

APPLICATION FOR OPENING OF TRADING ACCOUNT (CORPORATE)

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) ^ For Internet Trading, please attach a copy of Certificate Of Resolution for Corporate Application (Available in the *Corporate Account Opening Procedure*)

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 PARTICULARS OF CORPORATE APPLICANT

Full Name (As in Certificate of Incorporation)		Place of Incorporation	Date of Incorporation	Registration No.
Registered Address (P.O. Box No. not permitted.)		Nationality of Shareholders owning at least 51% of the Company (Please tick accordingly)		
Mailing Address (If different from above) (for foreign corp. only)		<input type="checkbox"/> A. Singaporeans <input type="checkbox"/> B. Malaysians <input type="checkbox"/> C. Others (Please specify) _____ For B & C Only: Permanent Residents of Singapore <input type="checkbox"/> Yes <input type="checkbox"/> No		
Tel No.	Facsimile No.	Banking Reference:		
		Bank Name and Branch	Bank Account No.	
Email address		_____		

Nature of Business Category #	Net Assets #
	<input type="checkbox"/> Under \$500,000 <input type="checkbox"/> \$500,001 - \$2 mil <input type="checkbox"/> \$2 mil - \$10 mil <input type="checkbox"/> \$10 mil - \$20 mil <input type="checkbox"/> Above \$20 mil

Authorised Personnel To Trade				CDP Account Number (if any)
Name	NRIC / Passport No.	Designation	Signature	
_____	_____	_____	_____	1681 - _____ - _____
_____	_____	_____	_____	DA Sub-Account
_____	_____	_____	_____	2211 - _____ - _____
_____	_____	_____	_____	

3 POLITICALLY EXPOSED PERSON ("PEP")

Please complete this section in respect of the applicant's authorised personnel.

"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 authorized personnel	Occupation	Employer/Country

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. 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 we have taken independent legal advice to resolve any doubts that 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). 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. 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 our application without assigning any reason whatsoever.
- c. We have identified, in the Declaration of Beneficial Owners, all persons: (i) who are natural persons who ultimately own or control us; or (b) on whose behalf a transaction is being conducted, including persons who exercise ultimate effective control over us.
- d. We have full powers and authority to enter into this agreement, open and operate the Accounts(s) and the transactions contemplated or carried out under the Account(s), and they will constitute legal valid and binding obligations of our company.
- e. 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. 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. We agree to place trade orders only with the trading representatives concerned, and we shall be responsible for monitoring our accounts for any unauthorised trading and direct all complaints if any, to KES for investigation.

Signatories of At Least 2 Authorised Personnel

Affix Company Stamp

Date

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.

Signatories of At Least 2 Authorised Personnel

Affix Company Stamp

Date

With reference to our CFD Account, we hereby authorise _____ (Name of Trading Representative) (NRIC No. _____) (our "Attorney") to act on our behalf and as 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.

Signatories of At Least 2 Authorised Personnel

Affix Company Stamp

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. 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 we have taken independent legal advice to resolve any doubts that 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). 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. 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 our application without assigning any reason whatsoever.
- c. We have identified, in the Declaration of Beneficial Owners, all persons: (i) who are natural persons who ultimately own or control us; or (b) on whose behalf a transaction is being conducted, including persons who exercise ultimate effective control over us.
- d. We have full powers and authority to enter into this agreement, open and operate the Accounts(s) and the transactions contemplated or carried out under the Account(s), and they will constitute legal valid and binding obligations of our company.
- e. 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. 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. We agree to place trade orders only with the trading representatives concerned, and we shall be responsible for monitoring our accounts for any unauthorised trading and direct all complaints if any, to KES for investigation.

(For Foreign Clients)

The Client hereby irrevocably appoints _____ of _____ (NRIC No. _____) as their agent for the purpose of accepting service of any and all legal process on behalf of the Client.

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

Signatories of At Least 2 Authorised Personnel

Affix Company Stamp

Signature of Trading Representative

Date

Date

Date

With reference to our Margin Account, we hereby authorise _____ (Name of Trading Representative) (NRIC No. _____) (our "Attorney") to act on our behalf and as 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.

Signatories of At Least 2 Authorised Personnel

Affix Company Stamp

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. 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 we have taken independent legal advice to resolve any doubts that 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). 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. 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 our application without assigning any reason whatsoever.
- c. We have identified, in the Declaration of Beneficial Owners, all persons: (i) who are natural persons who ultimately own or control us; or (b) on whose behalf a transaction is being conducted, including persons who exercise ultimate effective control over us.
- d. We have full powers and authority to enter into this agreement, open and operate the Accounts(s) and the transactions contemplated or carried out under the Account(s), and they will constitute legal valid and binding obligations of our company.
- e. 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. 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. We agree to place trade orders only with the trading representatives concerned, and we shall be responsible for monitoring our accounts for any unauthorised trading and direct all complaints if any, to KES for investigation.

Signatories of At Least 2 Authorised Personnel

Affix Company Stamp

Date

With reference to our Account for trading Marginable Futures Contracts, we hereby authorise _____ (Name of Trading Representative) (NRIC No. _____) (our "Attorney") to act on our behalf and as 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.

Signatories of At Least 2 Authorised Personnel

Affix Company Stamp

Date

7 APPLICANT(S) ACKNOWLEDGEMENT AND DECLARATION

We confirm that 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 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 our application for and providing/maintaining for us one or more accounts as indicated above(the "Account"), 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.

We acknowledge that the KES T&C is available on 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.

We understand that 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.

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

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. 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. We agree to place trade orders only with the trading representatives concerned, and we shall be responsible for monitoring our accounts for any unauthorised trading and direct all complaints if any, to KES for investigation.

We hereby represent, warrant and undertake to KES that:

- a. All 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 we have not willfully withheld any material facts.
- b. We have identified, in the Declaration of Beneficial Owners, all persons: (i) who are natural persons who ultimately own or control us; or (b) on whose behalf a transaction is being conducted, including persons who exercise ultimate effective control over us.
- c. We are (i) a validly existing company, and (ii) not insolvent or under judicial management.
- d. We have full powers and authority to enter into this agreement, open and operate the Account(s) and the transactions contemplated or carried out under the Account(s), and they will constitute legal valid and binding obligations of our company.
- e. We are not blacklisted with the SGX-ST or any other exchange or any other securities firms or have any delinquent accounts with other securities firms.
- f. We are opening the Account(s) for our own benefit and based on our own judgment and did not rely on any representation, warranty, views or information from KES, its employees or its Trading Representatives.

Signatories of At Least 2 Authorised Personnel

Affix Company Stamp

Date

Date

FOR OFFICIAL USE ONLY

Date Received: _____ Witnessed By: _____

Approval By: _____ Signature: _____

Verification By: _____ Signature: _____

Input By: _____ Signature: _____

CFD Short Name:

Date A/C opened: _____

Input Checked By: _____ Signature: _____

Where no Board resolution has been obtained, give basis upon which you believe the Client can properly engage in transactions and that the person/s acting for the client has/have been duly authorised to do so:

Name of Trading Representative: _____

Signature of Trading Representative

Date

Approved by:

Name: _____ Signature: _____ Verified by: _____ Date Account Opened: _____