

**APPLICATION FOR OPENING OF TRADING ACCOUNT (INDIVIDUAL / JOINT)**

**IMPORTANT NOTE**

(1) The fields marked with # can be omitted if there are no changes to the information last furnished to Kim Eng Securities Pte. Ltd. (KES).  
 (2) A photocopy of identity card (for Singaporean and Malaysian) / Passport (for other foreigners) must be attached to this application form.

**1 APPLICATION AND ACCOUNT TYPE**

Type of Account(s) / Service(s) *	Internet Trading*	Relevant Terms and Conditions	Account No. (For Official Use Only)
<input type="checkbox"/> Cash Trading Account	<input type="checkbox"/> Yes	Part I & Part V	
<input type="checkbox"/> Margin Account	<input type="checkbox"/> Yes	Part I, Part III & Part V	
<input type="checkbox"/> Contracts for Differences	<input type="checkbox"/> Yes	Part I & Part II	
<input type="checkbox"/> Marginable Futures Contracts		Part I & Part IV	
<input type="checkbox"/> Custodian Depository		Part I	

\*By selecting the services and signing on the respective sections, the client agrees to the relevant Terms and Conditions applicable to the services.

**2 PERSONAL PARTICULARS OF ACCOUNT APPLICANT**

Full Name (As in NRIC/Passport) (Please underline surname) Mr/Mrs/Ms/Mdm/Dr**		NRIC/Passport No.	Date of Birth (DD/MM/YY)
Residential / Permanent Address (P.O. Box No. not permitted. For non-Singapore citizen & non-Singapore PR, please state home country address.)		Nationality	Singapore Permanent Resident <input type="checkbox"/> Yes <input type="checkbox"/> No
Mailing Address (If different from above)		Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	Marital Status# <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others
Home Tel No.		Mobile No.	Office Tel No.
Occupation (if retired, state last position held) #		Email Address	
Name of Employer (If unemployed/retired, state last employer) #		Occupation (if retired, state last position held) #	
Employer Address #		Gross Annual Income Level # <input type="checkbox"/> Under \$30,000 <input type="checkbox"/> \$30,001 - \$50,000 <input type="checkbox"/> \$50,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$300,000 <input type="checkbox"/> Above \$300,000	
Spouse Name:		Source of Funds # <input type="checkbox"/> Salary <input type="checkbox"/> Commission <input type="checkbox"/> Gift/Investment Return <input type="checkbox"/> Own Business <input type="checkbox"/> Others	
Spouse NRIC/Passport No:		For Cash A/C Only CPF AIS: <input type="checkbox"/> DBS <input type="checkbox"/> OCBC <input type="checkbox"/> UOB A/c No.: _____	
Spouse Nationality:		SRS Agent bank: <input type="checkbox"/> DBS <input type="checkbox"/> OCBC <input type="checkbox"/> UOB A/c No.: _____	

Are you related to any director, employee or remisier of Kim Eng Securities Pte. Ltd.?  No  Yes (If yes, please state name of employee and relationship)

Do you have any existing account(s) with other broking firms?  No  Yes (If yes, please name the firms (1) \_\_\_\_\_ (2) \_\_\_\_\_ (3) \_\_\_\_\_)

**3 PERSONAL PARTICULARS OF JOINT APPLICANT, IF ANY**

Full Name (As in NRIC/Passport) (Please underline surname) Mr/Mrs/Ms/Mdm/Dr		NRIC/Passport No.	Date of Birth (DD/MM/YY)
Residential / Permanent Address (P.O. Box No. not permitted. For non-Singapore citizen & non-Singapore PR, please state home country address.)		Nationality	Singapore Permanent Resident <input type="checkbox"/> Yes <input type="checkbox"/> No
Relationship with Main Account Applicant		Gender <input type="checkbox"/> Male <input type="checkbox"/> Female	Marital Status# <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others
Home Tel No.		Mobile No.	Office Tel No.
Name of Employer (If unemployed/retired, state last employer) #		Email Address	
Employer Address #		Occupation (if retired, state last position held) #	
		Gross Annual Income Level # <input type="checkbox"/> Under \$30,000 <input type="checkbox"/> \$30,001 - \$50,000 <input type="checkbox"/> \$50,001 - \$100,000 <input type="checkbox"/> \$100,001 - \$300,000 <input type="checkbox"/> Above \$300,000	
		Source of Funds # <input type="checkbox"/> Salary <input type="checkbox"/> Commission <input type="checkbox"/> Own Business <input type="checkbox"/> Gift/Investment Return <input type="checkbox"/> Others	

