

## ACCOUNT OPENING FORM (INDIVIDUAL)

### 1. TYPE OF ACCOUNT(S) / SERVICE(S)

	Broker-Assisted	Online Trading	Settlement Trust Account	For Office's Use (Account No.)
<input type="checkbox"/> Cash Trading <i>links to Sub A/c</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes*	
<input type="checkbox"/> Cash Trading <i>links to GSA</i>	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes*	
<input type="checkbox"/> Margin Trading	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes		
<input type="checkbox"/> Cash Collateralised Trading ("CCT")	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes		
<input type="checkbox"/> Contract for Difference Trading ("CFD")	N/A			
Please indicate if you are applying to invest/trade in Listed Specified Investment Products ("SIP") <input type="checkbox"/> Yes <input type="checkbox"/> No				
* Please refer to paragraph 10 (Trust Account-Interest Bearing) of the Terms and Conditions for Operation of Securities Trading Account. By ticking "Yes", the Applicant hereby acknowledges having read the above provision and expressly accepts the same				

### 2. PERSONAL PARTICULARS

Full Name as in NRIC/Passport <i>(Please circle accordingly: Mr / Mrs / Ms / Madam / Dr)</i>		
NRIC / Passport No.	Passport Expiry Date (dd/mm/yyyy) <i>(For foreign applicant)</i>	
Nationality	Permanent Resident of Singapore <i>(For foreign applicant)</i> <input type="checkbox"/> Yes <input type="checkbox"/> No	
Date of Birth (dd/mm/yyyy)	Country of Birth	
Marital Status	Email Address	
Home No.	Office No.	Mobile No.
Residential Address as in NRIC/Passport <span style="float: right;"><i>Please tick:</i> <input type="checkbox"/> Self-owned <input type="checkbox"/> Rented <input type="checkbox"/> Family's House <input type="checkbox"/> Mortgaged</span>		
Postal Code		
Mailing Address <i>(if different from Residential Address) (Please provide a copy of the supporting document dated within the last 3 months)</i>		
Postal Code		
Reason for using the mailing address	Relationship with the owner of mailing address	

### 3. FINANCIAL INFORMATION

Name of Employer/ Last Employer	Employment Status <i>(Please tick):</i> <input type="checkbox"/> Self-employed <input type="checkbox"/> Employed <input type="checkbox"/> Retired <input type="checkbox"/> Unemployed
Address of Employer/ Last Employer	Postal Code
Occupation <i>(if retired/unemployed, please state last appointment held)</i>	
Annual Income	<input type="checkbox"/> Less than S\$25,000 <input type="checkbox"/> S\$25,001 to S\$50,000 <input type="checkbox"/> S\$50,001 to S\$100,000 <input type="checkbox"/> S\$100,001 to S\$150,000 <input type="checkbox"/> S\$150,001 to S\$300,000 <input type="checkbox"/> Above S\$300,000
Estimated Net worth <i>(refers to the net value of individual's assets such as shareholding &amp; properties owned including cash after deduction of liabilities)</i>	<input type="checkbox"/> Less than S\$250,000 <input type="checkbox"/> S\$250,001 to S\$1M <input type="checkbox"/> S\$1,000,001 to S\$2M <input type="checkbox"/> Above S\$2M
Source of Wealth	<input type="checkbox"/> Salary <input type="checkbox"/> Savings <input type="checkbox"/> CPF/ Pension <input type="checkbox"/> Business Income <input type="checkbox"/> Investment Income <input type="checkbox"/> Inheritance income <input type="checkbox"/> Others _____
Source of Fund <i>Please indicate if it is the same as the source of wealth:</i>	<input type="checkbox"/> Yes <input type="checkbox"/> No, please specify _____

#### 4. ACCOUNT RELATIONSHIP INFORMATION

Are you related to any employee or TR of the Company?

No  Yes, please state Name \_\_\_\_\_ and Relationship \_\_\_\_\_

Do you have securities trading account(s) with other broking firms?

No  Yes, please state name of Firm(s) (1) \_\_\_\_\_ (2) \_\_\_\_\_ (3) \_\_\_\_\_

Do you have any existing account(s) with the Company?

No  Yes, please state Account no. \_\_\_\_\_

Are you a principal shareholder\* of any company maintaining an Account with the Company?

