

TR Code

Account Application – Joint - Alternate

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> <input type="checkbox"/> Securities Trading Account - To trade Equities, Bonds, Unit Trusts, ETFs, ETNs, OTC products, etc	<p>Margin Trading* (Please complete margin loan documents)</p> <input type="checkbox"/> Share Margin Financing	<p>Other Financial Instruments* (Please complete Customer Account Review (CAR) / Customer Knowledge Assessment (CKA) Form)</p> <input type="checkbox"/> UTRADE Delta <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"/> UTRADE Edge Account - Online cash upfront account - To trade securities in SG, HK,MY, US Markets		<input type="checkbox"/> MT4 <input type="checkbox"/> Leveraged (FX, Commodities) &CFDs (Indices) Please select the base currency: <input type="checkbox"/> SGD <input type="checkbox"/> USD

(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

Main Account Holder **Joint Account Holder**

<p>Name (As in NRIC or Passport) _____ _____ _____</p> <p>Gender <input type="checkbox"/> Male <input type="checkbox"/> Female</p> <p>Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others: _____ <small>please specify</small></p> <p>NRIC/Passport No. _____</p> <p>Country of Birth <input type="checkbox"/> Singapore <input type="checkbox"/> Malaysia <input type="checkbox"/> Others: _____ <small>please specify</small></p> <p>Date of Birth (DD/MM/YYYY) _____ / _____ / _____</p> <p>Nationality <input type="checkbox"/> Singaporean <input type="checkbox"/> Malaysian <input type="checkbox"/> Others: _____ <small>please specify</small></p> <p><input type="checkbox"/> 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)</p> <p>US Taxpayer Identification No. _____</p> <p>Singapore Permanent Resident <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Home Tel No. Country Code Area Code / Number +() _____</p> <p>Office Tel No. +() _____</p> <p>Mobile No. +() _____</p>	<p>Name (As in NRIC or Passport) _____ _____ _____</p> <p>Gender <input type="checkbox"/> Male <input type="checkbox"/> Female</p> <p>Marital Status <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others: _____ <small>please specify</small></p> <p>NRIC/Passport No. _____</p> <p>Country of Birth <input type="checkbox"/> Singapore <input type="checkbox"/> Malaysia <input type="checkbox"/> Others: _____ <small>please specify</small></p> <p>Date of Birth (DD/MM/YYYY) _____ / _____ / _____</p> <p>Nationality <input type="checkbox"/> Singaporean <input type="checkbox"/> Malaysian <input type="checkbox"/> Others: _____ <small>please specify</small></p> <p><input type="checkbox"/> 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)</p> <p>US Taxpayer Identification No. _____</p> <p>Singapore Permanent Resident <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Home Tel No. Country Code Area Code / Number +() _____</p> <p>Office Tel No. +() _____</p> <p>Mobile No. +() _____</p>
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Main Account Holder	Joint Account Holder
Residential Address (as in NRIC for Singaporeans or Permanent Residents of Singapore) <div style="border: 1px solid black; height: 40px; width: 100%;"></div>	Residential Address (as in NRIC for Singaporeans or Permanent Residents of Singapore) <div style="border: 1px solid black; height: 40px; width: 100%;"></div>
Postal Code City / State <div style="border: 1px solid black; width: 100%; height: 20px;"></div>	Postal Code City / State <div style="border: 1px solid black; width: 100%; height: 20px;"></div>
Country <div style="border: 1px solid black; width: 100%; height: 20px;"></div>	Country <div style="border: 1px solid black; width: 100%; height: 20px;"></div>

Applicants Information
Mailing Address (If different from residential address specified above, please state reason _____) <div style="border: 1px solid black; height: 40px; width: 100%;"></div>
Postal Code City / State Country <div style="border: 1px solid black; width: 100%; height: 20px;"></div>
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. <div style="border: 1px solid black; height: 20px; width: 100%;"></div>

