

☐ I confirm having attended to the applicant in person.

FAC Code / Signature : _____ / _____

☐ I confirm having attended to the applicant in person.

TR Code / Signature : _____ / _____
Accepted By

Important Note: (1) Please complete all fields unless it is stated as 'optional'. (2) *Default settlement currency and ledger will be in SGD unless you request otherwise. (3) The original Identity Card (for Singaporean and Malaysian) / Passport (for other foreigners) must be produced for verification when required by Phillip Securities Pte Ltd ("PSPL"). A photocopy of the identification documents must be attached to this application form.

☐ POEMS (with trading facilities)

☐ POEMS (View Only)

APPLICATION FOR OPENING OF TRADING ACCOUNT (INDIVIDUAL)

1. TYPE OF ACCOUNT(S) / SERVICE(S)	CFD* (tick one a/c)	Settlement Currency	Multi-currency Ledger	Excess Funds Mgt Services (Section 7)	For Office Use	
					Account No.	
<input type="checkbox"/> Investment - Custodian	<input type="checkbox"/>	<input type="checkbox"/> Traded	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes		C
<input type="checkbox"/> Investment - Margin Financing	<input type="checkbox"/>	<input type="checkbox"/> Traded	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes		M
<input type="checkbox"/> Cash Management (CDP linkage form required)	<input type="checkbox"/>	<input type="checkbox"/> Traded	<input type="checkbox"/> Yes	<input type="checkbox"/> Yes		KC
<input type="checkbox"/> Securities Financing (to enclose Phillip Financial Pte Ltd application form)	<input type="checkbox"/>	<input type="checkbox"/> Traded	<input type="checkbox"/> Yes			V
<input type="checkbox"/> Cash Trading (CDP linkage form required)	<input type="checkbox"/>	<input type="checkbox"/> Traded				T
<input type="checkbox"/> Securities Borrowing and Lending						B

*CFD may not be suitable for clients whose investment objective is preservation of capital and/or risk tolerance is low.

2. PERSONAL PARTICULARS OF APPLICANT

Account Applicant's Name (As in NRIC/Passport)		NRIC / Passport No.	Date of Birth	Gender <input type="checkbox"/> Male <input type="checkbox"/> Female
(Please underline the Surname)				
Residential Address (P.O.Box No. not permitted)	Postal Code	Race <input type="checkbox"/> Chinese <input type="checkbox"/> Malay	<input type="checkbox"/> Indian <input type="checkbox"/> Others	Marital Status <input type="checkbox"/> Married <input type="checkbox"/> Single
(For non-Singapore citizen & non-Singapore PR, please provide address in home country)				
Mailing Address (if different from above)	Postal Code	Nationality : <input type="checkbox"/> Singaporean <input type="checkbox"/> Malaysian		
		Others : _____ (Please specify)		
Contact No. / Email Address		Singapore Permanent Resident (For foreign applicant) <input type="checkbox"/> Yes <input type="checkbox"/> No		Are you a US tax resident? <input type="checkbox"/> Yes <input type="checkbox"/> No
Home _____ Office (DID) _____				
Mobile No. _____ Office (Main) _____				
Email Address _____		CDP A/C Number 1681- _____		
Name of Employer (if retired, please state last employer)		Status of Residential Address of Account Applicant <input type="checkbox"/> Own <input type="checkbox"/> Rental <input type="checkbox"/> Family <input type="checkbox"/> Mortgaged		
Office Address :		Others : _____		
CPF Investment Bank: <input type="checkbox"/> DBS <input type="checkbox"/> OCBC <input type="checkbox"/> UOB A/C No: _____		Occupation (If retired, pls state last appt held)		Yrs of service
SRS Agent Bank: <input type="checkbox"/> DBS <input type="checkbox"/> OCBC <input type="checkbox"/> UOB A/C No: _____				
CPF No: _____				

3. POLITICALLY EXPOSED PERSON ("PEP")

"PEP" means (a) a natural person who is or has been entrusted with prominent functions in a foreign country (b) immediate family members of such a person; or (c) close associates of such a person. "Prominent public functions" includes the roles held by a head of state, a head of government, government ministers, senior civil servants, senior judicial or military officials, senior executives of state owned corporations, or senior political party officials.

Please provide details as follows, (1) if 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

4. DECLARATION OF BENEFICIAL OWNER

I/We hereby declare and confirm that, unless indicated below*, I/we am/are the beneficial owner(s) and ultimately own(s) or have effective control of this account.

*The following individual(s) is/are the beneficial owner(s), and ultimately own(s) or have effective control of this account:

(Please provide a copy of Beneficial Owner's identification document(s).)

