

Account Application – Joint-Alternate

Types of Accounts	
- You may open more than one type of account. - Securities Trading Account is required in order to open account(s) under Margin Trading and Other Financial Instruments.	
Please state your preferred reporting currency for the Consolidated Statement. SGD will be applied by default unless you select one of the following: ☐ USD ☐ HKD	
Regular Trading* ☐ Securities Trading Account - To trade Equities, Bonds, Unit Trusts, ETFs, ETNs, OTC products, etc. ☐ UTRADE X Account - Online cash upfront account - To trade securities in SG, HK, MY and/or US Markets Margin Trading* ☐ Share Margin Financing (Please complete Margin Loan Documents)	Other Financial Instruments* (Please complete Customer Account Review (CAR) / Customer Knowledge Assessment (CKA) Form) ☐ 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 ☐ UTRADE Options - Online facility for US options trading ☐ Write Equity Call / Put Options - Offline facility for HK and US options trading
(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
Name (As in NRIC or Passport, please <u>underline</u> surname): _____ _____ Former/ Alias Name (if any): _____ _____ Gender: ☐ Male ☐ Female Marital Status: ☐ Single ☐ Married ☐ Divorced ☐ Widowed NRIC/Passport No.: _____ Country of Birth: ☐ Singapore ☐ Malaysia ☐ Others: _____ (Please specify) Date of Birth (DD/MM/YYYY): _____ Nationality: ☐ Singaporean ☐ Malaysian ☐ Others: _____ (Please specify) Singapore Permanent Resident: ☐ No ☐ Yes Are you currently holding multiple nationalities? ☐ No ☐ Yes, please provide a copy of your other passport(s), list all nationalities: _____ and select the applicable reason(s): ☐ Citizenship / Residency by Investment ☐ Citizenship (by Birth or Marriage) ☐ Others: _____ Mobile No.: + (_____) _____ Country Code Area Code / Number Home Tel No.: + (_____) _____ Country Code Area Code / Number	Name (As in NRIC or Passport, please <u>underline</u> surname): _____ _____ Former/ Alias Name (if any): _____ _____ Gender: ☐ Male ☐ Female Marital Status: ☐ Single ☐ Married ☐ Divorced ☐ Widowed NRIC/Passport No.: _____ Country of Birth: ☐ Singapore ☐ Malaysia ☐ Others: _____ (Please specify) Date of Birth (DD/MM/YYYY): _____ Nationality: ☐ Singaporean ☐ Malaysian ☐ Others: _____ (Please specify) Singapore Permanent Resident: ☐ No ☐ Yes Are you currently holding multiple nationalities? ☐ No ☐ Yes, please provide a copy of your other passport(s), list all nationalities: _____ and select the applicable reason(s): ☐ Citizenship / Residency by Investment ☐ Citizenship (by Birth or Marriage) ☐ Others: _____ Mobile No.: + (_____) _____ Country Code Area Code / Number Home Tel No.: + (_____) _____ Country Code Area Code / Number

