



## UPDATE OF ACCOUNT PARTICULARS (CORPORATE/OTHER ENTITIES)

Please complete the form and provide Certified True Copies of any necessary supporting documents. Indicate No Changes where necessary.

1. ACCOUNT INFORMATION	Mandatory Field
<b>Name of Account Holder:</b> _____	
<b>Principal Business:</b> _____ <b>Trading Account No(s):</b> _____	
<b>Company Registration No.:</b> _____ <b>LEI Code:</b> _____	
2. UPDATE OF ADDRESS <input type="checkbox"/> No Changes	
<b>Registered Address</b>	
<b>Principal Place of Business</b> (if different from Registered Address) (Within 3 months of submission)	
* Please provide a copy of utility bill, telco bill, lease or bank statement	
<b>Mailing Address*</b> (If different from Registered Address/ Principal Place of Business) (Within 3 months of submission)	
* Please provide a copy of utility bill, telco bill, lease or bank statement	
Reason for using the mailing address: _____	
Relationship to the owner of the mailing address: _____	
3. UPDATE OF CONTACT NUMBER(S) AND EMAIL ADDRESS <input type="checkbox"/> No Changes	
<b>Office Telephone No.</b>	<b>Fax No.</b>
<b>Email Address</b>	
4. UPDATE OF ULTIMATE BENEFICIAL OWNER (Shareholding of 25% or more in the Company) (Supporting documents submitted must be certified true copy by KGI's Authorised Staff or an Executive Director of the Account Holder or a Notary Public) <input type="checkbox"/> No Changes	
<b>I/ We hereby certify &amp; confirm that the following individual(s) ultimately own(s) or has/ have effective control over the Account ("Beneficial Owners"). (Kindly attach list if necessary).</b> *Please provide supporting documents that reflect the latest shareholding structure, copies of the Identification documents and proof of address for the newly added Beneficial Owner(s) for verification purposes.	
Full Name As Per NRIC/ Passport	Identification Number
Nationality	Shareholdings
_____	_____
_____	_____
5. UPDATE OF TAX RESIDENT INFORMATION	Mandatory Field
(1) Entity Type (Please provide the account holder's status by ticking one of the following boxes)	
<input type="checkbox"/> (a) Financial Institution - Investment Entity	
<input type="checkbox"/> An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution	
Please indicate the name of all Controlling Person(s) of the account holder:	
<div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<div style="border: 1px solid black; height: 20px; width: 100%;"></div>
<div style="border: 1px solid black; height: 20px; width: 100%;"></div>	<div style="border: 1px solid black; height: 20px; width: 100%;"></div>
<i>Each Controlling Person is required to complete "Controlling Person Tax Residency Self-Certification Form", which is available upon request.</i>	
<input type="checkbox"/> Other Investment Entity	
<input type="checkbox"/> (b) Financial Institution - Depository Institution, Custodial Institution or Specified Insurance Company	
If you have ticked (a) or (b) above, please provide, if held, the account holder's Global Intermediary Identification Number ("GIIN") obtained for FATCA purposes. GIIN: _____	
<input type="checkbox"/> (c) Active NFE - a corporation the stock of which is regularly traded on an Established Securities Market or a corporation which is a Related Entity of such a corporation	
Please indicate the name of the Established Securities Market: _____	
Please indicate the name of the regularly traded corporation if you are a Related Entity of such a corporation: _____	

- ☐ (d) Active NFE - a government entity or central bank
- ☐ (e) Active NFE - an international organisation
- ☐ (f) Active NFE - other than (c)-(e) (for example a start-up NFE or a non-profit NFE)
- ☐ (g) Passive NFE

Please indicate the name of all Controlling Person(s) of the account holder:


Each Controlling Person is required to complete "Controlling Person Tax Residency Self-Certification Form", which is available upon request.

(2) 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 not tax resident in any country/jurisdiction (e.g., because it is fiscally transparent), please indicate that on line 1 in the table below and provide its place of effective management or jurisdiction in which its principal office is located.

If the account holder is a tax resident of Singapore, the TIN is the Unique Entity Number ("UEN"), 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).

	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 the entity is a US tax resident, please provide us with the completed and signed W-9 Form, which is available upon request or can be downloaded from the US Internal Revenue Service Forms: <https://www.irs.gov/forms-instruction>
- 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-/>
- Please note that it is an offense under applicable Singapore laws to knowingly provide false or misleading information regarding tax residency status and that such offense is punishable with a fine and/or imprisonment.

