

Account Application - Individual

Types of Accounts For IFA

Collective Investment Scheme Account (CIS)

- To invest in Unit Trust
 - Regular CIS Account
 - WRAP CIS Account

Types of Accounts offered by UOB Kay Hian

<p>Regular Trading*</p> <ul style="list-style-type: none"> <input type="checkbox"/> Securities Trading Account - To trade Equities, Bonds, Unit Trusts, ETFs, ETNs, OTC products, etc <input type="checkbox"/> UTRADE Edge Account - Online cash upfront account - To trade securities in SG, HK,MY, US Markets 	<p>Margin Trading* (Please complete margin loan documents)</p> <ul style="list-style-type: none"> <input type="checkbox"/> Share Margin Financing 	<p>Other Financial Instruments* (Please complete Customer Account Review (CAR) / Customer Knowledge Assessment (CKA) Form)</p> <ul style="list-style-type: none"> <input type="checkbox"/> UTRADE Delta <ul style="list-style-type: none"> <input type="checkbox"/> CFDs (Equities, Indices) & Leveraged (FX , Commodities) Please select the base currency: <input type="checkbox"/> SGD <input type="checkbox"/> USD <input type="checkbox"/> MT4 <ul style="list-style-type: none"> <input type="checkbox"/> Leveraged (FX, Commodities) &CFDs (Indices) Please select the base currency: <input type="checkbox"/> SGD <input type="checkbox"/> USD
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(Duly Completed Form W8BEN is required for trading in the US Market)

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

Applicant Information

Name (As in NRIC or Passport)

Gender Male Female

Marital Status Single Married Others: _____
please specify

NRIC/Passport No. _____

Country of Birth Singapore Malaysia Others: _____
please specify

Date of Birth (DD/MM/YYYY) _____ / _____ / _____

Nationality Singaporean Malaysian Others: _____
please specify

US Citizen (Please complete Form W-9 and US Taxpayer Identification No. below. Form W-9 is available at <http://www.utrade.com.sg> or from our Client Services Department)

US Taxpayer Identification No. _____

Singapore Permanent Resident Yes No

Home Tel No. Country Code Area Code / Number
 + () _____
 Mobile No. + () _____

Office Tel 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 establish a trading account with us.

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Representations, Warranties and Declarations By the Applicant