Employment Details	Employment Details
Employment Status: ☐ Employed ☐ Self-Employed (Sole Proprietor/ Freelance) ☐ Self-Employed (Business Owner) ☐ Key Controller (CEO/CFO/ COO/MD) ☐ Unemployed ☐ Housewife / Student / Retired <u>(please circle ONE only)</u> Name of Company/ Institution: _____ Nature of Business: _____ (e.g., Manufacturing, Healthcare, Finance, Education) Role and Title: _____ (e.g., Research Analyst, Vice President) Office/ Institution Address: (Please provide reason if Country of Employment and Country of Residence differs: _____) _____ _____ _____ Postal Code: _____ City / State: _____ Country: _____	Employment Status: ☐ Employed ☐ Self-Employed (Sole Proprietor/ Freelance) ☐ Self-Employed (Business Owner) ☐ Key Controller (CEO/CFO/ COO/MD) ☐ Unemployed ☐ Housewife / Student / Retired <u>(please circle ONE only)</u> Name of Company/ Institution: _____ Nature of Business: _____ (e.g. Manufacturing, Healthcare, Finance, Education) Role and Title: _____ (e.g., Research Analyst, Vice President) Office/ Institution Address: (Please provide reason if Country of Employment and Country of Residence differs: _____) _____ _____ _____ Postal Code: _____ City / State: _____ Country: _____
Annual Income	Annual Income
☐ S\$50,000 & Below ☐ S\$50,001 to \$100,000 ☐ S\$100,001 to \$300,000 ☐ S\$300,001 to \$500,000 ☐ S\$500,001 to \$ 700,000 ☐ S\$700,001 and above, please state amount: _____	☐ S\$50,000 & Below ☐ S\$50,001 to \$100,000 ☐ S\$100,001 to \$300,000 ☐ S\$300,001 to \$500,000 ☐ S\$500,001 to \$ 700,000 ☐ S\$700,001 and above, please state amount: _____
Source of Wealth / Funds	Source of Wealth / Funds
a. Source of Wealth (Refers to the origin of your total assets.) ☐ Employment ☐ Business Income ☐ Rental ☐ Sales of Investment ☐ Inheritance / Gifts ☐ Others, please specify: _____ b. Source of Funds (Refers to the origin of the funds or other assets which are the subject of the requested transactions.) ☐ Employment ☐ Business Income ☐ Rental ☐ Sales of Investment ☐ Inheritance / Gifts ☐ Others, please specify: _____	a. Source of Wealth (Refers to the origin of your total assets.) ☐ Employment ☐ Business Income ☐ Rental ☐ Sales of Investment ☐ Inheritance / Gifts ☐ Others, please specify: _____ b. Source of Funds (Refers to the origin of the funds or other assets which are the subject of the requested transactions.) ☐ Employment ☐ Business Income ☐ Rental ☐ Sales of Investment ☐ Inheritance / Gifts ☐ Others, please specify: _____
Net Worth (excluding residences and retirement assets)	Net Worth (excluding residences and retirement assets)
☐ S\$100,000 and below ☐ S\$100,001 to \$500,000 ☐ S\$500,001 to \$1,000,000 ☐ S\$1,000,001 to \$5,000,000 ☐ S\$5,000,001 to \$10,000,000 ☐ S\$10,000,001 and above, please state amount: _____	☐ S\$100,000 and below ☐ S\$100,001 to \$500,000 ☐ S\$500,001 to \$1,000,000 ☐ S\$1,000,001 to \$5,000,000 ☐ S\$5,000,001 to \$10,000,000 ☐ S\$10,000,001 and above, please state amount: _____
Educational Qualifications	Educational Qualifications
☐ Tertiary ☐ Diploma ☐ GCE 'A' / 'O' ☐ Primary ☐ Others, please specify: _____	☐ Tertiary ☐ Diploma ☐ GCE 'A' / 'O' ☐ Primary ☐ Others, please specify: _____
Settlement of Accounts	
Securities Trading Account, UTRADE X Account, CFD Equities, UTRADE Options and Write Equity Call Put Options ☒ Standing Authorisation (SA) Please deposit any amounts that are due to us, including but not limited to sale proceeds, contra gains, 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 me, 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, EPS or TT) has been selected.	

Settlement of Accounts

i) Securities Trading Account

Please choose **ONE** of the following options for SGD settlement mode:a. ☐ **Electronic Payment System (EPS)**

Please link our designated Bank Account as indicated below to our trading account to enable us to make payment for purchases or contra losses, and to receive sale proceed or contra gains arising from our securities transactions.

☐ UOB ☐ DBS ☐ OCBC ☐ Citibank ☐ Maybank

Bank Account No. _____

b. ☐ **GIRO** (please attach Bank GIRO Application Form), please indicate your GIRO Bank Account No. _____**Cheque, bill payment, PayNow 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? ☐ Yes ☐ No (please complete ii or iii below)ii) ☐ Please provide the **CDP** (Central Depository Pte Ltd) account number

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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) ☐ Trade foreign shares ☐ 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 Financing Account
- UTRADE X Account

Trading in Specified Investment ProductsDo you wish to trade in Specified Investment Products, such as Unit Trust, ETNs and OTC products? ☐ Yes ☐ No

If yes, please complete and submit the Customer Account Review (CAR) / Customer Knowledge Assessment (CKA) Form.

Stock Connect Northbound Trading ServiceDo you wish to trade in Northbound China Connect Shares? ☐ Yes ☐ NoWe acknowledge and agree that it is necessary to tag each of our 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') our assigned BCAN and such identification information relating to us as the Exchange may request from time to time under its rules. We acknowledge and agree to UOB Kay Hian Pte Ltd to process our personal data, use or transfer our 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**Account Relationship Details**

