



# **CLIENT APPLICATION FORM**

## **Corporate Account**

**UOB BULLION AND FUTURES LIMITED**

# UOB BULLION AND FUTURES LIMITED

(Company Registration Number: 197801465G)

## Application

### CORPORATE ACCOUNT

Particulars of Applicant(s)

ACCOUNT NO: \_\_\_\_\_

<b>Registered Name of Company (per Certificate of Incorporation or equivalent)</b>  <b>Please state the English translation of the Registered name if it is not in English:</b>  	
<b>Registration No.</b>	<b>Date of Incorporation</b>
<b>Nature of Business</b>	<b>Place of Incorporation</b>
<b>Telephone no.</b>	<b>Fax no.</b>
<b>Email (general correspondence):</b>  	
<b>Registered Address</b>     	
<b>Mailing Address</b> [            ] Same as Registered Address                      [            ] See below     	

## **ADDITIONAL INFORMATION FROM CORPORATE CLIENT**

Please confirm the following information:

(1) Please indicate the type of account (s) to be opened. You may tick more than one box.

☐ Hedge account for booking of our own trades

Please note that positions carried in a hedge account are strictly for hedge purposes only. Please obtain from us a copy of the Hedge Account Agreement for signing.

☐ Speculative account for booking of our own trades

The account opened is speculative in nature i.e. for booking trades which are speculative in nature i.e. where the account holder does not hold concurrent long and short positions. For this type of account, long and short positions are automatically offset against each other. All the trades are to be auto closed out.

☐ Omnibus account for booking of our customers' trades

The account opened is omnibus in nature i.e. it is used to carry positions belonging to a number of disclosed/undisclosed customers. Long positions are not automatically offset against short positions. Instructions must be given to close an existing position.

(2) Please list the ultimate Parent Company of this account holder.

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## **CORPORATE ACCOUNT**

### **Agreement and Declaration**

The Applicant hereby accepts, and agrees to be bound by, the terms and conditions set forth herein and in the Client Agreement of UOB Bullion and Futures Limited ("UOBF").

The Applicant hereby acknowledges and confirms that this Application shall be subject to the approval of, and acceptance by, UOBF of the same in its sole and absolute discretion and that UOBF shall be entitled to reject this Application in its sole and absolute discretion without having to give any reasons for such rejection.

Where this Application is sent from a jurisdiction other than Singapore, such Application will only be regarded as an Application from us on the terms above when actually received and reviewed by UOBF in Singapore and on the basis that UOBF's acceptance of our Application is to be and shall be deemed effective forthwith on acceptance of our Application by UOBF in Singapore and the corresponding opening of an Account for us in Singapore, and not only when such acceptance and opening of our Account are communicated to us.

### **EXECUTION FOR AND ON BEHALF OF THE APPLICANT: (BEING A CORPORATION)**

SIGNED: .....

SIGNED: .....

NAME: .....

NAME: .....

POSITION/TITLE: .....

POSITION/TITLE: .....

DATE: .....

DATE: .....

For and On Behalf of: \_\_\_\_\_

Duly authorised under its Resolution dated: \_\_\_\_\_

**Company Stamp:** \_\_\_\_\_

**RISK DISCLOSURE STATEMENT REQUIRED TO BE FURNISHED AND KEPT BY THE  
HOLDER OF A CAPITAL MARKETS SERVICES LICENCE TO TRADE IN FUTURES  
CONTRACTS OR LEVERAGED FOREIGN EXCHANGE CONTRACTS UNDER THE  
SFA**

(The references to "you" below are references to the Customer.)

**FORM 13**

**SECURITIES AND FUTURES ACT (Cap. 289)**

**SECURITIES AND FUTURES (LICENSING AND CONDUCT OF BUSINESS) REGULATIONS (Rg 10)**

**RISK DISCLOSURE STATEMENT REQUIRED TO BE FURNISHED UNDER REGULATION 47E(1) AND TO BE  
KEPT UNDER REGULATION 39(2)(c) BY THE HOLDER OF A CAPITAL MARKETS SERVICES LICENCE TO  
TRADE IN FUTURES CONTRACTS OR LEVERAGED FOREIGN EXCHANGE CONTRACTS**

1. This statement is provided to you in accordance with regulation 47E(1) of the Securities and Futures (Licensing and Conduct of Business) Regulations (Rg 10).
2. This statement does not disclose all the risks and other significant aspects of trading in futures, options and leveraged foreign exchange. In light of the risks, you should undertake such transactions only if you understand the nature of the contracts (and contractual relationships) into which you are entering and the extent of your exposure to the risks. Trading in futures, options and leveraged foreign exchange may not be suitable for many members of the public. You should carefully consider whether such trading is appropriate for you in the light of your experience, objectives, financial resources and other relevant circumstances. In considering whether to trade, you should be aware of the following:

**(a) Futures and Leveraged Foreign Exchange Trading**

**(i) *Effect of 'Leverage' or 'Gearing'***

Transactions in futures and leveraged foreign exchange carry a high degree of risk. The amount of initial margin is small relative to the value of the futures contract or leveraged foreign exchange transaction so that the transaction is highly 'leveraged' or 'geared'. A relatively small market movement will have a proportionately larger impact on the funds you have deposited or will have to deposit; this may work against you as well as for you. You may sustain a total loss of the initial margin funds and any additional funds deposited with the firm to maintain your position. If the market moves against your position or margin levels are increased, you may be called upon to pay substantial additional funds on short notice in order to maintain your position. If you fail to comply with a request for additional funds within the specified time, your position may be liquidated at a loss and you will be liable for any resulting deficit in your account.

**(ii) *Risk-Reducing Orders or Strategies***

The placing of certain orders (e.g. 'stop-loss' orders, where permitted under local law, or 'stop-limit' orders) which are intended to limit losses to certain amounts may not be effective because market conditions may make it impossible to execute such orders. At times, it is also difficult or impossible to liquidate a position without incurring substantial losses. Strategies using combinations of positions, such as 'spread' and 'straddle' positions may be as risky as taking simple 'long' or 'short' positions.

**(b) Options**

**(i) *Variable Degree of Risk***

Transactions in options carry a high degree of risk. Purchasers and sellers of options should familiarise themselves with the type of options (i.e. put or call) which they contemplate trading and the associated risks. You should calculate the extent to which the value of the options would have to increase for your position to become profitable, taking into account the premium paid and all transaction costs. The

purchaser of options may offset its position by trading in the market or exercise the options or allow the options to expire. The exercise of an option results either in a cash settlement or in the purchaser acquiring or delivering the underlying interest. If the option is on a futures contract or leveraged foreign exchange transaction, the purchaser will have to acquire a futures or leveraged foreign exchange position, as the case may be, with associated liabilities for margin (see the section on Futures and Leveraged Foreign Exchange Trading above). If the purchased options expire worthless, you will suffer a total loss of your investment which will consist of the option premium paid plus transaction costs. If you are contemplating purchasing deep-out-of-the-money options, you should be aware that, ordinarily, the chance of such options becoming profitable is remote.