No  Yes, please state Company name \_\_\_\_\_ & Account no. \_\_\_\_\_

\* Principal shareholder means a person has control of not less than 20% of the voting power in the firm or corporation, whether such control is exercised individually or jointly.

Do you have any influence or control of any account held with the Company?

No  Yes, please state Account name \_\_\_\_\_ & Account no. \_\_\_\_\_

Does any of your immediate family member maintains an Account with the Company?

No  Yes, please state: Name \_\_\_\_\_ Account no. \_\_\_\_\_ Relationship \_\_\_\_\_  
Name \_\_\_\_\_ Account no. \_\_\_\_\_ Relationship \_\_\_\_\_

#### 5. CUSTODIAN DETAILS

SECURITIES ACCOUNT FOR SAFEKEEPING OF SGX LISTED SECURITIES

Global Securities Account ("GSA") maintained with CDP 1 6 8 1 - - - - -

A Sub Account maintained with the Company appointing us as the Depository Agent 2 0 1 1 - - - - -

CPF INVESTMENT ACCOUNT

DBS  OCBC  UOB CPF Investment Account No. \_\_\_\_\_

Please tick one only

SUPPLEMENTARY RETIREMENT SCHEME (Please tick one only)

DBS  OCBC  UOB SRS Account No. \_\_\_\_\_

#### 6. SETTLEMENT OF ACCOUNTS

Please select one settlement option:

Please select only one Bank for EPS

Electronic Payment System (EPS)  Citibank  DBS  Maybank  OCBC  UOB Bank Account No. \_\_\_\_\_

GIRO (Separate authorisation form to be completed)

#### 7. DECLARATION OF GOODS & SERVICES TAX STATUS (APPLICABLE FOR FOREIGNER ONLY)

Are you a tax resident of Singapore?  No  Yes\*

\*Tax Resident is defined by Income Tax Act, Section 2 in relation to an individual, means a person, who in the year preceding the year of assessment, resides in Singapore except for such temporary absences therefrom as may be reasonable and not inconsistent with a claim by such person to be resident in Singapore and includes a person who is physically present or who exercises a employment (other than as a director of a company) in Singapore for 183 days or more during the year preceding the year of assessment.

#### 8. TAX RESIDENCY SELF-CERTIFICATION

1. Country/Jurisdiction of Residence for Tax Purposes and related Taxpayer Identification Number or equivalent number ("TIN")

Please complete the following table indicating (i) where the account holder is tax resident and (ii) the account holder's TIN for each country/jurisdiction indicated.

Please indicate **all** countries/jurisdictions (including Singapore and US, if applicable). If the account holder is a tax residence of Singapore, the TIN is the NRIC, FIN, the Income Tax Reference Number ("ITR"), or the Tax Reference Number assigned by IRAS ("ASGD").

If a TIN is unavailable, please provide the appropriate reason A, B or C where indicated below:

**Reason A** - The country/jurisdiction where the account holder is resident does not issue TINs to its residents.

**Reason B** - The account holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason).

**Reason C** - No TIN is required. (Only select this reason if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such jurisdiction).

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**Reason A** - The country/jurisdiction where the account holder is resident does not issue TINs to its residents.

**Reason B** - The account holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason).

**Reason C** - No TIN is required. (Only select this reason if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such jurisdiction).

Country/Jurisdiction of tax residence	TIN	If no TIN available, enter Reason A, B or C	Explain why you are unable to obtain a TIN if you selected Reason B
1			
2			
3			
4			
5			

If you are a U.S resident, please provide us with the completed and signed W -9 Form\*

Note: A U.S citizen is considered a tax resident of the United States even he/she is a tax resident of another jurisdiction. \*W-9 Form is available upon request or can be downloaded from the U.S Internal Revenue Service Forms:

[http://irs.gov/Businesses/Corporations/FATCA-Related Forms](http://irs.gov/Businesses/Corporations/FATCA-Related%20Forms)

For more information, please visit the OECD or IRAS website:

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

<https://www.iras.gov.sg/IRASHome/Quick-Links/International-Tax/Common-Reporting-Standard--CRS-/>

### 2.Declarations

I understand that the information contained herein is covered by the full provisions of the terms and conditions governing the account holder(s)'s relationship with the Company setting out how the Company may use and share the information supplied by me.