Tax Residence Information (Mandatory) (Please attach a separate Common Reporting Standard – Individual Tax Residency Self-Certification form if there is insufficient space)	Tax Residence Information (Mandatory) (Please attach a separate Common Reporting Standard – Individual Tax Residency Self-Certification form if there is insufficient space)																								
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b. Source of Funds (Refer to the origin of the funds or other assets which are the subject of the requested transactions.) <input type="checkbox"/> Employment <input type="checkbox"/> Business Income <input type="checkbox"/> Rental <input type="checkbox"/> Sales of Investment <input type="checkbox"/> Inheritance / Gifts <input type="checkbox"/> Others, please specify: _____	b. Source of Funds (Refer to the origin of the funds or other assets which are the subject of the requested transactions.) <input type="checkbox"/> Employment <input type="checkbox"/> Business Income <input type="checkbox"/> Rental <input type="checkbox"/> Sales of Investment <input type="checkbox"/> Inheritance / Gifts <input type="checkbox"/> Others, please specify: _____																																																																																																																				
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Settlement of Accounts																																																																																																																					
i) Securities Trading Account <input checked="" type="checkbox"/> Standing Authorisation (SA) Please deposit any amounts that are due to me, including but not limited to sale proceeds, contra gains, dividends, and coupon payments that are due to me into my Trust Account in the settlement currency indicated on the contract note, contra statement, or payment advice from UOBKH, and withdraw from my Trust Account for settlement of whatever money due to UOBKH, including but not limited to purchases of stocks and shares, contra losses incurred by me, fees payable with respect to my transactions/accounts with UOBKH and/or payments for subscriptions/corporate actions that I instruct UOBKH to undertake on my behalf. I am aware that this arrangement will not apply (for SGD and/or USD and/or other currencies) if other mode of settlement (GIRO, EPS or TT) has been selected. * Cash, cheque, bill payment and telegraphic transfer are accepted for all trading accounts.																																																																																																																					

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? <input type="checkbox"/> Yes <input type="checkbox"/> No (please complete ii or iii below)																													
ii) <input type="checkbox"/> Please provide the CDP (Central Depository Pte Ltd) account number																													
<table border="1" style="width:100%; border-collapse: collapse;"><tr><td style="width:25px; text-align:center;">1</td><td style="width:25px; text-align:center;">6</td><td style="width:25px; text-align:center;">8</td><td style="width:25px; text-align:center;">1</td><td style="width:25px; text-align:center;">-</td><td style="width:25px;"></td><td style="width:25px;"></td><td style="width:25px;"></td><td style="width:25px;"></td><td style="width:25px; text-align:center;">-</td><td style="width:25px;"></td><td style="width:25px;"></td><td style="width:25px;"></td><td style="width:25px;"></td><td style="width:25px;"></td><td style="width:25px;"></td><td style="width:25px;"></td><td style="width:25px;"></td><td style="width:25px;"></td><td style="width:25px;"></td><td style="width:25px;"></td><td style="width:25px;"></td><td style="width:25px;"></td><td style="width:25px;"></td><td style="width:25px;"></td><td style="width:25px;"></td><td style="width:25px;"></td><td style="width:25px;"></td><td style="width:25px;"></td></tr></table>	1	6	8	1	-					-																			
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 .																													
iii) <input type="checkbox"/> Trade foreign shares <input type="checkbox"/> Trade under CPFIS/SRS																													
b. Please note that a Depository Agent Sub-account will be opened for each of the following trading account(s) that you apply for. - Share Margin Account - UTRADE Edge Account																													

Account Relationship Details	
<p>1. I am not related to any employee / trading representative of UOB Kay Hian. <input type="checkbox"/> True <input type="checkbox"/> False (Please provide details below)</p> <p>Account Name: _____ Relationship: _____</p> <p>2. I have no control / influence over any trading account(s) in UOB Kay Hian. <input type="checkbox"/> True <input type="checkbox"/> False (Please provide details below)</p> <p>Account Name: _____ Relationship: _____</p> <p>3. There is no account holder in UOB Kay Hian that has control / influence over this account. <input type="checkbox"/> True <input type="checkbox"/> False (Please provide details below)</p> <p>Account Name: _____ Relationship: _____</p>	<p>1. I am not related to any employee / trading representative of UOB Kay Hian. <input type="checkbox"/> True <input type="checkbox"/> False (Please provide details below)</p> <p>Account Name: _____ Relationship: _____</p> <p>2. I have no control / influence over any trading account(s) in UOB Kay Hian. <input type="checkbox"/> True <input type="checkbox"/> False (Please provide details below)</p> <p>Account Name: _____ Relationship: _____</p> <p>3. There is no account holder in UOB Kay Hian that has control / influence over this account. <input type="checkbox"/> True <input type="checkbox"/> False (Please provide details below)</p> <p>Account Name: _____ Relationship: _____</p>

Trading in Specified Investment Products

Do you wish to trade in Specified Investment Products, such as Unit Trust, ETNs and OTC products? Yes No
If yes, each account holder to complete and submit the Customer Account Review (CAR) / Customer Knowledge Assessment (CKA) Form.

Stock Connect Northbound Trading Service

Do you wish to trade in Northbound China Connect Shares? Yes No

I acknowledge and agree that it is necessary to tag each of my orders submitted to the China Stock Connect System with a Broker-to-Client Assigned Number (BCAN) and to provide to the Hong Kong Exchanges and Clearing Limited ('Exchange') my assigned BCAN and such identification information relating to me as the Exchange may request from time to time under its rules.