Name	NRIC/Passport No.	Contact Number	Relationship

5. FINANCIAL AND OTHER PARTICULARS OF APPLICANT

1. Annual income level	<input type="checkbox"/> Under \$30,000	<input type="checkbox"/> \$30,001 to \$60,000	<input type="checkbox"/> \$60,001 to \$100,000	<input type="checkbox"/> \$100,001 to \$300,000	<input type="checkbox"/> \$300,001 or more
2. Estimated Net Worth	<input type="checkbox"/> Under \$50,000	<input type="checkbox"/> \$50,001 to \$100,000	<input type="checkbox"/> \$100,001 to \$500,000	<input type="checkbox"/> \$500,001 to \$2 mil	<input type="checkbox"/> \$2 mil or more
3. 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 _____

Are you related to any director, employee or remiser of the company? ☐ No ☐ Yes If yes, please state name _____ relationship _____

Do you have any existing account(s) with Phillip Securities Pte Ltd? ☐ No ☐ Yes If yes, state account number (1) _____ (2) _____ (3) _____

Do you have any account(s) with other broking firms? ☐ No ☐ Yes If yes, state name of firm/s (1) _____ (2) _____ (3) _____

6. ELECTRONIC PAYMENT FOR SHARES - OPTIONAL

(Only Applicable to Cash Trading and Cash Management Account)

I hereby request and authorize you (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 "Trading Account") to the bank account (the "designated Bank Account") below; and (ii) to link the designated Bank Account with the Trading Account in order for me to make payment from time to time for purchases or contra losses due to you arising from transaction effected through the Trading Account from the designated Bank Account. I acknowledge that I have read the Terms and Conditions applicable to (Participating Banks: POSB/DBS, OCBC and UOB) the Electronic Payment For Shares service.

Note: The service will take approximately 3 weeks to process. Formal advice will be sent to you once the arrangement has been completed.

Bank Name : _____ Bank Account No. : _____

7. EXCESS FUNDS MANAGEMENT AUTHORISATION - OPTIONAL

(Only Applicable to Investment and Cash Management Account)

To: Phillip Securities Pte Ltd

- I may from time to time have surplus funds with you which you would generally be obliged to hold pursuant to Regulation 16 of the Securities and Futures (Licensing and Conduct of Business) Regulations 2002. While I understand that you will have some investment powers with respect such surplus funds (the "Surplus Funds") under the Regulations as supplemented by the Conditions Governing Phillip Securities Trading Account which I agree are also to apply to my account(s) with you, I am not satisfied that the scope of those powers will give you sufficient scope to invest the Surplus Funds as effectively as if you had full discretion as to the investment to be made of the Surplus Funds (subject only to the condition that any investment is to be dictated first by your good faith belief that the objective set out below will be attained by such investment and secondly that the investments be limited to investments in money market funds).
- I have after consulting with my legal and financial advisers decided to and now formally confirm my standing request that you accept the authority at your discretion to provide me with your fund management services under which you shall have the discretion to **invest the surplus funds on a discretionary basis in any MONEY MARKET FUNDS** with intent to preserve the principal and enhance returns on such excess funds, including the right to invest in money market funds.
- I acknowledge that such investment management is at your discretion to provide and you shall have no liability or responsibility if no such investment management is effected and so long as the investment management is made in good faith, you will not be liable for any loss in principal or lack of enhancement in the value of the principal occasioned by and/or from the fund management effected and I also accept the risk of any and all losses or shortfalls that may result from the fund management effected.
- I accept that whilst you will monitor my account with a view to determining whether to exercise the investment discretion you have granted, you are not willing to be liable and in fact will only exercise its discretion of appointment or acceptance of appointment as fund manager on a primary basis only on the basis that you will not be liable to me should the Surplus Funds not be regarded as appropriate for otherwise than placement in a trust account or if in fact invested they do not obtain the best possible returns.
- In connection with the foregoing, it is my stated objective with respect the investments to be made to have the same try and ensure that I will receive a return that is at least equivalent to the average interest payable on savings accounts at the three major local banks in Singapore.
- I note and accept that in any event the discretion I am hereby granting will only be considered for exercise in my favour if my Surplus Funds exceeds in the aggregate the minimum stipulated by you and will remain so in excess for such time as you may stipulate from time to time.
- I acknowledge that should you accept the discretion granted to you by me and effect a discretionary fund management of the Surplus Funds, the terms for your fund management services as applicable to customers who open a cash management account with you (including the fees payable) shall apply in addition to the CONDITIONS GOVERNING PHILLIP SECURITIES TRADING ACCOUNTS that I have agreed to and the terms set forth in this application form with respect my account(s).
- With regard to investing in money market funds, I understand that:**
 - a purchase of units in a money market fund is not the same as placing funds on deposit with a bank or deposit-taking company,
 - money market funds are unit trusts that invest in short-term deposits and high quality debt securities,
 - although the fund managers may seek to maintain or preserve the principal value of the funds, there can be no assurance that the funds will be able to meet my objectives,
 - such funds are not guaranteed funds in that there is no guarantee as to the amount of capital invested and/or return received,
 - past performance of money market funds is not necessarily indicative of future performance, and
 - Phillip Securities Pte Ltd earns a trailer fee from fund managers.