Are you related to any director, employee or remisier of Kim Eng Securities Pte. Ltd.?  No  Yes (If yes, please state name of employee and relationship)

Do you have any existing account(s) with other broking firms?  No  Yes (If yes, please name the firms (1) \_\_\_\_\_ (2) \_\_\_\_\_ (3) \_\_\_\_\_)

**4 CONTRACTS FOR DIFFERENCES**

Type of Markets (Electronic Direct Market Access) \*\*\*

Australia Market     Korea Market     Hong Kong Market  
 Taiwan Market     Japan Market     Others: \_\_\_\_\_

(\*\*\* There is a cost attached to accessing these markets electronically. However, the markets are available to applicant(s) offline.)

By signing this Application and in consideration of opening a **KE Contracts For Differences ("CFD") Account** in the name of the applicant(s) herein as indicated in this Application, the applicant(s) hereby declare(s), warrant(s) and agree(s) that:-

a. I/We have received, read, understood and agreed to the KIM ENG SECURITIES PTE. LTD. TERMS AND CONDITIONS ("KES T&C") as supplemented or amended from time to time, the Risk Disclosure Statement ("RDS") and all other documents annexed hereto, all of which shall be read with, referred to, and construed as part of the KES T&C, and that I/we have taken independent legal advice to resolve any doubts that I/we may have in relation to the KES T&C. All terms that are used but not defined in this Application will bear the meanings set out in the KES T&C (as supplemented or amended from time to time). I/We understand that the RDS is not a substitute for taking independent advice, and that no transaction will be entered into in reliance on any statement, advice or information provided by KES or its trading representatives/dealers.

b. I/We understand that the acceptance of this application by KES does not imply an approval for the CFDs facility and that KES has every right to reject my/our application without assigning any reason whatsoever.

c. Where there is more than one person constituting the applicant(s), each of them shall be jointly and severally liable with the other(s) to KES. I/We agree that by nominating an additional market, I/we will be liable for any fees or charges.

d. I/We am/are making the application herein for myself /ourselves, and not on behalf of any other person or party; and I/we am/are the legal and the beneficial owner of the account applied for.

e. I/We are aware that KES' trading representatives may be operating from outside KES' office premises as provided in Clause 1.5 (h) of PART I GENERAL TERMS AND CONDITIONS of the KES T&C. I/We understand that there might be limitations that might affect customer service and there is the risk of possible delay in trade processing, outages and unauthorised trading. I/We agree to place trade orders only with the trading representatives concerned, and I/we shall be responsible for monitoring my/our accounts for any unauthorised trading and direct all complaints if any, to KES for investigation.

Signature of Account Applicant \_\_\_\_\_ Date \_\_\_\_\_

I/We have received, read, understood and agree to be bound by and comply with **APPENDIX III. CONSENT TO RECEIVE STATEMENTS BY ELECTRONIC MAIL** of KES T&C.

Signature of Account Applicant \_\_\_\_\_ Signature of Joint Applicant, if any \_\_\_\_\_

Date \_\_\_\_\_ Date \_\_\_\_\_

With reference to my/our CFD Account, I/we hereby authorise \_\_\_\_\_ (Name of Trading Representative) (NRIC No. \_\_\_\_\_) (my/our "Attorney") to act on my/our behalf and as my/our acts and deeds to do the things stated in **APPENDIX II. LETTER OF AUTHORISATION FOR CFD ACCOUNT** of KES T & C and agree to the terms and conditions of the letter.