Selling ('writing' or 'granting') an option generally entails considerably greater risk than purchasing options. Although the premium received by the seller is fixed, the seller may sustain a loss well in excess of the amount of premium received. The seller will be liable to deposit additional margin to maintain the position if the market moves unfavourably. The seller will also be exposed to the risk of the purchaser exercising the option and the seller will be obligated to either settle the option in cash or to acquire or deliver the underlying interest. If the option is on a futures contract or a leveraged foreign exchange transaction, the seller will acquire a futures or leveraged foreign exchange position, as the case may be, with associated liabilities for margin (see the section on Futures and Leveraged Foreign Exchange Trading above). If the option is 'covered' by the seller holding a corresponding position in the underlying futures contract, leveraged foreign exchange transaction or another option, the risk may be reduced. If the option is not covered, the risk of loss can be unlimited.

Certain exchanges in some jurisdictions permit deferred payment of the option premium, limiting the liability of the purchaser to margin payments not exceeding the amount of the premium. The purchaser is still subject to the risk of losing the premium and transaction costs. When the option is exercised or expires, the purchaser is responsible for any unpaid premium outstanding at that time.

**(c) Additional Risks Common to Futures, Options and Leveraged Foreign Exchange Trading**

**(i) *Terms and Conditions of Contracts***

You should ask the corporation with which you conduct your transactions for the terms and conditions of the specific futures contract, option or leveraged foreign exchange transaction which you are trading and the associated obligations (e.g. the circumstances under which you may become obligated to make or take delivery of the underlying interest of a futures contract or a leveraged foreign exchange transaction and, in respect of options, expiration dates and restrictions on the time for exercise). Under certain circumstances, the specifications of outstanding contracts (including the exercise price of an option) may be modified by the exchange or clearing house to reflect changes in the underlying interest.

**(ii) *Suspension or Restriction of Trading and Pricing Relationships***

Market conditions (e.g. illiquidity) or the operation of the rules of certain markets (e.g. the suspension of trading in any contract or contract month because of price limits or 'circuit breakers') may increase the risk of loss by making it difficult or impossible to effect transactions or liquidate/offset positions. If you have sold options, this may increase the risk of loss.

Further, normal pricing relationships between the underlying interest and the futures contract, and the underlying interest and the option may not exist. This can occur when, e.g., the futures contract underlying the option is subject to price limits while the option is not. The absence of an underlying reference price may make it difficult to judge 'fair' value.

**(iii) *Deposited Cash and Property***

You should familiarise yourself with the protection accorded to any money or other property which you deposit for domestic and foreign transactions, particularly in a firm's insolvency or bankruptcy. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property which had been specifically identifiable as your own will be protected in the same manner as cash for purposes of distribution in the event of a shortfall.

**(d) Commission and Other Charges**

Before you begin to trade, you should obtain a clear explanation of all commissions, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss.

**(e) Transactions in Other Jurisdictions**

Transactions on markets in other jurisdictions, including markets formally linked to a domestic market, may expose you to additional risk. Such markets may be subject to a rule which may offer different or diminished investor protection. Before you trade, you should enquire about any rules relevant to your particular transactions. Your local regulatory authority will be unable to compel the enforcement of the rules of the regulatory authorities or markets in other jurisdictions where your transactions have been effected. You should ask the firm with which you conduct your transactions for details about the types of redress available in both your home jurisdiction and other relevant jurisdictions before you start to trade.

**(f) Currency Risks**

The profit or loss in transactions in foreign currency-denominated futures and options contracts (whether they are traded in your own or another jurisdiction) will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

**(g) Trading Facilities**

Most open-outcry and electronic trading facilities are supported by computer-based component systems for the order-routing, execution, matching, registration or clearing of trades. As with all facilities and systems, they are vulnerable to temporary disruption or failure. Your ability to recover certain losses may be subject to limits on liability imposed by the one or more parties, namely the system provider, the market, the clearing house or member firms. Such limits may vary. You should ask the firm with which you conduct your transactions for details in this respect.

**(h) Electronic Trading**

Trading on an electronic trading system may differ not only from trading in an open-outcry market but also from trading on other electronic trading systems. If you undertake transactions on an electronic trading system, you will be exposed to risks associated with the system including the failure of hardware and software. The result of any system failure may be that your order is either not executed according to your instructions or not executed at all.

**(i) Off-Exchange Transactions**

In some jurisdictions, firms are permitted to effect off-exchange transactions. The firm with which you conduct your transactions may be acting as your counterparty to the transaction. It may be difficult or impossible to liquidate an existing position, to assess the value, to determine a fair price or to assess the exposure to risk. For these reasons, these transactions may involve increased risks. Off-exchange transactions may be less regulated or subject to a separate regulatory regime. Before you undertake such transactions, you should familiarise yourself with the applicable rules and attendant risks.

*Note:*

“Margin” means an amount of money, securities, property or other collateral, representing a part of the value of the contract or agreement to be entered into, which is deposited by the buyer or the seller of a futures contract or in a leveraged foreign exchange transaction to ensure performance of the terms of the futures contract or leveraged foreign exchange transaction.

## ACKNOWLEDGEMENT OF RECEIPT OF THIS RISK DISCLOSURE STATEMENT

This acknowledges that I /we have received a copy of the RISK DISCLOSURE STATEMENT and understand its contents.

Name of Customer(s) : \_\_\_\_\_

Signature of Authorised Signatory(ies) : \_\_\_\_\_

Name of Authorised Signatory(ies) : \_\_\_\_\_

Designation of Authorised Signatory(ies) : \_\_\_\_\_

Signature of witness : \_\_\_\_\_

Name of witness : \_\_\_\_\_

Designation of witness in the company : \_\_\_\_\_

Date : \_\_\_\_\_(DD/MM/YY)



**RISK DISCLOSURE STATEMENT REQUIRED TO BE FURNISHED BY A COMMODITY  
BROKER OR SPOT COMMODITY BROKER UNDER THE CTA**

(The references to "you" below are references to the Customer.)

