

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.