Signature of Account Applicant \_\_\_\_\_ Signature of Joint Applicant, if any \_\_\_\_\_

Date \_\_\_\_\_ Date \_\_\_\_\_

(For Joint Account Holders)  
 f. We request KES to open a joint CFD trading account in our joint names to be operated by \_\_\_\_\_/either one/both of us\*\*]. For the avoidance of doubt, any instructions (including trading and settlement instructions), authorization, request, act, admission, agreement or settlement of whatever nature in respect of the operation of the joint account or any transaction thereunder given by \_\_\_\_\_/either one of us\*\*] shall be binding on the other joint account holder and KES may act on the same.

g. We agree that KES may in its absolute discretion impose such terms and conditions, restrictions or limits as KES shall deem fit in the operation of our joint account and our respective individual trading or other accounts with KES including the monitoring of our aggregate exposure. Details in respect of our individual account(s) may be disclosed to the other joint account holder where relevant in our opinion.

Signature of Joint Applicant, if any \_\_\_\_\_ Date \_\_\_\_\_

**5 MARGIN ACCOUNT**

By signing this Application and in consideration of opening a **KES Margin Account** in the name of the applicant(s) herein as indicated in this Application, the applicant(s) hereby declare(s), warrant(s) and agree(s) that:-

a. I/We have received, read, understood and agreed to KIM ENG SECURITIES PTE. LTD. TERMS AND CONDITIONS ("KES T&C") as supplemented or amended from time to time, the Risk Disclosure Statement ("RDS") and all other documents annexed hereto, all of which shall be read with, referred to, and construed as part of the KES T&C and that I/we have taken independent legal advice to resolve any doubts that I/we may have in relation to the KES T&C. All terms that are used but not defined in this Application will bear the meanings set out in the KES T&C (as supplemented or amended from time to time). I/We understand that the RDS is not a substitute for taking independent advice, and that no transaction will be entered into in reliance on any statement, advice or information provided by KES or its trading representatives/dealers.

b. I/We understand that the acceptance of this application by KES does not imply an approval for the margin facility and that KES has every right to reject my/our application without assigning any reason whatsoever.

c. Where there is more than one person constituting the applicant(s), each of them shall be jointly and severally liable with the other(s) to KES.

d. I/We am/are making the application herein for myself / ourselves, and not on behalf of any other person or party; and I/we am/are the legal and the beneficial owner of the account applied for.

e. I/We are aware that KES' trading representatives may be operating from outside KES's office premises as provided in Clause 1.5 (h) of PART I GENERAL TERMS AND CONDITIONS of the KES T&C. I/We understand that there might be limitations that might affect customer service and there is the risk of possible delay in trade processing, outages and unauthorised trading. I/We agree to place trade orders only with the trading representatives concerned, and I/we shall be responsible for monitoring my/our accounts for any unauthorised trading and direct all complaints if any, to KES for investigation.

By signing on this section, the Trading Representative agrees to be bound by and comply with **PART I. GENERAL TERMS AND CONDITIONS** and **PART III. TERMS AND CONDITIONS FOR MARGIN ACCOUNTS** of KES T&C.

Signature of Account Applicant \_\_\_\_\_ Date \_\_\_\_\_

Signature of Trading Representative \_\_\_\_\_ Date and Name \_\_\_\_\_

(For Foreign Clients)  
 The Client hereby irrevocably appoints \_\_\_\_\_ of \_\_\_\_\_ (NRIC No. \_\_\_\_\_) as his/their agent for the purpose of accepting service of any and all legal process on behalf of the Client.

With reference to my/our Margin Account, I/we hereby authorise \_\_\_\_\_ (Name of Trading Representative) (NRIC No. \_\_\_\_\_) (my/our "Attorney") to act on my/our behalf and as my/our acts and deeds to do the things stated in **Appendix IV. LETTER OF AUTHORISATION FOR MARGIN ACCOUNT** of KES T & C and agree to the terms and conditions of the letter.