**6. UPDATE BOARD OF DIRECTORS/PRINCIPAL OFFICERS**

☐ No Changes

**Please tick accordingly:**

- ☐ Attached a copy of latest Information Print-Out issued by the Accounting and Corporate Regulatory Authority ("ACRA") and supporting documents\* (for Singapore Incorporated companies)
- ☐ Attached a copy of relevant document issued by or filed with the authority and supporting documents\* (for Foreign entities)
- ☐ Attached a copy of latest Certificate of Incumbency which is < 3 months old and supporting documents\*\* (for Tax Haven Incorporated Companies)

**Supporting documents refer to the identification documents of Directors, Company Secretary, Shareholders/Beneficial owners.**

\* Document to be certified true copy by KGI's Authorised Staff or an Executive Director of the Company or a Notary Public.

\*\* Document to be certified true copy by KGI's Authorised Staff or a Notary Public.

**7. OPTION FOR RECEIVING CONTRACT / STATEMENT (APPLICABLE FOR SECURITIES TRADING)****■ No Changes**

Account statements and contract notes will be sent electronically to your email address maintained with KGI for all your accounts with online trading or with a valid email address.

☐ We would like to opt-out of eStatements and receive paper-based statements and contract notes via mail.

**8. UPDATE OF AUTHORISED PERSON(S) TO ACT FOR THE COMPANY****■ No Changes****CERTIFIED TRUE EXTRACT OF RESOLUTIONS**

**We, the undersigned, hereby certify that in respect of the Account Holder specified herein (the "Account Holder"), the following Resolutions dated \_\_\_\_\_ have been duly passed by: -**

- ☐ (For corporation) the Board of Directors of the corporation in accordance with its memorandum and articles of association/charter/constitution.
- ☐ (For partnership, limited partnership ("LP") or limited liability partnership ("LLP")) the partners of the partnership/LP/LLP in accordance with its partnership/LP/LLP agreement.
- ☐ (For other entity \_\_\_\_\_ (please specify) the \_\_\_\_\_ (insert name of its management body) in accordance with \_\_\_\_\_ (insert name of its constitution).

**RESOLVED:** (please cross off those sections that require no update)

That any \* one / two of the following persons be and are hereby authorised to sign all other relevant agreement, terms and conditions and documents relating to the opening and maintenance of the Account(s) for and on behalf of the Applicant. **\*Please provide identification copy (ies) of newly added authorised persons for verification purposes.**

Name	NRIC/Passport No.	Designation	Residential Address	Tel. No.	Email Address	Signature

That any \* one / two of the following persons whose specimen signatures appear hereunder be and are hereby authorised to execute all documentation necessary to effect transfers and assignments and to give instructions on any and all matters relating to the settlement in connection with the Account(s). **\*Please provide identification copy (ies) of newly added authorised persons for verification purposes.**

Name	NRIC/Passport No.	Designation	Residential Address	Tel. No.	Email Address	Signature

That each of the following persons be and is hereby empowered to give instruction on any and all matters relating to trading in connection with the Account(s) on behalf of the Account Holder. ***\*Please provide identification copy (ies) of newly added authorised persons for verification purposes.***

Name	NRIC/Passport No	Tel. No.	Email Address	Signature

That each of the following persons be and is hereby authorised to receive all statements (in physical or electronic form) and/or notes in connection with the Account(s).

Name	Designation	Tel. No.	Email Address

[below is applicable for online trading only]

That each of the following persons be and is hereby empowered to receive the passwords, personal identification numbers or access numbers or codes and to perform online trading on behalf of the Account Holder.

Name	NRIC/Passport No.	Designation	Tel. No.	Email Address

We confirm that we shall ensure that there is no unauthorized use of the passwords, personal identification numbers or access numbers or codes and we will be fully responsible for all trades executed.

That a copy of these resolutions be certified as true and correct by either one (1) director (or the partner, trustee, or such person who has the authority to represent the Applicant) or the company secretary of the Applicant, and be communicated to KGISS as conducive evidence of the passing of the resolutions so certified to remain in full force until an amendment thereof is received by KGISS in writing.