**FORM 3**

**COMMODITY TRADING ACT (CHAPTER 48A)**

**COMMODITY TRADING REGULATIONS**

**RISK DISCLOSURE STATEMENT REQUIRED TO BE FURNISHED BY A COMMODITY BROKER OR SPOT  
COMMODITY BROKER**

1. This statement is provided to you in accordance with section 32 (1) of the Commodity Trading Act.
2. The intention of this statement is to inform you that the risk of loss in trading in commodity contracts and in spot commodity contracts can be substantial. You should therefore carefully consider whether such trading is suitable for you in light of your financial condition.
3. In considering whether to trade, you should be aware of the following:
  - (a) **Margin:** You may sustain a total loss of the initial margin and any additional margins that you deposit to establish a position or maintain positions in the commodity market or spot commodity market. If the market moves against your positions, you may be called upon to deposit a substantial amount of additional margins, on short notice, in order to maintain your positions. If you do not provide the required margins within the prescribed time, your positions may be liquidated at a loss, and you will be liable for any resulting deficit in your account.
  - (b) **Liquidation of position:** Under certain market conditions, you may find it difficult or impossible to liquidate a position.
  - (c) **Contingent orders:** Placing contingent orders, such as "stop-loss" or "stop-limit" order, will not necessarily limit your losses to the intended amounts, since market conditions may make it impossible to execute such orders.
  - (d) **"Spread" position:** A "spread" position may not be less risky than a simple "long" or "short" position.
  - (e) **Leverage:** The high degree of leverage that is often obtainable, trading in commodity contracts and spot commodity trading because of the small margin requirements can work against you as well as for you. The use of leverage can lead to large losses as well as gains.
  - (f) **Foreign markets and off-futures exchange transactions:** Funds placed with a commodity broker or spot commodity broker for the purpose of participating in foreign markets, such as New York Mercantile Exchange or Chicago Board of Trade transactions, may not enjoy the same level of protection as funds placed in commodity markets located in Singapore.
4. This brief statement cannot disclose all the risks and other significant aspects of the commodity market. You should therefore carefully study trading in commodity contracts and spot commodity trading before you trade.

## ACKNOWLEDGEMENT OF RECEIPT OF THIS RISK DISCLOSURE STATEMENT

This acknowledges that I /we have received a copy of the RISK DISCLOSURE STATEMENT and understand its contents.

Name of Customer(s) : \_\_\_\_\_

Signature of Authorised Signatory(ies) : \_\_\_\_\_

Name of Authorised Signatory(ies) : \_\_\_\_\_

Designation of Authorised Signatory(ies) : \_\_\_\_\_

Signature of witness : \_\_\_\_\_

Name of witness : \_\_\_\_\_

Designation of witness in the company : \_\_\_\_\_

Date : \_\_\_\_\_(DD/MM/YY)

**FOR NOTING BY US PERSONS ONLY**

**DIRECTIVE - REQUIREMENT FOR CLEARING MEMBERS CLEARING OTC COMMODITY CONTRACTS FOR U.S. PERSONS TO ISSUE DISCLOSURE STATEMENT**

The Singapore Exchange Derivatives Clearing Limited ("SGX-DC") is granted No-Action Relief from Commodity Exchange Act ("CEA") Sections 5b(a) and 4d(f)(1) (the "Relief"). The Relief permits SGX-DC to accept, clear, and carry new positions in OTC Commodity Contracts for Affected U.S. Persons on the condition that the Clearing Members issue a disclosure statement (the "**Disclosure Statement**") to inform all Affected U.S. Persons that these positions and related margin are not protected by U.S. Laws.

Pursuant to the Relief granted by the Commodity Futures Trading Commission (the "Commission") to SGX-DC, we, as a Clearing Member of SGX-DC, are required to furnish you with the following disclosures relating to your accounts, positions and property with us:

- (a) accounts holding customer positions in OTC Commodity Contracts and related customer property are not subject to Section 4d(f) of the CEA;
- (b) such positions and related property will not be subject to, and therefore will not receive the protections of, Subchapter IV of Chapter 7 of the U.S. Bankruptcy Code and Part 190 of the Commission's regulations; and
- (c) the treatment of the customer positions and related property in the event of an insolvency proceeding of SGX-DC or any of its Clearing Members will be subject to Singapore's laws.

**FOR NOTING BY US PERSONS ONLY**

**Notification Regarding Availability of National Futures Association  
Arbitration Program**

In connection with UOB Bullion and Futures Limited's receipt of exemptive relief under Commodity Futures Trading Commission Rule 30.10, UOB Bullion and Futures Limited has consented to participate in any National Futures Association ("NFA") arbitration program which offers a procedure for resolving customer disputes on the papers where such disputes involve representations or activities which respect to foreign futures and option transactions under Part 30 of the regulations under the Commodity Exchange Act.

UOB Bullion and Futures Limited is hereby notifying you as a customer resident in the United States of the availability of such a NFA arbitration program. For further information regarding such NFA arbitration program please visit the NFA's website at: <http://www.nfa.futures.org/NFA-arbitration-mediation/customers.HTML>.

Declaration of Investor Classification Form (Corporate Account)	
To:	<b>UOB Bullion &amp; Futures Ltd ("UOBBF")</b> <b>Attn: Credit Admin Unit</b>
Name of Company	: _____ ("the <b>Company</b> ")
Company registration number	: _____
We, the undersigned, hereby declare and confirm that the Company qualifies as (please state either Accredited Investor or Expert Investor or Institutional Investor): _____	
We undertake to inform UOBBF immediately if the Company ceases to qualify as an Accredited Investor / an Expert Investor / an Institutional Investor at any time.	
[Note: "Accredited Investor", "Expert Investor" and "Institutional Investor" are as defined in Section 4A of the Securities and Futures Act (Cap 289) of Singapore]	
If you have declared the Company as an <b>"Accredited Investor"</b> , please provide any one of the following documents as supporting:	
i) Latest audited financial statements; or ii) Where audited financial statements are not available, a balance sheet certified by the Chairman and Chief Financial Officer of the Company to be true and giving a fair view of the state of affairs of the corporation as of the date of the balance-sheet for the most recent past 12 months	
If you have declared the Company as an <b>"Expert Investor"</b> , please circle one or more of the following, whichever is applicable; and provide relevant supporting documents:	
i) The Company's business involves the acquisition and disposal, or the holding, of capital market products, whether as principal or agent; ii) The Company is prescribed as an 'Expert Investor' by the Monetary Authority of Singapore iii) The Company is the trustee of a trust as prescribed by the Monetary Authority of Singapore and is acting in that capacity	
If you have declared the Company as an <b>"Institutional Investor"</b> , please circle one or more of the following, whichever is applicable; and provide relevant supporting documents:	
The Company is:	
i) a bank that is licensed under the <a href="#">Banking Act (Cap. 19)</a> ; ii) a merchant bank that is approved as a financial institution under <a href="#">section 28 of the Monetary Authority of Singapore Act (Cap. 186)</a> ; iii) a finance company that is licensed under the <a href="#">Finance Companies Act (Cap. 108)</a> ; iv) a company or society registered under the <a href="#">Insurance Act (Cap. 142)</a> as an insurer; v) a company licensed under the <a href="#">Trust Companies Act 2005 (Act 11 of 2005)</a> ; vi) the Government; vii) a statutory body established under any Act; viii) a pension fund or collective investment scheme; ix) the holder of a capital markets services licence for (A) dealing in securities; (B) fund management; (C) providing custodial services for securities; (D) real estate investment trust management; (E) securities financing; or (F) trading in futures contracts;	