Signature of Account Applicant \_\_\_\_\_ Signature of Joint Applicant, if any \_\_\_\_\_

Date \_\_\_\_\_ Date \_\_\_\_\_

(For Joint Account Holders)  
 f. We request KES to open a joint margin trading account in our joint names to be operated by \_\_\_\_\_/either one/both of us\*\*]. For the avoidance of doubt, any instructions (including trading and settlement instructions), authorization, request, act, admission, agreement or settlement of whatever nature in respect of the operation of the joint account or any transaction thereunder given by \_\_\_\_\_/either one of us\*\*] shall be binding on the other joint account holder and KES may act on the same.

g. We agree that KES may in its absolute discretion impose such terms and conditions, restrictions or limits as KES shall deem fit in the operation of our joint account and our respective individual trading or other accounts with KES including the monitoring of our aggregate exposure. Details in respect of our individual account(s) may be disclosed to the other joint account holder where relevant in our opinion.

Signature of Joint Applicant, if any \_\_\_\_\_ Date \_\_\_\_\_

**6 MARGINABLE FUTURES CONTRACTS**

By signing this Application and in consideration of opening a **KES Account for trading Marginable Futures Contracts** in the name of the applicant(s) herein as indicated in this Application, the applicant(s) hereby declare(s), warrant(s) and agree(s) that:-

a. I/We have received, read, understood and agreed to the KIM ENG SECURITIES PTE. LTD. TERMS AND CONDITIONS ("KES T&C") as supplemented or amended from time to time, the Risk Disclosure Statement ("RDS") and all other documents annexed hereto, all of which shall be read with, referred to, and construed as part of the KES T&C and that I/we have taken independent legal advice to resolve any doubts that I/we may have in relation to the KES T&C. All terms that are used but not defined in this Application will bear the meanings set out in the KES T&C (as supplemented or amended from time to time). I/We understand that the RDS is not a substitute for taking independent advice, and that no transaction will be entered into in reliance on any statement, advice or information provided by KES or its trading representatives/dealers.

b. I/We understand that the acceptance of this application by KES does not imply an approval for the marginable futures contracts facility and that KES has every right to reject my/our application without assigning any reason whatsoever.

c. Where there is more than one person constituting the applicant(s), each of them shall be jointly and severally liable with the other(s) to KES.

d. I/We am/are making the application herein for myself / ourselves, and not on behalf of any other person or party; and I/we am/are the legal and the beneficial owner of the account applied for.

e. I/We are aware that KES' trading representatives may be operating from outside KES's office premises as provided in Clause 1.5 (h) of PART I GENERAL TERMS AND CONDITIONS of the KES T&C. I/We understand that there might be limitations that might affect customer service and there is the risk of possible delay in trade processing, outages and unauthorized trading. I/We agree to place trade orders only with the trading representatives concerned, and I/we shall be responsible for monitoring my/our accounts for any unauthorised trading and direct all complaints if any, to KES for investigation.

Signature of Account Applicant \_\_\_\_\_ Date \_\_\_\_\_

With reference to my/our Account for trading Marginable Futures Contracts, I/we hereby authorise \_\_\_\_\_ (Name of Trading Representative) (NRIC No. \_\_\_\_\_) (my/our "Attorney") to act on my/our behalf and as my/our acts and deeds to do the things stated in **Appendix V. LETTER OF AUTHORISATION FOR MARGINABLE FUTURES CONTRACTS ACCOUNT** of KES T&C and agree to the terms and conditions in the letter.

