

## ACCOUNT OPENING FORM (INDIVIDUAL OR JOINT)

### 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"/> REITs Leverage**	<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"/> Securities Borrowing & Lending ("SBL")**	N/A			

Please indicate if you are applying to invest/trade in Listed Specified Investment Products ("SIP")  Yes  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

\*\* Please sign the Margin Agreement and Memorandum of Deposit

### 2A. PERSONAL PARTICULARS *(Main Applicant)*

Full Name as in NRIC/Passport *(Please circle accordingly: Mr / Mrs / Ms / Madam / Dr)*

NRIC / Passport No.

Passport Expiry Date (dd/mm/yyyy) *(For foreign applicant)*

Nationality

Permanent Resident of Singapore *(For foreign applicant)*  Yes  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

Please tick:  Self-owned  Rented  Family's House  Mortgaged

Postal Code

Mailing Address *(if different from Residential Address) (Please provide a copy of the supporting document dated within the last 3 months)*

Postal Code

Reason for using the mailing address

Relationship with the owner of mailing address

### 3A. FINANCIAL INFORMATION *(Main Applicant)*

Name of Employer/ Last Employer

Employment Status *(Please tick):*  Self-employed  Employed  Retired  Unemployed

Address of Employer/ Last Employer

Postal Code

Occupation *(if retired/unemployed, please state last appointment held)*

Annual Income

- Less than S\$25,000   
  S\$25,001 to S\$50,000   
  S\$50,001 to S\$100,000   
  S\$100,001 to S\$150,000  
 S\$150,001 to S\$300,000   
  Above S\$300,000

Estimated Net worth *(refers to the net value of individual's assets such as shareholding & properties owned including cash after deduction of liabilities)*

- Less than S\$250,000   
  S\$250,001 to S\$1M   
  S\$1,000,001 to S\$2M   
  Above S\$2M

Source of Wealth

- Salary   
  Savings   
  CPF/ Pension   
  Business Income  
 Investment Income   
  Inheritance income   
  Others \_\_\_\_\_

Source of Fund Please indicate if it is the same as the source of wealth:

- Yes  No, please specify \_\_\_\_\_

**4A. ACCOUNT RELATIONSHIP INFORMATION (Main Applicant)**

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) or influence/control of any account held 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.

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 \_\_\_\_\_

**5A. DECLARATION OF GOODS & SERVICES TAX STATUS (APPLICABLE FOR FOREIGNER ONLY) (Main Applicant)**

Do you have your usual place of residence\* in Singapore?  Yes  No, please specify your usual place of residence: \_\_\_\_\_

\*An individual should just have one usual place of residence at any point in time. The "usual place of residence" of an individual should have the following attributes: 1) The individual stays in that country voluntarily and for a settled purpose, such as to pursue a course of study or due to employment; and 2) The individual's stay in that country has some degree of continuity, apart from temporary or occasional absence, such that it forms part of the regular and habitual pattern of his life. If an individual has a Singapore residential address, he shall be regarded as having usual place of residence in Singapore.

**6A. TAX RESIDENCY SELF-CERTIFICATION (Main Applicant)**

**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 resident 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).

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

- a. 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.
- b. 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.
- c. I understand 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. I hereby declare and confirm that the information given and the statements made herein are, to the best of my knowledge and belief, correct and complete.
- d. 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.

## 7A. POLITICALLY EXPOSED PERSONS ("PEP")<sup>^</sup> (*Main Applicant*)

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: <sup>^</sup>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.

**2B. PERSONAL PARTICULARS (Joint Applicant)**

Full Name as in NRIC/Passport (Please circle accordingly: Mr / Mrs / Ms / Madam / Dr)

NRIC / Passport No.

Passport Expiry Date (dd/mm/yyyy) (For foreign applicant)

Nationality

Permanent Resident of Singapore (For foreign applicant)  Yes  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

Please tick:  Self-owned  Rented  Family's House  Mortgaged

Postal Code

**3B. FINANCIAL INFORMATION (Joint Applicant)**

Name of Employer/ Last Employer

Employment Status (Please tick):  Self-employed  Employed  Retired  Unemployed

Address of Employer/ Last Employer

Postal Code

Occupation (if retired/unemployed, please state last appointment held)

Annual Income

 Less than S\$25,000 S\$25,001 to S\$50,000 S\$50,001 to S\$100,000 S\$100,001 to S\$150,000 S\$150,001 to S\$300,000 Above S\$300,000

Estimated Net worth (refers to the net value of individual's assets such as shareholding &amp; properties owned including cash after deduction of liabilities)

 Less than S\$250,000 S\$250,001 to S\$1M S\$1,000,001 to S\$2M Above S\$2M

Source of Wealth

 Salary Savings CPF/ Pension Business Income Investment Income Inheritance income Others

Source of Fund Please indicate if it is the same as the source of wealth:

 Yes  No, please specify \_\_\_\_\_**4B. ACCOUNT RELATIONSHIP INFORMATION (Joint Applicant)**

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) or influence/control of any account held 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.