- x) a person (other than an individual) who carries on the business of dealing in bonds with accredited investors or expert investors;
- xi) the trustee of a trust as prescribed by the Monetary Authority of Singapore and is acting in that capacity; or
- xii) is prescribed as an 'Institutional Investor' by the Monetary Authority of Singapore

We confirm that all the information provided herein is true and accurate to the best of our knowledge as at this date.

Authorized signatories:

\_\_\_\_\_  
Name:  
Designation:  
Date:

\_\_\_\_\_  
Name:  
Designation:  
Date:

## Definitions

The term **Accredited Investor** shall have the meaning prescribed under section 4A(1)(a) of the SFA as set below:

- (i) an individual:
  - (A) whose net personal assets exceed in value \$2 million (or its equivalent in a foreign currency) or such other amount as the Authority may prescribe in place of the first amount; or
  - (B) whose income in the preceding 12 months is not less than \$300,000 (or its equivalent in a foreign currency) or such other amount as the Authority may prescribe in place of the first amount;
- (ii) a corporation with net assets exceeding \$10 million in value (or its equivalent in a foreign currency) or such other amount as the Authority may prescribe, in place of the first amount, as determined by:
  - (A) the most recent audited balance-sheet of the corporation; or
  - (B) where the corporation is not required to prepare audited accounts regularly, a balance-sheet of the corporation certified by the corporation as giving a true and fair view of the state of affairs of the corporation as of the date of the balance-sheet, which date shall be within the preceding 12 months;
- (iii) the trustee of such trust as the Authority may prescribe, when acting in that capacity; or
- (iv) such other person as the Authority may prescribe

The term **Expert Investor** shall have the meaning prescribed under section 4A(1)(b) of the SFA as set below:

- (i) a person whose business involves the acquisition and disposal, or the holding, of capital market products, whether as principal or agent;
- (ii) the trustee of such trust as the Authority may prescribe, when acting in that capacity; or
- (iii) such other person as the Authority may prescribe

The term **Institutional Investor** shall have the meaning prescribed under section 4A(1)(c) of the SFA as set below:

- (i) a bank that is licensed under the [Banking Act \(Cap. 19\)](#);
- (ii) a merchant bank that is approved as a financial institution under [section 28 of the Monetary Authority of Singapore Act \(Cap. 186\)](#);
- (iii) a finance company that is licensed under the [Finance Companies Act \(Cap. 108\)](#);
- (iv) a company or society registered under the [Insurance Act \(Cap. 142\)](#) as an insurer;
- (v) a company licensed under the [Trust Companies Act 2005 \(Act 11 of 2005\)](#);
- (vi) the Government;
- (vii) a statutory body established under any Act;
- (viii) a pension fund or collective investment scheme;
- (ix) the holder of a capital markets services licence for
  - (A) dealing in securities;
  - (B) fund management;
  - (C) providing custodial services for securities;
  - (D) real estate investment trust management;
  - (E) securities financing; or
  - (F) trading in futures contracts;
- (x) a person (other than an individual) who carries on the business of dealing in bonds with accredited investors or expert investors;
- (xi) the trustee of such trust as the Authority may prescribe, when acting in that capacity; or
- (xii) such other person as the Authority may prescribe.

## REGULATORY NOTIFICATION

### Exemptions from the Financial Advisers Act and Regulations

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Dear Customer,

As required under the Financial Advisers (Amendment) Regulations 2005, we wish to inform you that UOB Bullion and Futures Limited ("UOB BF") is exempted from complying with certain business conduct provisions contained in the Financial Advisers Act when providing financial advisory services to accredited, expert and overseas investors. In this context we notify you that effective immediately we have classified you as an accredited / expert / overseas investors\*. We will continue to classify you as an accredited / expert / overseas investors\* until such a time as you inform us of a change in your status or it becomes clear to us that you no longer qualify for such a classification. Please contact your respective trading representative if there are any changes to the above.

\*Please delete accordingly

Yours Sincerely,

UOB Bullion and Futures Limited

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#### **FINANCIAL ADVISERS ACT ("FAA") AND FINANCIAL ADVISERS REGULATIONS ("FAR") EXEMPTIONS DISCLOSURE**

The exemptions will only affect accredited investors, expert investors and overseas investors.

The FAR exempts financial advisers from complying strictly with certain sections of the FAA when dealing with accredited, expert or overseas investors. Please refer to the table herein for a summary of the sections and applicable exemptions for each class of investor.

**"Accredited Investor"** means

- (i) an individual
  - (A) whose net personal assets exceed in value \$2 million (or its equivalent in a foreign currency) or such other amount as the Authority may prescribe in place of the first amount; or
  - (B) whose income in the preceding 12 months is not less than \$300,000 (or its equivalent in a foreign currency) or such other amount as the Authority may prescribe in place of the first amount;
- (ii) a corporation with net assets exceeding \$10 million in value (or its equivalent in a foreign currency) or such other amount as the Authority may prescribe, in place of the first amount, as determined by
  - (A) the most recent audited balance-sheet of the corporation; or
  - (B) where the corporation is not required to prepare audited accounts regularly, a balance-sheet of the corporation certified by the corporation as giving a true and fair view of the state of affairs of the corporation as of the date of the balance-sheet, which date shall be within the preceding 12 months;
- (iii) the trustee of such trust as the Authority may prescribe, when acting in that capacity; or
- (iv) such other person as the Authority may prescribe;



**“Expert Investor”** means

- (i) a person whose business involves the acquisition and disposal, or the holding, of capital markets products, whether as principal or agent;
- (ii) the trustee of such trust as the Authority may prescribe, when acting in that capacity; or
- (iii) such other person as the Authority may prescribe;

**Overseas Investor** as set out under Regulation 36:

**Exemption for advising overseas investors**

- (1) any person outside Singapore who is
  - (a) an individual and
    - (i) not a citizen of Singapore;
    - (ii) not a permanent resident of Singapore; and
    - (iii) not wholly or partly dependent on a citizen or permanent resident of Singapore; or
  - (b) in any other case, a person with no commercial or physical presence in Singapore.