Signature of Account Applicant \_\_\_\_\_ Signature of Joint Applicant, if any \_\_\_\_\_

Date \_\_\_\_\_ Date \_\_\_\_\_

(For Joint Account Holders)  
 f. We request KES to open a joint Marginable Futures Contracts account in our joint names to be operated by \_\_\_\_\_/either one/both of us\*\*]. For the avoidance of doubt, any instructions (including trading and settlement instructions), authorization, request, act, admission, agreement or settlement of whatever nature in respect of the operation of the joint account or any transaction thereunder given by \_\_\_\_\_/either one of us\*\*] shall be binding on the other joint account holder and KES may act on the same.

g. We agree that KES may in its absolute discretion impose such terms and conditions, restrictions or limits as KES shall deem fit in the operation of our joint account and our respective individual trading or other accounts with KES including the monitoring of our aggregate exposure. Details in respect of our individual account(s) may be disclosed to the other joint account holder where relevant in our opinion.

Signature of Joint Applicant, if any \_\_\_\_\_ Date \_\_\_\_\_

**7 POLITICALLY EXPOSED PERSON ("PEP")**

"PEP" means (a) a natural person who is or has been entrusted with prominent functions whether in Singapore or a foreign country (b) immediate family members of such a person or (c) close associates of such a person. "Prominent public functions" include 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, or senior political party officials.

Please provide details as follows, if (1) you or your immediate family member(s) has/have been entrusted with prominent public functions or (2) is/are close associate(s) of such a person:

Name	Relationship to client	Occupation	Employer/Country

**8 ELECTRONIC PAYMENT FOR SHARES – OPTIONAL (Only applicable to Cash Trading Account)**

I/We hereby request and authorize KES (i) from time to time to pay all sales proceeds and contra gains due to me arising from the transactions effected through the above trading account (the "Account") to the bank account (the "designated Bank Account") below; and (ii) to link the designated Bank Account with the Account in order for me/us to make payment from time to time for purchases or contra losses due to KES arising from transaction effected through the Account from the designated Bank Account.

I/We acknowledge and agree:

- a. that I/we have read Clause 5 ("Electronic Payment for Shares ("EPS") Service) contained in PART I of the TERMS AND CONDITIONS OF KIM ENG SECURITIES PTE. LTD. ("KES T&C") and hereby confirm that the same shall be binding on me whenever payments are made to the designated Bank Account by KES or whenever payments are made by me/us to KES from the designated Bank Account through the EPS service;
- b. that the authorizations herein shall continue to be in force until I/we expressly revoke them by giving 3 weeks' notice in writing delivered to KES or the closure of the designated Bank Account, whichever is earlier. KES may in its absolute discretion terminate the EPS service by giving me/us written notice at my/our last known address; or in the case of closure of KES, the Participating Bank may in its absolute discretion terminate the EPS service; and
- c. and consent to the disclosure by KES to the Participating Bank and to any relevant person of all or any of the information in relation to or concerning the transactions effected through the Account such as the contract or contra statement numbers, amounts due thereunder, the Account number and such information as may be necessary or appropriate or that may arise in order to effect, or as a result of, the payments to the designated Bank Account by KES or the payments by me/us to KES from the designated Bank Account through the EPS service.

**Note:** The service will take approximately 2 weeks to process. Formal advice will be sent to you once the arrangement has been completed.

Participating Bank: DBS/POSB OCBC UOB CITIBANK Bank Account No.: \_\_\_\_\_

Signature of Account Applicant \_\_\_\_\_

Signature of Joint Applicant, if any \_\_\_\_\_

Date \_\_\_\_\_

Date \_\_\_\_\_

**9 APPLICANT (S) ACKNOWLEDGEMENT AND DECLARATION**

I/We confirm that I/we have received, read, understood and agree to be bound by and comply with:-

- a. the **TERMS & CONDITIONS OF KIM ENG SECURITIES PTE. LTD. ("KES T&C")** (as may be varied or supplemented from time to time) and understand that the provisions therein shall govern my/our relationship, trading accounts, margin accounts, internet or mobile trading, custodial and other services with or provided by KES;
- b. **APPENDIX I. RISK DISCLOSURE STATEMENT OF KES T&C** which highlights the risks associated with trading of various financial instruments; and
- c. the **CLIENT INVESTMENT PROFILE** questionnaire which should be completed and returned to KES.