CERTIFIED TRUE COPY

(affix company stamp, if any)

Chairman/Director/Company Secretary\*/\_\_\_\_\_\*\*

\_\_\_\_\_Date

*\*Delete as necessary*

*\*\*Insert appropriate designation (e.g., partner, trustee)*

## 9. CLIENT PROFILE DECLARATION FOR EXPERT INVESTOR/INSTITUTIONAL INVESTOR

Please ensure that the information provided are complete and accurate. Any incomplete or inaccurate information provided by you may affect the outcome of our assessment of whether you have the relevant knowledge and experience to deal in certain products.

### Expert Investor

☐ We confirm that we are an **Expert Investor** as defined in section 4A(1)(b) of the Securities and Futures Act (Cap. 289) (the "Act"), being:

*Please tick accordingly*

- ☐ a person whose business involves the acquisition and the disposal, or the holding, of capital markets products, whether as principal or agent;
- ☐ the Trustee of such trust as the Authority may prescribe, when acting in that capacity; or such other person as the Authority may prescribe.

### Institutional Investor

☐ We confirm that we are an Institutional Investor as defined in as defined in Section 4A(c) of the SFA, being:

*Please tick accordingly*

- ☐ the Government;
- ☐ a statutory board as may be prescribed by regulations made under section 341;
- ☐ an entity that is wholly and beneficially owned, whether directly or indirectly, by a central government of a country and whose principal activity is —
- (A) to manage its own funds;
- (B) to manage the funds of the central government of that country (which may include the reserves of that central government and any pension or provident fund of that country); or
- (C) to manage the funds (which may include the reserves of that central government and any pension or provident fund of that country) of another entity that is wholly and beneficially owned, whether directly or indirectly, by the central government of that country;
- ☐ any entity —
- (A) that is wholly and beneficially owned, whether directly or indirectly, by the central government of a country; and
- (B) whose funds are managed by an entity mentioned in sub-paragraph (iii);
- ☐ a central bank in a jurisdiction other than Singapore;
- ☐ a central government in a country other than Singapore;
- ☐ an agency (of a central government in a country other than Singapore) that is incorporated or established in a country other than Singapore;
- ☐ a multilateral agency, international organisation or supranational agency as may be prescribed by regulations made under section 341;
- ☐ a bank that is licensed under the Banking Act 1970;
- ☐ a merchant bank that is licensed under the Banking Act 1970;
- ☐ a finance company that is licensed under the Finance Companies Act 1967;
- ☐ a company or co-operative society that is licensed under the Insurance Act 1966 to carry on insurance business in Singapore;
- ☐ a company licensed under the Trust Companies Act 2005;
- ☐ a holder of a capital markets services licence;
- ☐ an approved exchange;
- ☐ a recognised market operator;
- ☐ an approved clearing house;
- ☐ a recognised clearing house;
- ☐ a licensed trade repository;
- ☐ a licensed foreign trade repository;
- ☐ an approved holding company;
- ☐ a Depository as defined in section 81SF;
- ☐ an entity or a trust formed or incorporated in a jurisdiction other than Singapore, which is regulated for the carrying on of any financial activity in that jurisdiction by a public authority of that jurisdiction that exercises a function that corresponds to a regulatory function of the Authority under this Act, the Banking Act 1970, the Finance Companies Act 1967, the Financial Services and Markets Act 2022, the Monetary Authority of Singapore Act 1970, the Insurance Act 1966, the Trust Companies Act 2005 or such other Act as may be prescribed by regulations made under section 341; [Act 18 of 2022 wef 28/04/2023]
- ☐ a pension fund, or collective investment scheme, whether constituted in Singapore or elsewhere;
- ☐ a person (other than an individual) who carries on the business of dealing in bonds with accredited investors or expert investors; the trustee of such trust as the Authority may prescribe, when acting in that capacity; or
- such other person as the Authority may prescribe. [4/2017; 1/2020]
- ☐ a designated market-maker;
- a corporation who
- a) carries on business to deal in designated products as a market-maker; and [S 667/2018 wef 08/10/2018]
- b) is approved as a designated market-maker by the Singapore Exchange Securities Trading Limited, in accordance with its business rule
- "designated products" means —
- a) exchange traded fund interests; or
- b) structured warrants,
- which have received approval in-principle for listing and quotation on, or are listed for quotation on, the Singapore Exchange Securities Trading Limited [S 667/2018 wef 08/10/2018]
- ☐ a headquarters company or Finance and Treasury Centre which carries on a class of business involving fund management, where such business has been approved as a qualifying service in relation to that headquarters company or Finance and Treasury Centre under section 43E(2)(a) or 43G(2)(a) of the Income Tax Act (Cap. 134);