Account Applicant's Signature

Date

8. ACKNOWLEDGEMENT AND AGREEMENT

I confirm that I have received, read and understood:

- the terms and conditions spelt out (and from time to time amended) in the **CONDITIONS GOVERNING PHILLIP SECURITIES TRADING ACCOUNTS** ("Conditions") and the relevant **INFORMATION SHEET(s)** (for Investment Account, Cash Management Account, Securities Borrowing and Lending, Contract for Difference and/or POEMS service as I may have selected above), all of which shall be read with, referred to and construed as part of the agreement between Phillip Securities Pte Ltd ("PSPL") and myself in respect of the trading account (the "Agreement");
- the **RISK DISCLOSURE STATEMENT** which highlights the risks associated with trading and lending of Securities as defined under SFA (Cap 289) and SFR;
- the **CLIENT INVESTMENT PROFILE** questionnaire which should be completed and returned to PSPL.

In consideration of Phillip Securities Pte Ltd ("PSPL") accepting my application for and providing/maintaining for me a trading account ("Account"), I hereby agree to be bound by the terms of the Agreement currently in effect and as amended from time to time. I agree to be bound by all prevailing rules, regulations, guidelines, customs and directives of the Singapore Exchange Securities Trading Ltd ("SGX-ST") and any other regulatory body governing transactions in securities quoted on the SGX and other stock exchanges.

I hereby represent, warrant and undertake to PSPL that all my particulars given and to be given from time to time to PSPL are and will be accurate.

I am (a) applying for the Account(s) on my own judgement and did not rely on any representations, views or information from PSPL employees or its trading representatives; (b) over 21 years old; (c) not insolvent in Singapore and other countries (d) not blacklisted with the SGX nor have any delinquent account with any other securities firm and (e) All monies which will be paid to PSPL originates from a legitimate source.

CONSENT TO CUSTODY AND ON LENDING OF CUSTOMER'S SECURITIES

Where my/our securities are custodied with or otherwise within the possession or control of PSPL, I/we hereby acknowledge, consent to and accept:

- With respect to the custody of my/our securities, the terms for the provision of custody services to be provided by PSPL as set out in Part B of Section 5 of the Conditions. As such and to the extent that Regulation 27 of the Securities and Futures (Licensing and Conduct of Business) Regulations requires me/us to give prior consent to PSPL's use and appointment of a person outside of Singapore to provide custody services, I/we hereby give such consent; and
- (pursuant to Regulation 33 of the Securities and Futures (Licensing and Conduct of Business) Regulations) each of the set of terms for the on-lending of the my/our Securities as is set out in PSPL's Conditions Governing Phillip Securities Trading Account and in particular at (a) Part B Section 3 at clause 12 thereof; (b) Part B Section 5 at clause 13 thereof; and (c) Part B Section 6 at clause 5 thereof.

By signing off on this my/our consent and confirmation, I/we also acknowledge and confirm that I / we have read and understood the terms of this consent and confirmation; and also that the risks involved in granting the consent and confirmation (as set out in the RISK DISCLOSURE STATEMENT) had first been explained to me/us; and my/our consent that PSPL's right to lend or on lend my/our securities include also the right on identical terms to arrange for a custodian to effect such lending or on lending for the benefit of PSPL as if PSPL had effected such lending or on lending.

Where there are moneys denominated in a foreign currency held in trust for my account, I hereby confirm my consent to PSPL having the right and discretion where it deems appropriate to deposit such moneys in a trust account maintained outside Singapore with a bank licensed, registered or authorised in that jurisdiction.

INTEREST WAIVER/SUBSTITUTION

I acknowledge that as a general rule, my funds in the possession or control of PSPL, being funds not immediately or within 24 hours required to be applied towards discharge of my payment obligations, will (subject to the authorization on investment management of the same as set out in Part B Section 1 of the Conditions) be held commingled with funds of other customers of PSPL where applicable in a trust account in accordance with the provisions of the Securities and Futures Act 2001. By applying to open an account with PSPL, I acknowledge and accept the terms of interest waiver/substitution as set out in clause 4 Part A of the Conditions and agree to waive and relinquish in favour of PSPL any and all entitlement to interest accruing to my share of funds in such trust account.

Account Applicant's Signature

Date

FOR OFFICE USE

Cash / Nets / *Cheque no. : _____ Deposit : _____

*Cheque in applicant's name? ☐ Yes ☐ No

Pin mailer serial no. : _____ Receipt no. : _____

Checked by : _____ Date : _____

Verification Mode : ☐ Face to face ☐ Required document(s) attached

☐ Employer Tel : _____ ☐ Client's contact no. : _____

Delinquency status: ☐ No record ☐ Reinstated ☐ Delinquent World Check ☐

Delinquent Checked by : _____ Date : _____

Approved by : _____ Date : _____

Data Keyed by : _____ Date : _____

Data Keyed Checked by : _____ Date : _____

Verified by : _____ Date : _____

Please use this business reply folder to send us your documents/cheque.

- 1) Fold along dotted lines.
- 2) Insert documents into business reply folder.
- 3) Seal along edges of folder with clear tape (do not staple).
- 4) Drop sealed folder into post box.

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posting in
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**PHILLIP SECURITIES PTE LTD
250 NORTH BRIDGE ROAD
#06-00 RAFFLES CITY TOWER
SINGAPORE 179101**

ATTN: UNIT TRUST MARKETING