1. I, the Applicant in this *Account Application* (the "**Application Form**"), hereby request that UOB Kay Hian Private Limited ("**UOBKH**") open trading account(s) and/or provide the services specified by me in this Application Form to me. By signing this Application Form, I hereby represent, warrant and agree that:
 - 1.1 All information furnished by me in this Application Form and any information separately provided by me in connection herewith is true, accurate, complete, correct and not misleading in any respect. I 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 I hereby consent to UOBKH collecting, using and/or disclosing any and all such information on me 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 I 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 me with UOBKH.
 - 1.3 I 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), the *Guide and Cautionary Notes in Applying For/Continuing with an Account with UOB Kay Hian Private Limited ("Guide")* and the *Risk Disclosure Statements* for the respective financial product(s) I intend to trade/invest in, all of which as may be varied or supplemented from time to time (copies of which are available on <http://www.utrade.com.sg>) and which shall be fully binding upon and enforceable against me. I confirm and represent that I have taken independent advice from such advisers as I have deemed necessary or desirable in relation to this Application Form and the related documents.
 - 1.4 It is my sole responsibility to ensure the suitability for me of the financial product(s) that I have selected to trade/invest in unless I am receiving Guided or Paid Advice. Specifically, I confirm having read and agree to the contents of the '**Acknowledgement of Personal Responsibility For and Limits Of Execution-Related Advice On Listed Excluded Investment Products**' in the body of the Guide and in particular the warning to me in the contents of such acknowledgement.
 - 1.5 I have read and agreed to the terms and conditions relating to Electronic Payment for Shares (EPS) service as stated in the Terms and Conditions for the Application for EPS. A copy is available on <http://www.utrade.com.sg>.
 - 1.6 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.
 - 1.7 **Consent to the collection, use and disclosure of personal data for administration and servicing**
I consent to UOBKH disclosing my personal data, including my account information, to my Financial Adviser Representative ("FAR", which expression includes the FAR named herein and any replacement FAR appointed by me or the Financial Advisory Firm and notified to UOBKH), for the purpose of servicing and administering my trading account(s) and allowing my FAR to provide or continue to provide financial advice to me. Neither UOBKH nor any of its officials shall be liable for any loss or damage suffered by me or any user as a result of any disclosure of any personal data which I have consented to UOBKH and/or any of its officials to disclose.
 - 1.8 **Consequence of withdrawing consent**
I am aware that I may withdraw my consent to the disclosure by UOBKH of any personal data to my FAR by giving UOBKH not less than three weeks' notice in writing via email, fax or letter, so long as there are no legal or contractual restrictions preventing me/us from doing so. I am aware that to proceed with such withdrawal, UOBKH will not be able to process, administer and/or manage my relationship and my trading account(s) will be deemed terminated by me/us.
 - 1.9 **Payment to my FAR**
I acknowledge that UOBKH shall pay or procure payment from my trading account(s) all applicable fees and charges, including sales charge, wrap fee and switching fee ("Fees and Charges") in connection with the financial services provided to me relating to my trading account(s). Where my account has sufficient funds, I/we authorize UOBKH to debit all the Fees and Charges as and when due to my trading account(s), without any responsibility whatsoever on the part of UOBKH.
 2. I am 18 years of age or over and hereby declare that I am not an undischarged bankrupt, nor am I unable to pay my debts as they fall due.
 3. I agree that by accessing the Internet Trading facility provided by UOBKH, I am 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>.
 4. I declare that I am the sole legal and beneficial owner of the trading account(s) and I am not acting as agent or nominee for any other person(s) or entity.
 5. I have full authority and power and legal capacity to sign this Application Form, to maintain and operate the trading account(s), to effect the transactions for the trading account(s) mentioned above and to accept the terms of the services contemplated by UOBKH's Master Trading Agreement.
 6. I 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 I shall be trading in.
 7. I hereby authorise and consent to update the information provided in this application to all my trading account(s) maintained with UOBKH.
- Share Margin Financing Facility, where applicable**
1. I 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. I understand that you reserve the right at your absolute discretion to determine the quantum of the Margin Trading Facility and the collateral required.
- Depository Agent Sub-Account, where applicable**
- a. I 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.
 - b. I accept the charges levied by the CDP/UOBKH, which may be revised from time to time without prior notice.
- Marketing Consent:**
- a. I agree to UOBKH, its agents and authorized service providers sending me marketing messages (including advertisements and promotions) about products and/or services offered by UOBKH and/or its business partners to my contact number(s) by way of voice call, text (SMS) and other forms of instant messaging such as Whatsapp. I am aware that I may at any time withdraw my consent for the sending of any marketing message to my contact number(s) by giving at least 10 business days' notice in writing via email, fax or letter to you.

Tax Compliance Representation and Warranty

I hereby represent and warrant in favour of UOB Kay Hian Private Limited ("**UOBKH**"):

- (a) I will ensure that I will remain in compliance with all laws to which I am subject to including, without limitation, all tax laws and regulations and exchange control requirements ("**Tax Laws**") at all times
- (b) Any and all funds and assets that I 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 I am domiciled in or tax resident or deemed tax resident of and which I am legally subject to.
- (c) Any profits which accrue from my transactions will also be dealt with in full compliance with the Tax Laws of the countries where I am domiciled in or resident or deemed tax resident of and which I am legally subject to.

Dated this _____ day of _____ 20_____.

Signature of Applicant

Name of Applicant:

Verified By Financial Adviser Representative:

Name:

Code:

Date:

Application witnessed/verified by:

Name:

Date:

TRADING LIMITS TO BE COMPLETED BY TRADING REPRESENTATIVE

Initial Deposit: No Yes, Amount SGD\$ _____ Cash / Cheque No. _____

Limits	TR Recommendation	
	Offline Channel	Online Channel
Securities Trading Limits:	SGD	
Channel Limit Recommended by TR	SGD	SGD
Asian Market	%	%
Non-Asian Market	%	%

Product	TR Code	Wrap Fee
CIS		
Financial Adviser Details		
Name of Financial Advisory Firm		
Name of Financial Adviser Representative ("FAR")		
Adviser Code		

Note: The Limit will be defaulted to Offline channel if no recommendation has been made for the channel and Markets will be set to 100%

Name of TR

TR Code

Signature of TR / Date