Account / UTRADE Edge / UTRADE Delta / MT4

☒ Standing Authorisation (SA)

Please deposit any amounts that are due to us, including but not limited to sale proceeds, contra gains and 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.

We are aware that this arrangement will not apply (for SGD and/or USD and/or other currencies) if other mode of settlement (GIRO or TT) has been selected.

Please select the following if you wish to opt for other settlement modes for your SGD transaction (for Securities Trading Account only).

☐ GIRO (please attach Bank GIRO Application Form)

\* Cheque, bill payment and telegraphic transfers are accepted for all trading accounts.

**Account Relationship Details**

1. Are there any entity trading account(s) in UOBKH in which you have control or influence? ☐ Yes (please provide details below) ☐ No
2. Does any account holder in UOBKH have control or influence over this account? ☐ Yes (please provide details below) ☐ No

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

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

**Application to Open Depository Agent Sub-account(s)**

## a. Securities Trading Account

- i) Do you wish to open **Depository Agent Sub-account** for UOB Kay Hian to safekeep your SGX-listed shares instead of CDP?

☐ Yes ☐ No (please complete ii or iii below)

- ii) ☐ Please provide the **CDP** (Central Depository Pte Ltd) account number.

1	6	8	1	-					-				
---	---	---	---	---	--	--	--	--	---	--	--	--	--

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](http://www.sgx.com/cdp).

- iii) ☐ Trade foreign shares only

b. Please note that for the following accounts, a Depository Agent Sub-account will be opened to safekeep your SGX-listed shares for:

- Share Margin Financing Account
- UTRADE Edge Account

**Important Notes & Declaration**

Please read the Important Information and Declaration by the Corporate Applicant on our website.

You can access the information via <https://www.utrade.com.sg/page/site/public/english/pdf/corporate-clients.pdf> or by scanning the QR code to view the following:

- A. Representations, Warranties and Declarations By the Applicant
- B. Tax Compliance Representation and Warranty
- C. Certificate of Fund Manager Concerning Verification of Customer Identity (This section is only applicable if you are fund manager)



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

--

**Authorised Signatory**  
Name:

--

**Authorised Signatory**  
Name:

\_\_\_\_\_  
Please Affix Company's Stamp. (If applicable)

\_\_\_\_\_  
Application Form **Witnessed / Verified By** / Date