1. Are you related to any employee / trading representative of UOB Kay Hian?

☐ Yes (please provide details below) ☐ No

Name _____ Relationship _____

Name _____ Relationship _____

2. Are there any trading account(s) in UOB Kay Hian in which you have control or influence?

☐ Yes (please provide details below) ☐ No

Account Name _____ Account No. _____

a. _____

b. _____

3. Does any account holder in UOB Kay Hian has control or influence over this trading account?

☐ Yes (please provide details below) ☐ No

Account Name _____ Account No. _____

a. _____

b. _____

Account Relationship Details

1. Are you related to any employee / trading representative of UOB Kay Hian?

☐ Yes (please provide details below) ☐ No

Name _____ Relationship _____

Name _____ Relationship _____

2. Are there any trading account(s) in UOB Kay Hian in which you have control or influence?

☐ Yes (please provide details below) ☐ No

Account Name _____ Account No. _____

a. _____

b. _____

3. Does any account holder in UOB Kay Hian has control or influence over this trading account?

☐ Yes (please provide details below) ☐ No

Account Name _____ Account No. _____

a. _____

b. _____

Trading History / Objectives	Trading History / Objectives
1. Do you 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) currently used to invest in any financial product(s): _____ 4. Are you currently unable to pay your debts as they fall due, or have entered into or have proposed to enter into any scheme, arrangement or composition with your creditors, or has any bankruptcy proceeding or resolution been filed against you or passed to effect the same, or has an administrator, trustee or other analogous officer been appointed over all or a material part of your assets? ☐ Yes (please describe briefly) _____ ☐ No 5. Do you have any disputed account(s) or unresolved litigation matters with any stockbroking firm(s)/ financial institution(s)? ☐ Yes (please describe briefly) _____ ☐ No	1. Do you 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) currently used to invest in any financial product(s): _____ 4. Are you currently unable to pay your debts as they fall due, or have entered into or have proposed to enter into any scheme, arrangement or composition with your creditors, or has any bankruptcy proceeding or resolution been filed against you or passed to effect the same, or has an administrator, trustee or other analogous officer been appointed over all or a material part of your assets? ☐ Yes (please describe briefly) _____ ☐ No 5. Do you have any disputed account(s) or unresolved litigation matters with any stockbroking firm(s)/ financial institution(s)? ☐ Yes (please describe briefly) _____ ☐ No

Representations, Warranties and Declarations by the Applicants

1. We, the Applicants in this *Application for Trading Account(s)* (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.
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.

To Use P O Box Address/ My Mail Box Address, where applicable

1. We hereby request to use the P O Box address/My Mail Box address as the mailing address for receiving contract notes, statements, letter of demand and any other correspondence (collectively known as 'correspondence') relating to our trading account with UOBKH.
2. We are fully aware of the risks involved in using the P O Box address/My Mail Box address as our mailing address. Such risks include not receiving my correspondence promptly from UOBKH, not being able to detect any discrepancies, trading errors or unauthorized transactions in our account(s) if there is any delay or failure in receiving the correspondence by us.
3. We agree and acknowledge that any correspondence addressed to us, sent to the P O Box address/My Mail Box address is deemed to have been sent to us and received by us. We shall not hold UOBKH responsible for any losses which we may suffer from the non-receipt or delay in receiving the correspondence by us.

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.

UTRADE Options, where applicable

1. We declare, represent, warrant and confirm to UOBKH that our place of citizenship, domicile and/or residence appears on the list of eligible countries and territories published on <http://www.utrade.com.sg> (as may be amended from time to time, the "**Eligibility List**").
2. We acknowledge and agree that any acceptance by UOBKH of this Application Form is made in full reliance upon my declaration, representation, warranty and confirmation above, and that we may not open or maintain an account with UOBKH if our place of citizenship, domicile and/or residence does not or ceases to appear on the Eligibility List.
3. We undertake that we will, promptly upon request by UOBKH at any time, confirm to UOBKH that the declaration, representation, warranty and confirmation above remains true, correct and complete, and we will promptly notify UOBKH in writing of any update or change in our information or circumstances that would result in the declaration, representation, warranty and confirmation above becoming untrue, incorrect or incomplete in any respect.
4. We understand, acknowledge and agree that if for any reason, our place of citizenship, domicile and/or residence ceases to appear on the Eligibility List at any time after this Application Form is accepted, UOBKH shall be entitled to suspend and/or terminate my account and take such other actions in relation to our account as it believes to be necessary, desirable or expedient.

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 and account(s) opening verified by TR-UOBKH:

TR Name:
TR Code:
Date:

Signature of Joint Applicant

Name of Joint Applicant:

Application witnessed/verified by:

Name:
Date:

TRADING LIMITS TO BE COMPLETED BY TRADING REPRESENTATIVE - SECURITIES TRADING ACCOUNT

Account Type	TR Recommended Limit
Securities Trading:	SGD

Intended Investment Amount / Asset to bring in (\$\$): _____

Note: The limit is shared by both channels; online and offline. If TR wishes to have a different allocation of limits on the online/offline channels, please contact your credit officer. Trading Limit recommendation is not required for MT4 and UTRADE X account types.

Name of TR

TR Code

Signature of TR / Date