I acknowledge that the information contained herein and information regarding the account holder(s) and any reportable account(s) may be provided to the tax authorities of the country/jurisdiction in which this account(s) is/are maintained and exchanged with tax authorities of another country/jurisdiction or countries/jurisdictions in which the account holder(s) may be tax resident pursuant to intergovernmental agreements to exchange financial account information.

I declare that the information given and the statements made herein are, to the best of my knowledge and belief, correct and complete.

I undertake to advise the Company of any change in circumstances which affects my tax residency status or causes the information contained herein to become incorrect or incomplete, and to provide the Company with a suitably updated self-certification form within **30 days** of such change in circumstances.

## 9. POLITICAL EXPOSED PERSONS ("PEP")^

i) Do you hold, or are currently seeking a position or are being considered for a prominent public position?  No  Yes\*

ii) Does any of your immediate family members hold or are currently seeking a position or are being considered for a prominent public position?

No  Yes\*

Please provide the following information if you answered "Yes" to the above questions:

Name	Relationship to Applicant	Occupation	Employer / Country
_____	_____	_____	_____

Note: ^Politically Exposed Person ("PEP") means (i) a natural person who is or has been entrusted with prominent public functions(1) whether in Singapore, a foreign country or an international organization(2); (ii) family members(3) of such a person; or (iii) close associates(4) of such a person.

(1) Prominent public functions includes the roles held by a head of state, a head of government, government ministers, senior civil servants, senior judicial or military officials, senior executives of state owned corporations, and senior political party officials.

(2) International organization means an entity established by formal political agreements between member countries that have the status of international treaties, whose existence is recognized by law in member countries and which is not treated as a resident institutional unit of the country in which it is located.

(3) Family member means a parent, step-parent, child, step-child, adopted child, spouse, sibling, step-sibling and adopted sibling of the PEP.

(4) Close associate means a natural person who is closely connected to a PEP, either socially or professionally.

## 10. OPTION FOR RECEIVING E-CONTRACT / E-STATEMENT

I would like to receive my e-contract note/e-statement (when it is available) sent via to my email address maintained with the Company. I further undertake to notify the Company in writing of any change of my email address.

## 11. DECLARATION AND AGREEMENT

By signing this application, I declare, warrant and agree to/with the Company that::

- (a) I hereby request the Company to open a Securities Trading Account (the "Account") and provide safe-keeping facilities in relation to securities may be purchased and/or deposited in my Account from time to time for the purpose and intention of securities trading; I agree to notify you of any change to such purpose and intention.
- (b) I declare that I am not under 18 years of age or an undischarged bankrupt.
- (c) I have full capacity and authority to make this application and the information given herein in this application is true and correct and have not willfully withheld any material fact.
- (d) I agree to abide by all rules, regulations, customs, practices, notices, directives, advice or recommendations of the Singapore Exchange Securities Trading Limited and any relevant regulatory body as are in force which govern the purchase and sale of securities (whether in or outside Singapore) as may be applicable to me and my transactions.
- (e) I undertake to notify the Company in writing within thirty (30) days of any change in my particulars (including my tax status) and provide the Company with such information, documents or other evidence which may be required by the Company.
- (f) I further acknowledge that any failure on my part to provide accurate and timely documentation, including but not limited to date of birth, countries of citizenship, countries of permanent residence, countries of tax residence and associated tax payer identification numbers, may result in the Company having to deem my account as recalcitrant and/or reportable and take all necessary action against me in order for the Company to be compliant with all requirements under Foreign Account Tax Compliance Act ("FATCA"), Common Reporting Standard ("CRS"), local legislation in connection with FATCA and CRS, and any other provision arising out of an agreement between governments in relation to FATCA and CRS.
- (g) I am opening the Account(s) for my benefit and based on my judgment and did not rely on representation, warranty, views or information from the Company, its employees or its Trading Representatives. I am opening the Account(s) herein for myself and not on behalf of any other person or party, and I am the legal and beneficial owner of the account applied for.
- (h) All monies which will be paid to the Company originates from a legitimate source.
- (i) I am obliged under the provisions of the Companies Act (Cap 50) to disclose my substantial shareholdings in securities of Singapore incorporated issuers.
- (j) I acknowledge that I have received, read, fully understood and accepted the Terms & Conditions for Securities Trading including and not limited to Risk Disclosure Statement, Terms and Conditions for the Operation of Securities Trading Account, Terms and conditions for Electronic Services, Terms and Conditions for Electronic Payment Services, Guide & Cautionary Notes, Privacy Policy Statement, Personal Data Protection Notice and Terms and Conditions for the Operation of CFD Account, if applicable (collectively the "T&C").
- (k) I acknowledge that the prevailing Company's T&C is available at the Company's website and that a printed copy of the Company's T&C is available upon my request.
- (l) My submission of this application and the acceptance of this application by the Company in no way implies approval for the opening of the Account and that the Company reserves the unconditional right not to approve this application without giving any reasons whatsoever.