Sections in the Financial Advisers Act	Dealing with Accredited Investor	Dealing with Expert Investor	Dealing with Overseas Investor
<b>Section 25</b> Obligation to disclose product information to clients	Exempted	Exempted	Exempted
<b>Section 26</b> Statements made by financial advisers (“FA”)	-	-	Exempted
<b>Section 27</b> Recommendations by FA	Exempted	Exempted	Exempted
<b>Section 28</b> Receipt of client's money or property	-	-	Exempted
<b>Section 29</b> Obligation to furnish information to Authority	-	-	Exempted
<b>Section 32</b> Insurance broking premium accounts	-	-	Exempted
<b>Section 34</b> Representations by FA in relation to proposed contract of insurance	-	-	Exempted
<b>Section 36</b> FA to disclose certain interests in securities	Exempted	Exempted	Exempted

We acknowledge receipt of this FAA and FAR exemptions disclosure form.

For and on behalf of \_\_\_\_\_

.....  
Authorised Signatory/ies

Name :

Designation :

Date :

.....  
Authorised Signatory/ies

Name :

Designation :

Date :

**UOBF – Application Form**

V05072013

## CERTIFIED TRUE COPY OF RESOLUTION

I/We, the undersigned, hereby certify that in respect of the Applicant (as defined in the extract below), the following Resolutions dated \_\_\_\_\_ have been duly adopted and passed by:

- ☐ **where the Applicant is a corporation,**  
the Board of Directors of the corporation in accordance with its memorandum and articles of association/charter/constitution,
- ☐ **where the Applicant is a corporation acting as a trustee of the trust known as \_\_\_\_\_ (the "Trust"),**  
the Board of Directors of the corporation in accordance with its memorandum and articles of association/charter/constitution,
- ☐ **where the Applicant is a limited liability partnership ("LLP"),**  
the partners of the LLP in accordance with its LLP agreement,
- ☐ **where the Applicant is a partnership,**  
the partners of the partnership in accordance with its partnership agreement/deed,
- ☐ **where the Applicant is a society, association or club,**  
the duly authorised committee or body of the society, association or club in accordance with its rules, charter or constitution,

**which Resolutions are now in full force and effect.**

**"RESOLVED:**

### **Appointment of Brokers**

### **Accounts and Services**

1. That \_\_\_\_\_ (the "Applicant") be authorised to open any number of accounts of any type (each an "Account" and collectively "Accounts") with UOB Bullion and Futures Limited ("UOBF"), to use any of the services offered by UOBF from time to time (each a "Service" and collectively "Services") and to enter into trades and transactions with or through UOBF.
2. That it be and is hereby noted and resolved that the Applicant hereby accepts, and agrees to be bound by, the terms and conditions in UOBF's application form(s), UOBF's prevailing Client Agreement, any subsequent amendments to such Client Agreement as UOBF may make from time to time in accordance with the Client Agreement, and any and all other agreements relating to the provision of any Service.
3. That for the purpose of these Resolutions, the definitions "Accounts" and "Services" shall mean all Accounts and Services of the Applicant with UOBF including Accounts and Services existing as at the date hereof ("Existing Accounts and Existing Services").

### **Appointment and Authority of Approved Persons, Approved Dealers and Delegates**

4. **Approved Persons:** That the persons whose names are set out in Schedule 1 hereto be and are hereby appointed as "Approved Persons" with authority to take the following actions in accordance with the signing conditions set out in the Schedule 1 hereto, for and on behalf of and in the name of the Applicant:
  - (a) to open, operate and close any Account with UOBF;

- (b) to apply for and terminate the use of any of the Services with UOBF;
- (c) to agree to abide by the terms and conditions governing the Accounts and Services of UOBF, to accept and agree to all such specific terms and conditions, and to acknowledge and accept to all such risk disclosure statements, as UOBF may prescribe from time to time in respect of a specific Account or Service;
- (d) to appoint, add, remove and/or replace any person or persons (including themselves) as a person or persons authorised to operate the Accounts and/or utilise the Services, for and on behalf of the Applicant for the purposes of Resolution 5 below ("Approved Dealers") and to set and determine the mandate or authority of the Approved Dealers and to confirm their appointment and certify their specimen signatures and such other particulars as UOBF may require;
- (e) to appoint, add, remove and/or replace any person or persons as a person or persons delegated to utilise the Service provided by UOBF in relation to direct market access to one or more exchanges (including without limitation the Singapore Exchange Derivatives Trading Limited and the Singapore Exchange Securities Trading Limited) in which UOBF participates from time to time (the "DMA Services"), for and on behalf of the Applicant for the purposes of Resolution 6 ("Delegates") below;
- (f) to provide such security as may be required by UOBF in connection with the Accounts and/or Services, and to sign the security documents required by UOBF;
- (g) to give UOBF written instructions, consents or indemnities in connection with the Accounts and the Services; and
- (h) to sign any and all documentation required as may be required, necessary, appropriate, expedient or desirable to be executed to effect any of the above Resolutions (including, but not limited to, any documentation or confirmations relating to any trades, transactions, purchases and/or sales entered into with or through UOBF) or which is incidental to the matters authorised by these Resolutions generally (the "Documents").

5. **Approved Dealers:** That the person or persons whose names are set out in Schedule 2 hereto be and are hereby appointed as Approved Dealers with authority to perform the following acts and things for and on behalf of the Applicant, according to the signatory requirements and limits (if any) set out in Schedule 2 hereto or otherwise by the Approved Persons:

- (a) to operate the Accounts and/or to utilise the Services of which they are the Authorised Dealers;
- (b) to enter into trades and transactions with or through UOBF;
- (c) to authorise and request UOBF to purchase or sell for account of the Applicant, currencies, stocks, bonds, futures contracts, indices, rates, financial instruments, securities, commodities (including gold or other precious metals) or such other transactions as UOBF may from time to time permit to be carried out under any Account or Service; and
- (d) to deal and agree with UOBF on any of the matters set out in this Resolution 5 generally.

6. **Delegates:** That the person or persons whose names are set out in Schedule 3 hereto be and are hereby recognised as Delegates, with authority to perform the following acts and things for and on behalf of and in the name of the Applicant, according to the signatory requirements and limits (if any) set out in Schedule 3 hereto or otherwise by the Approved Persons, and provided that UOBF has granted written approval and confirmation of such recognition:

- (a) to utilise and operate the DMA Services; and
- (b) where the Delegate is a corporation, to appoint, add, remove and/or replace any person or persons as a person or persons authorised to utilise and operate the DMA Services, for and on behalf of the Delegate for the purposes of Resolution 7 ("Delegate's Authorised Persons") below.