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- ☐ a person who undertakes fund management activity (whether in Singapore or elsewhere) on behalf of not more than 30 qualified investors;
- ☐ a Service Company which carries on business as an agent of a member of Lloyd's;
- ☐ a corporation the entire share capital of which is owned by an institutional investor or by persons all of whom are institutional investors;
- ☐ a partnership (other than a limited liability partnership within the meaning of the Limited Liability Partnerships Act (Cap. 163A)) in which each partner is an institutional investor.

#### **Declaration**

We hereby agree, declare and warrant as follows:

- i. that for the purpose of the above declaration, we undertake to update you immediately and agree to provide supporting documents to the Company for verification purpose, upon request if the information provided herein, or otherwise in connection with the above declaration, is no longer true, correct or accurate in any respect in relation to all accounts we maintain with you;
- ii. that as long as we are any one of the abovementioned investor or until we have formally notified you otherwise in writing, We understand that we are not required to go through any assessment or review with the Company as to our knowledge or experience in Specified Investment Products (SIPs) and confirm that we will be solely responsible for determining the suitability for ourselves of any and all investment products, advice or recommendations and that we are solely liable for all financial and other consequences ensuing there from;
- iii. that the Company may rely on the declarations to be exempted from certain provisions of the SFA and the Financial Advisers Act ("FAA"), including without limitation the following sections of the FAA and SFA under their corresponding exemptions:
  - Section 34 of the FAA - Disclosure of product information, exempted under Regulation 33 of the FAR
  - Section 36 of the FAA - Reasonable basis for making investment, recommendation, exempted under regulation 34 of the FAR
  - Section 45 of the FAA - Disclosure of certain interests in securities, exempted under regulation 35 of the FAR.
  - Regulation 32B of the FAR - Exemption for advising institutional investor, related corporation, etc.
  - Section 274 and 275 of the SFA – Offer made to institutional investors and offer made to accredited investors and certain other persons (securities or securities-based derivatives contracts)
  - Section 304 and 305 of the SFA – Offer made to institutional investors and offer made to accredited investors and certain other persons (units in a collective investment scheme)
- iv. that our status as declared herein shall (and continue to) be valid, binding and legally effective on/in relation to us in all respects in relation to all accounts we now or hereafter shall open/maintain with you.
- v. We undertake to indemnify the Company (including its related entities, directors, shareholders, officers and employees) for any loss, claim or expenses (including legal costs) it sustains as a result of relying on the information provided.

#### **10. DECLARATION AND AGREEMENT**

- (i) We have the authority to make this update and we hereby authorize and consent to the update of the above information to all of our trading accounts ("Account") maintained with KGI.
- (ii) We declare that the information provided herein (including all supporting documentation furnished in connection herewith) is true, complete and correct and we have not withheld any material fact.
- (iii) We hereby represent and warrant that we have provided all documentation or other information to KGI for compliance 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.
- (iv) We undertake to notify KGI in writing within thirty (30) days of any change of the information herein (including our tax status) and provide KGI with such information, documents or other evidence which may be required in connection with such change.
- (v) We agree that the Account shall be governed by the KGI terms & conditions for trading ("T&C") as may be varied/amended or supplemented from time to time. We acknowledge that the prevailing KGI T&C is available on [www.kgiworld.sg](http://www.kgiworld.sg) and that a printed copy of the KGI T&C is available upon request.

**Kindly ensure that all necessary fields have been completed and indicate No Changes where necessary. Kindly also attach the latest Certified True Copy supporting documents along with this update of particulars form.**

\_\_\_\_\_  
Authorised Signatory

Name:

Designation:

Date: \_\_\_\_\_

Company's stamp:

\_\_\_\_\_  
Authorised Signatory

Name:

Designation:

Date: \_\_\_\_\_

FOR OFFICE USE ONLY  
Signature Witnessed / Verified by

\_\_\_\_\_  
Name & Signature

\_\_\_\_\_  
Date