I acknowledge and agree to UOB Kay Hian Pte Ltd to process my personal data, use or transfer my identification information to the Exchange and the relevant subsidiaries of The Stock Exchange of Hong Kong Limited as set out in the 'Personal Information Collection Statement Concerning Northbound China Connect Orders'. This document can be viewed on <http://www.utrade.com.sg>. A printed copy can also be made available upon request.

Trading History / Objectives	Trading History / Objectives
<p>1. Do you have previous experience in investing in financial product(s)? <input type="checkbox"/> Yes, please specify _____ <input type="checkbox"/> No</p> <p>2. Please indicate your investment objectives: <input type="checkbox"/> Long Term Investment <input type="checkbox"/> Short Term Trading <input type="checkbox"/> Others (please specify) _____</p> <p>3. Are you currently a bankrupt and/or have any disputed account(s) or unresolved litigation matters with any stockbroking firm(s)/ financial institution(s)? <input type="checkbox"/> No <input type="checkbox"/> Yes (please describe briefly) _____</p>	<p>1. Do you have previous experience in investing in financial product(s)? <input type="checkbox"/> Yes, please specify _____ <input type="checkbox"/> No</p> <p>2. Please indicate your investment objectives: <input type="checkbox"/> Long Term Investment <input type="checkbox"/> Short Term Trading <input type="checkbox"/> Others (please specify) _____</p> <p>3. Are you currently a bankrupt and/or have any disputed account(s) or unresolved litigation matters with any stockbroking firm(s)/ financial institution(s)? <input type="checkbox"/> No <input type="checkbox"/> Yes (please describe briefly) _____</p>

Representations, Warranties and Declarations By the Applicants

1. We, the Applicants 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 us in this 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 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), 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) we 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 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 It is our sole responsibility to ensure the suitability for us of the financial product(s) that we have selected to trade/invest in unless we are receiving Guided or Paid Advice. Specifically, we 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 us in the contents of such acknowledgement.
 - 1.5 We 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**
We consent to UOBKH disclosing our personal data, including our account information, to our Financial Adviser Representative ("FAR", which expression includes the FAR named herein and any replacement FAR appointed by us or the Financial Advisory Firm and notified to UOBKH), for the purpose of servicing and administering our trading account(s) and allowing our FAR to provide or continue to provide financial advice to us. Neither UOBKH nor any of its officials shall be liable for any loss or damage suffered by us or any user as a result of any disclosure of any personal data which we have consented to UOBKH and/or any of its officials to disclose.
 - 1.8 **Consequence of withdrawing consent**
We are aware that we may withdraw our consent to the disclosure by UOBKH of any personal data to our 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 us from doing so. We are aware that to proceed with such withdrawal, UOBKH will not be able to process, administer and/or manage our relationships and our trading account(s) will be deemed terminated by me/us.
 - 1.9 **Payment to my FAR**
We acknowledge that UOBKH shall pay or procure payment from our 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 us relating to our trading account(s). Where our account has sufficient funds, we authorize UOBKH to debit all the Fees and Charges as and when due to our trading account(s), without any responsibility whatsoever on the part of UOBKH.
2. We are 18 years of age or over and hereby declare that we are not an undischarged bankrupt(s), nor are we unable to pay our debts as they fall due.
3. 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>.
4. We declare that we are the sole legal and beneficial owners of the trading account(s) and we are not acting as agent or nominee for any other person(s) or entity.
5. We shall be held jointly and severally liable with the other to UOBKH. Any one of us is authorized to give orders to buy and sell shares, give settlement instructions and receive scrips / payment which are in the joint account name from UOBKH. Payments made by UOBKH shall be in the joint names indicated on the Application form.
6. We 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.
7. 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.
8. 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 the 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 By-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.

Marketing Consent:

1. We agree to UOBKH, its agents and authorized service providers sending us marketing messages (including advertisements and promotions) about products and/or services offered by UOBKH and/or its business partners to our contact number(s) by way of voice call, text (SMS) and other forms of instant messaging such as Whatsapp. We are aware that we may at any time withdraw our consent for the sending of any marketing message to our 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

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

- (a) We will ensure that we will remain in compliance with all laws to which we are 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 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 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.

Dated this _____ day of _____ 20 _____.

Signature of Main Applicant

Name of Main Applicant:

Signature of Joint Applicant

Name of Joint Applicant:

Application witnessed/verified by:

Verified By Financial Adviser Representative:

Name:

Code:

Date:

Name:

Date:

TRADING LIMITS TO BE COMPLETED BY TRADING REPRESENTATIVE - SECURITIES TRADING ACCOUNT AND/OR SPOT DIAMOND TRADING ACCOUNT

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

Limits	TR Recommendation	
Securities Trading Limits:	SGD	
	Offline Channel	Online Channel
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 _____