7. **Delegate's Authorised Persons:** That the person or persons whose names are set out in Schedule 4 hereto be and are hereby recognised as Delegate's Authorised Persons, with authority to utilise and operate the DMA Services for and on behalf of and in the name of the Delegate, according to the signatory requirements and limits (if any) set out in Schedule 4 hereto or otherwise by the Delegates, provided that the Approved Persons have first granted written approval and confirmation of such recognition and communicated the same to UOBF, and provided further that UOBF shall have the overriding and absolute discretion to grant or refuse such recognition.
8. That UOBF be and is hereby authorised to act on any instruction from the Approved Persons, Approved Dealers, Delegates and/or Delegate's Authorised Persons and honour any instrument, document, or instruction given by them within the limits and scope of their authority.

#### **Change of Approved Persons, Approved Dealers, Delegates and/or Delegate's Authorised Persons**

9. **Change of Approved Persons:** That any amendment to the list of Approved Persons, their authority and/or their signing conditions shall only be made by amending resolutions duly passed by the Applicant, and communicated to UOBF who shall be given a reasonable period of time to effect the amendment.
10. **Change of Approved Dealers:** That any amendment to the list of Approved Dealers and their authority shall only be made by written notice given by the Approved Persons signing according to the signing conditions set out in Schedule 1 hereto and communicated to UOBF who shall be given a reasonable period of time to effect the amendment.
11. **Change of Delegates:** That any amendment to the list of Delegates shall only be made by written notice given by the Approved Persons signing according to the signing conditions set out in Schedule 1 hereto and communicated to UOBF, who shall have sole and absolute discretion to grant or refuse such amendment, and who shall also be given a reasonable period of time to affect the amendment in the event that UOBF chooses to grant the amendment.
12. **Change of Delegate's Authorised Persons:** That any amendment to the list of Delegate's Authorised Persons shall only be made by written notice given by the Delegates signing according to the signing conditions set out in Schedule 3 (if any) hereto and communicated to the Approved Persons, who shall decide to grant or refuse such amendment. The Approved Persons shall in turn communicate such amendment as they have granted to UOBF, who shall have the overriding and absolute discretion to grant or refuse such amendment, and who shall also be given a reasonable period of time to affect the amendment in the event that UOBF chooses to grant the amendment.

#### **Resolutions in Force and Reasonable Time for Amendment**

13. That UOBF may rely on these Resolutions and the instructions given by the Approved Persons, Approved Dealers, Delegates and Delegate's Authorised Persons under their respective authority until UOBF has received and accepted to be in order, written notice of amendment or revocation of their authority or of these Resolutions and has had a reasonable period of time to give effect to the notice. UOBF shall be entitled to a reasonable period of not less than seven (7) business days from receipt of notice to process the notice. Before UOBF has updated its record, UOBF may act in reliance on the mandates in force prior to receipt of the notice.

#### **Amending Resolution for Existing Accounts and Existing Services - Authority for Approved Persons**

14. That the authority conferred on the Approved Persons by these Resolutions may be exercised by the Approved Persons in respect of all Existing Accounts and Existing Services including the authority to

amend and revoke the mandate for any such Existing Accounts and Existing Services and until they are amended or revoked, the mandates for the Existing Accounts and Existing Services will remain in force.

#### **Provision of Constitutive Documents**

15. That UOBF be given a certified true copy of such constitutive documents in respect of the Applicant as UOBF may require.

#### **Certification of Approved Persons, Specimen Signatures, and Copies / Extracts of Resolutions:**

16. That as between the Applicant and UOBF:
- (a) where the Applicant is a corporation, any one Director and Company Secretary or any two Directors or such person(s) authorised under its memorandum and articles of association/charter/constitution,
  - (b) where the Applicant is a corporation acting as a trustee of the Trust, any one Director and Company Secretary or any two Directors or such person(s) authorised under the memorandum and articles of association/charter/constitution,
  - (c) where the Applicant is a LLP or a partnership, all its partners\* or such person(s) authorised under its LLP agreement or partnership agreement/deed,
  - (d) where the Applicant is a society, association, or a club, any two of its office bearers\*, be and are hereby authorised to certify to UOBF:
    - (i) the list of Approved Persons, their designation or title and their specimen signatures; and
    - (ii) a true copy or extract of any resolution passed by the Applicant (including these Resolutions) in connection with the Accounts and Services and such certification may be relied upon by UOBF as conclusive evidence of the passing of the resolutions so certified.
17. That any director / company secretary\* / office bearer / two partners / person having executive authority of the Applicant be and is hereby authorised to certify the constitutive documents of the Applicant and such certification may be relied upon by UOBF as conclusive evidence of the veracity of the constitutive documents.

#### **Ratification of Actions**

18. That any and all actions of the Applicant, or any director / partner, officer, Approved Person and/or Approved Dealer of the Applicant, taken in connection with the action(s) contemplated by the foregoing Resolutions prior to the execution hereof including, but not limited to, the entering into of any transactions of any description by the Applicant with or through UOBF and the execution and/or delivery of the Documents, be and are hereby ratified, confirmed, approved and adopted in all respects as fully as if such action(s) had been presented for approval, and approved by, the Board of Directors / partners / duly authorised committee or body prior to such action being taken."

#### **Legend**

# A reference to a "partner" shall be read to include any person who is an authorised representative of such partner.

+ A reference to an "office bearer" shall be read as a reference to a person who is the president, the secretary, the treasurer, of the committee or other governing body (or persons holding similar or equivalent positions) of an Applicant which is a society, an association, or a club.

**Schedule 1**  
**Approved Persons**

Applicant Name: \_\_\_\_\_

**Signing Conditions of Approved Person(s)**

- ☐ Singly ☐ Any two jointly
- ☐ Others (please specify, e.g.: "One A and One B OR One A and One C OR Two Bs"):

\_\_\_\_\_

No	Particulars of Approved Person(s)	Group (A, B or C)	Please sign within the boxes below
1.	Name: NRIC/Passport No.: Designation/Title:		
2.	Name: NRIC/Passport No.: Designation/Title:		
3.	Name: NRIC/Passport No.: Designation/Title:		
4.	Name: NRIC/Passport No.: Designation/Title:		
5.	Name: NRIC/Passport No.: Designation/Title:		

**Schedule 2**  
**Approved Dealers**

Applicant Name: \_\_\_\_\_

No.	Particulars of Approved Dealer(s)	Please sign within the boxes below
1.	Name: NRIC/Passport No.: Designation/Title:	
2.	Name: NRIC/Passport No.: Designation/Title:	
3.	Name: NRIC/Passport No.: Designation/Title:	
4.	Name: NRIC/Passport No.: Designation/Title:	
5.	Name: NRIC/Passport No.: Designation/Title:	

**Schedule 3**  
**Delegates**

Applicant Name: \_\_\_\_\_

**List of Delegate(s)**

<b>No.</b>	<b>Full Name of Delegate</b>	<b>NRIC/Passport No. (for individuals) / Unique Entity No. or Registration No. (for corporations)</b>	<b>Please sign within the boxes below (for individuals) / Provide Company chop and list of Authorised Persons in Schedule 4 (for corporations)</b>
1.			
2.			
3.			
4.			
5.			