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 \_\_\_\_\_

**5B. DECLARATION OF GOODS & SERVICES TAX STATUS (APPLICABLE FOR FOREIGNER ONLY) (Joint Applicant)**

Do you have your usual place of residence\* in Singapore?  Yes  No, please specify your usual place of residence: \_\_\_\_\_

\*An individual should just have one usual place of residence at any point in time. The "usual place of residence" of an individual should have the following attributes: 1) The individual stays in that country voluntarily and for a settled purpose, such as to pursue a course of study or due to employment; and 2) The individual's stay in that country has some degree of continuity, apart from temporary or occasional absence, such that it forms part of the regular and habitual pattern of his life. If an individual has a Singapore residential address, he shall be regarded as having usual place of residence in Singapore.

**6B. TAX RESIDENCY SELF-CERTIFICATION (Joint Applicant)****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).

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 understand 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. I hereby declare and confirm that 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.

**7B. POLITICALLY EXPOSED PERSONS (“PEP”)<sup>A</sup> (Joint Applicant)**

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: <sup>A</sup>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.

**8. JOINT APPLICANT’S RELATIONSHIP WITH MAIN APPLICANT (If applicable)**

Do you have any relationship with main applicant?

No  Yes, please state relationship, \_\_\_\_\_

## 9. 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. \_\_\_\_\_

## 10. 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)**

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

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

## 12. DECLARATION AND AGREEMENT

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

- (a) I/We 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/our Account from time to time for the purpose and intention of securities trading; I/we agree to notify you of any change to such purpose and intention.
- (b) I/We declare that I/we am/are are not under 18 years of age or an undischarged bankrupt.
- (c) I/We 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/We 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/us and my /our transactions.
- (e) I/We undertake to notify the Company in writing within thirty (30) days of any change in my/our particulars (including my/our tax status) and provide the Company with such information, documents or other evidence which may be required by the Company.
- (f) I/We further acknowledge that any failure on my/our 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/our account as recalcitrant and/or reportable and take all necessary action against me/us 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/We am/are opening the Account(s) for my/our benefit and based on my/our judgment and did not rely on representation, warranty, views or Information from the Company, its employees or its Trading Representatives. I/We am/are opening the Account(s) herein for myself/ourselves and not on behalf of any other person or party, and I/We am/are 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/We am/are obliged under the provisions of the Companies Act (Cap 50) to disclose my/our substantial shareholdings in securities of Singapore incorporated issuers.
- (j) I/We acknowledge that I/We 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/We 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/our request.
- (l) My/our 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.

### 13. DECLARATION OF TAX COMPLIANCE

I/We hereby represent and declare that:

- (i) I/We shall be fully responsible for my/our own tax affairs and ensure that my/our 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/We 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/We am/are domiciled, resident or deemed resident in, employed, engaged in any business or trade of which I/We am/are citizen or permanent resident and/or which I/We am/are legally otherwise subject to;
- (iii) To the best of my/our knowledge and belief, I/We have not willfully committed and/or convicted of any serious tax;
- (iv) I/We shall be fully responsible for taking advice from a tax expert in the jurisdiction of my/our tax residence and the Company shall neither be responsible for nor provide any tax advice to me; and
- (v) I/We hereby agree and undertake to promptly notify the Company and provide the relevant documents to the Company of any change in my/our personal information or circumstances including, without limitation, my/our citizenship, residence, address and additional information which affects my/our tax status, and any material adverse change in my/our financial condition or any change in the ultimate beneficial ownership of my/our account.

I/We 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 declarations made by me/us in this Application or my/our delay in informing the Company of any change in my/our tax status.

### 14. ACKNOWLEDGEMENT & CONSENT WITH RESPECT TO PERSONAL DATA

I/We hereby authorise and agree the Company to:

- (i) collect, use, disclose, transfer, and process all my/our personal data (hereinafter referred to as "Personal Data") provided by me/us now or subsequently provided by me/us 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/us 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/us and the Company;
  - to comply with the requirement of any relevant law or regulatory authority.
- (ii) send me/us 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/our telephone contact number(s) by way of voice, text (SMS/MMS), fax, VOIP-based smart phone application such as Whatsapp, Viber, Wechat, etc.
- (iii) 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/We understand that I/we am/are entitled to withdraw my/our consent for the collection, use and disclosure of my/our Personal Data at any point in time by notifying the Company's Data Protection Officer at DPO.fraser.sg@kgi.com . I/We 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 Main Applicant: \_\_\_\_\_ Date: \_\_\_\_\_

Signature of Joint 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: \_\_\_\_\_