In consideration of KES accepting my/our application for and providing/maintaining for me one or more accounts as indicated above(the "Account"), I/we hereby agree to be bound by all the terms and conditions contained in the KES T&C currently in effect and as amended or supplemented from time to time, the prevailing laws and regulations, rules and bye-laws of the Singapore Exchange Securities Trading Limited ("SGX-ST") or any regulatory body governing transactions quoted on the SGX-ST or other exchanges.

I/We acknowledge that the KES T&C is available on [www.ketrade.com.sg](http://www.ketrade.com.sg) under "Terms and Conditions" located at the bottom right hand corner of the web page and that a printed copy of the KES T & C is available upon my/our request.

I/We understand that my/our submission of this Application and its acceptance by KES in no way implies approval for the opening of the Account for me/us and that KES reserves the unconditional right to decline this Application without giving any reason whatsoever.

I/We agree that KES T&C shall immediately apply upon approval by KES of this Application.

I/We am/are aware that KES' trading representatives may be operating from outside KES's office premises as provided in Clause 1.5(h) of PART I GENERAL TERMS AND CONDITIONS of the KES T&C. I/We understand that there might be limitations that might affect customer service and there is the risk of possible delay in trade processing, outages and unauthorised trading. I/We agree to place trade orders only with the trading representatives concerned, and I/we shall be responsible for monitoring my/our accounts for any unauthorised trading and direct all complaints if any, to KES for investigation.

I/We hereby represent, warrant and undertake to KES that:

- a. All my/our particulars and the information given or to be given from time to time to KES are and will be true and accurate in form and substance, any changes thereto will be notified to KES promptly and I/we have not willfully withheld any material facts.
- b. I/We am/are over 18 years of age, not insolvent or under any legal disability and have not been convicted of a serious offence.
- c. I/We am/are making the application herein for myself / ourselves, and not on behalf of any other person or party; and I/we am/are the legal and the beneficial owner of the account applied for.
- d. I/We am/are not blacklisted with the SGX-ST or any other exchange or by any other securities firm nor have I/we any delinquent account(s) with any other securities firm.
- e. I/We are opening the Account(s) for my/our own benefit and based on my/our own judgment and did not rely on any representation, warranty, views or information from KES, its employees or its Trading Representatives.

**(For Joint Account Holders)**

- (i) We request KES to open, in addition to the account(s) specified in earlier sections, a joint trading account in our joint names to be operated by [\_\_\_\_\_] / either one / both of us\*\*. For the avoidance of doubt, any instructions (including trading and settlement instructions), authorization, request, act, admission, agreement or settlement of whatever nature in respect of the operation of the joint account or any transaction thereunder given by [\_\_\_\_\_] / either one of us\*\* shall be binding on the other joint account holder and KES may act on the same.
- (ii) We agree that KES may in its absolute discretion impose such terms and conditions, restrictions or limits as KES shall deem fit in the operation of our joint account and our respective individual trading or other accounts with KES including the monitoring of our aggregate exposure. Details in respect of our individual account(s) may be disclosed to the other joint account holder where relevant in our opinion.

Signature of Account Applicant \_\_\_\_\_

Signature of Joint Applicant, if any \_\_\_\_\_

Signature of Witness \_\_\_\_\_

Signature of Notary public, If any \_\_\_\_\_

Date \_\_\_\_\_

Date \_\_\_\_\_

Date \_\_\_\_\_

Date \_\_\_\_\_

**FOR OFFICIAL USE ONLY**

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

Approval By: \_\_\_\_\_ Signature: \_\_\_\_\_

Verification By: \_\_\_\_\_ Signature: \_\_\_\_\_

Input By: \_\_\_\_\_ Signature: \_\_\_\_\_

CFD Short Name:

Date A/C opened: \_\_\_\_\_

Input Checked By: \_\_\_\_\_ Signature: \_\_\_\_\_