**Schedule 4**  
**Delegate's Authorised Persons**

Applicant Name: \_\_\_\_\_

Delegate Name: \_\_\_\_\_

No.	Particulars of Delegate's Authorised Persons	Please sign within the boxes below
1.	Name: NRIC/Passport No.: Designation/Title:	
2.	Name: NRIC/Passport No.: Designation/Title:	
3.	Name: NRIC/Passport No.: Designation/Title:	
4.	Name: NRIC/Passport No.: Designation/Title:	
5.	Name: NRIC/Passport No.: Designation/Title:	

Certified this \_\_\_\_\_ day of \_\_\_\_\_ by the following persons for and on behalf of the Applicant\*:

\_\_\_\_\_  
Name:  
NRIC/Passport No.:  
Designation:

\_\_\_\_\_  
Name:  
NRIC/Passport No.:  
Designation:

\_\_\_\_\_  
Name:  
NRIC/Passport No.:  
Designation:

\_\_\_\_\_  
Name:  
NRIC/Passport No.:  
Designation:

**Company Stamp:** \_\_\_\_\_

\*If there is more than one Applicant, all joint applicants to sign or if the Applicant is a partnership / limited partnership / limited liability partnership, all partners to sign.

## **DELIVERY OF STATEMENTS VIA ELECTRONIC MAIL**

Electronic delivery of customer confirmation statements benefits both customers and members of the Singapore Exchange Derivatives Trading Ltd (SGX-DT), by providing for a more expeditious receipt of such statements. SGX-DT has allowed members to comply with the requirements of SGX-DT Rule 3.3.9 by delivering such statements to customers electronically.

Please sign below to confirm your request to receive your Daily Activity Statements and Monthly Activity Statements by electronic mail or in addition to receiving hard copies. You may revoke your consent by giving us at least one week's prior notice in writing.

Any Daily Activity Statements and Monthly Activity Statements given to you addressed to the email address specified below shall be effective when transmitted and you shall accept all risk of non-delivery, late/delayed delivery and/or misdelivery associated with electronic mailing.

For the purposes of compliance with the SGX-DT Rule 3.3.9 of the Singapore Exchange Derivatives Trading Ltd, the electronic delivery of the Daily Activity Statements and Monthly Activity Statements, is in lieu of the distribution of the hard copy of the customer statements and fully discharges our duty under the said rule.

Any Daily Activity Statements and Monthly Activity Statements distributed in the above manner remain subject to our Standard Terms & Conditions which you have agreed to, and is to be regarded as statements or confirmation as indicated therein.

---

### **AGREEMENT**

I/We hereby request you to send my/our Daily Activity Statements and Monthly Activity Statements via

☐ Electronic Mail ONLY

☐ Hard Copy AND Electronic Mail

Signature of Customer(s) : \_\_\_\_\_

Name of Customer(s) : \_\_\_\_\_

E-Mail Address : \_\_\_\_\_

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

**UOB BULLION & FUTURES LIMITED  
CORPORATE ACCOUNT**



**INVESTMENT PROFILE AND ASSESSMENT (Understanding Your Investment Profile and Risk Evaluation)**

**PART A : To be completed by Applicant (PLEASE PRINT CLEARLY)**

**Name of Applicant**

(The name should be the same as that in the Certificate of Incorporation)

**1 Is your company public-listed or owned?** YES / NO \*  
If yes, please state the stock exchange it is listed

**2 State the countries with which your company has biz dealings**

**3 Names and locations of your top five major customers.**

**4 Names and locations of your top five major suppliers.**

**5 Name of person (s) managing your company**

**6 What is your company's investment objectives and risk appetite? (Please tick one)**

(a) We do not want to risk our initial investment and are uncomfortable even with short term fluctuations ☐

(b) We are willing to take a large amount of investment risk including possible loss which may be over and above the initial investment made in exchange for higher potential capital gains ☐

**7 Source of funds**

Please state source of funds for your margin deposit. You may indicate more than one source (e.g. Business Proceeds / Services Rendered / Commission or contract fee/ Return on Investments/ Others) (Note: Other bank is NOT considered as a source of funds)

**8 Country of origin of funds:**

**9 (a) Does any of your directors / shareholders / authorised traders or related companies or parent company maintain Margin Trading Accounts with us?** YES/ NO \*  
If yes, please list their names below:

**(b) Does your company or any of your related companies including parent company maintain any business relationship (e.g. current, fixed deposit a/c, credit facilities etc) with any of the UOB group of companies including our overseas offices?** YES/ NO \*  
(If yes, please state the UOB entity, the Relationship Manager and type of accounts or banking facilities)

**(c) Have you entered into any agreement / arrangement with any other person(s) to enter into trading positions as if such positions were held by you?** YES/ NO \*  
If yes, please provide details of the agreement / arrangement and the name(s) of the person(s).

**10 Is any of the company's beneficial owners, directors or authorised signatories (including their spouses) holding any senior positions in the Government, Military or Publicly-owned Companies or Entities (including Charitable Organisations, Societies or Associations)?**

If yes, please state: YES / NO \*

(a) Name of person

(b) Name of Government / Military / Organisation \*

(c) Position held / Rank

Authorised Signatory (s) / Date

Name & Designation:

For and on behalf of :

\* Please circle the appropriate

Name of Applicant \_\_\_\_\_

**11 PARTICULARS OF BENEFICIAL OWNERS (INCLUDE PARTNERS / SOLE PROPRIETOR OF COMPANY / FIRM)**

(a) Please furnish details in the boxes provided in this section. You may furnish us with an appendix showing the information as stated below if there are more than 4 Beneficial Owners.

(b) Please enclose a copy of your group structure stating shareholdings.