## 12. DECLARATION OF TAX COMPLIANCE

I hereby represent and declare that:

- (i) I shall be fully responsible for my own tax affairs and ensure that my Account(s) maintained with the Company are in compliance with all laws to which they are subject including, without limitation, all tax laws and regulations, exchange control requirements and registration requirements on funds and assets ("Tax Laws");
- (ii) Without detracting from the generality of (i) I confirm that any and all funds and assets placed and will place with the Company and any profit that may accrue from the use are placed shall be in full compliance with the Tax Laws of relevant jurisdiction where I am domiciled, resident or deemed resident in, employed, engaged in any business or trade of which I am citizen or permanent resident and/or which I am legally otherwise subject to;
- (iii) To the best of my knowledge and belief, I have not willfully committed and/or convicted of any serious tax;
- (iv) I shall be fully responsible for taking advice from a tax expert in the jurisdiction of my tax residence and the Company shall neither be responsible for nor provide any tax advice to me; and
- (v) I hereby agree and undertake to notify the Company and provide the relevant documents to the Company of any change in my personal information or circumstances including, without limitation, any material adverse change in my financial condition or any change in the ultimate beneficial ownership of my account, citizenship, residence, address and additional information which affects my tax position.

I hereby agree to indemnify the Company and its related companies or affiliates, shareholders, officers, directors, employees and assignees against and from any and all liability arising from the Company's reliance on the above declaration made by me.

## 13. ACKNOWLEDGEMENT & CONSENT TO USE PERSONAL DATA

I hereby authorise, agree the Company to:

- (i) collect, use, disclose, transfer, and process all my personal data (hereinafter referred to as "Personal Data") provided by me now or subsequently provided by me from time to time for the purposes listed below (the "Purposes"):
  - account opening and operations relating to my/our account with the Company;
  - to provide and/or update me with marketing, advertising and promotional information and/or materials relating to the investment products and/or services that the Company may be offering or managing, whether such products or services exist now or are created in the future;
  - to administer and/or manage the relationship between me and the Company;
  - to comply with the requirement of any relevant law or regulatory authority.
- (ii) send me marketing, advertising and promotional information and/or materials relating to investment products and/or services offered by the Company through the following modes of communication:
  - postal mail and/or electronic transmission to my/our email address; and
  - to my telephone contact number(s) by way of voice, text (SMS/MMS), fax, VOIP-based smart phone application such as Whatsapp, Viber, Wechat, etc.
- (ii) transfer my/our Personal Data to the Company's associated group companies, third party service providers and agents, whether in or outside of Singapore, for the Purposes stated above.

I understand that I am entitled to withdraw my/our consent for the collection, use and disclosure of my Personal Data at any point in time by notifying the Company's Data Protection Officer at [sgp.dpo@kgi.com](mailto:sgp.dpo@kgi.com). I have been advised and understand that my/our withdrawal of consent may cause the Company to be unable to provide me/us services which the Company may be contractually obliged to provide

For Office Use
Attended and witnessed by: Name: _____
Signature: _____
Date: _____

Signature of Applicant: \_\_\_\_\_ Date: \_\_\_\_\_

**TO BE COMPLETED BY TRADING REPRESENTATIVE (TR)**

**Type of Applicant**

- Walk-in Client, referred by \_\_\_\_\_
  Recommended by Client No. \_\_\_\_\_
  Roadshow
- Recommended by TR – No. of years known to TR \_\_\_\_\_ Relationship to TR \_\_\_\_\_
- Others, please specify \_\_\_\_\_
- Trade in EIP only
  Trading in foreign listed shares

Trading Representative Code and Name: \_\_\_\_\_

Trading Representative Signature: \_\_\_\_\_ Date: \_\_\_\_\_