<b>Beneficial Owner/ Settler / Trustee *</b>	
Name	_____
Date of Birth	_____
ID/PP No	_____
Nationality	_____
% Shareholding	_____
Telephone No	_____
Registered Address	_____
Do you have any immediate family members working with us?	
<b>YES / NO *</b>	
If yes, please furnish name of family members:	

<b>Beneficial Owner/ Settler / Trustee *</b>	
Name	_____
Date of Birth	_____
ID/PP No	_____
Nationality	_____
% Shareholding	_____
Telephone No	_____
Registered Address	_____
Do you have any immediate family members working with us?	
<b>YES / NO *</b>	
If yes, please furnish name of family members:	

<b>Beneficial Owner/ Settler / Trustee *</b>	
Name	_____
Date of Birth	_____
ID/PP No	_____
Nationality	_____
% Shareholding	_____
Telephone No	_____
Registered Address	_____
Do you have any immediate family members working with us?	
<b>YES / NO *</b>	
If yes, please furnish name of family members:	

<b>Beneficial Owner/ Settler / Trustee *</b>	
Name	_____
Date of Birth	_____
ID/PP No	_____
Nationality	_____
% Shareholding	_____
Telephone No	_____
Registered Address	_____
Do you have any immediate family members working with us?	
<b>YES / NO *</b>	
If yes, please furnish name of family members:	

(Immediate family include spouse, children, adopted children, step children, parents, step parents, siblings and step siblings)

For Fiduciary Account<sup>#</sup> or if the Entity has complex or multi-tiered ownership arrangement or involves nominees shareholdings or offshore/local trust structures, please answer the following and attach supporting documents:

(<sup>#</sup> e.g. Bearer Share, Trust [exclude Client Omnibus Accounts], Nominee, or any other fiduciary accounts)

i. Why was the structure put in place?

\_\_\_\_\_

ii. What is the relationship between the different tiers of owners?

\_\_\_\_\_

iii. Who are the ultimate Beneficial Owner (s) / Settler (s) / Trustee (s) of the Entity?

\_\_\_\_\_

iv. Other Comments

\_\_\_\_\_

\_\_\_\_\_  
Authorised Signatory (s) / Date

Name & Designation: \_\_\_\_\_

For and on behalf of : \_\_\_\_\_

\* Please circle the appropriate

Name of Applicant \_\_\_\_\_

**12 PARTICULARS OF DIRECTORS / CHAIRPERSON (FOR COMPANIES INCORPORATED OUTSIDE SINGAPORE)**

(You may furnish us with an appendix showing the information as stated below if there are more than 4 Directors.)

**Chairperson**

Name \_\_\_\_\_

Date of Birth \_\_\_\_\_

ID/PP No \_\_\_\_\_

Nationality \_\_\_\_\_

Telephone No \_\_\_\_\_

Registered Address \_\_\_\_\_

**Director**

Name \_\_\_\_\_

Date of Birth \_\_\_\_\_

ID/PP No \_\_\_\_\_

Nationality \_\_\_\_\_

Telephone No \_\_\_\_\_

Registered Address \_\_\_\_\_

**Director**

Name \_\_\_\_\_

Date of Birth \_\_\_\_\_

ID/PP No \_\_\_\_\_

Nationality \_\_\_\_\_

Telephone No \_\_\_\_\_

Registered Address \_\_\_\_\_

**Director**

Name \_\_\_\_\_

Date of Birth \_\_\_\_\_

ID/PP No \_\_\_\_\_

Nationality \_\_\_\_\_

Telephone No \_\_\_\_\_

Registered Address \_\_\_\_\_

**13 Declaration**

We declare to the best of my knowledge and belief that the information given above is true in every respect.

\_\_\_\_\_  
Authorised Signatory (s) / Date

Name & Designation: \_\_\_\_\_

For and on behalf of : \_\_\_\_\_

\* Please circle the appropriate

List of documents required to open Corporate Trading Account with UOB Bullion & Futures Ltd

(A) For all Company Account :

- (1) \* Certified Copy of Certificate of Incorporation
- (2) \* Certified Copy of Memorandum & Articles of Association [公司章程]
- (3) \* Certified Copy of the Audited / Financial statement for the past three years [財務報表]
- (4) \* Certified Copy of Company Search (Independent search by an agency showing the list of shareholders, directors of the company. For Singapore incorporated companies, this is usually done through Biznet or Questnet)
- (5) \* Certified Copy of Passport / NRIC [護照副本] & Address proof of all the Authorised Signatories, Beneficial Persons, Shareholders and Directors

(B) For Tax Haven Company account : (BVI, Cayman, Marshall Islands etc)

In addition to the above document under (A):

- (1) \* Certified Copy of Subscriber's Resolution appointing 1st Director if current director is the 1st director
- (2) \* Certified Copy of Certificate of Good Standing [聲譽證書] within last 6 months
- (3) \* Certified Copy of Share Certificate (Bearer Cert is not acceptable) [股票證書]
- (4) \* Certified Copy of Company Search (done by Portcullis, OIL or Insinger Beaufort ) within last 6 months
- (5) \* Certified Copy of Register of Directors [董事登記]
- (6) \* Certified Copy of Register of Shareholder [股東登記]
- (7) Letter of Consent to act as Director
- (8) \* Certified Copy of Certificate of Incumbency [在職期間證書] within last 6 months

(C) For Company incorporated in Japan:

In addition to the above document under (A):

- (1) \* Certified Copy of Seal Certificate -- (Inkan Shomei)
- (2) \* Certified Copy of Company Registration --- (Tokibo Tohon/ Rireki Jiko Zenbu Shomeisho)

(D) For Company incorporated in Hong Kong:

In addition to the above document under (A):

- (1) \* Certified Copy of Business Registration Certificate
- (2) \* Certified Copy of Form D of the Companies Ordinance
- (3) \* Certified Copy of Form AR1 (annual return)

(E) For Company incorporated in Malaysia:

In addition to the above document under (A)

- (1) \* Certified Copy of Form 49 & Form 24 ( Standard Govt Forms - shows details of office bearers/directors/shareholders)
- (2) \* Certified Copy of Certificate of Registration

(F) For Company incorporated in Thailand:

In addition to the above document under (A)

- (1) \* Certified Copy of Company Licence (if applicable)
- (2) \* Certified Copy of Company Shareholders List (If company search is not available)

To take note that M&AA is known as หนังสือขอประกอบนิติ

Certificate of Incorporation is known as Company Affidavit (หนังสือรับรองจากกระทรวงพาณิชย์)

(G) For Company acts as a broker to clients:

In addition to the above documents under (A)

- (1) \* Certified Copy of Licence for Futures Trading or Leveraged Foreign Exchange Trading

\*Qualified persons include lawyer, notary public, chartered accountant, member of judiciary, Embassy, Consulate or High Commission of the country of issue of the documentary evidence of identity. Company Secretary or Director of the customer (for customers who are not individuals)