

# INDIVIDUAL / JOINT APPLICATION FORM

## 1 Account Category (Please tick ONE option only)

Individual  Joint

## 2 Type of Account(s) Required (Please tick ONE option only)

Online Cash Trading Account

(a) **Online** Cash Trading Account with a dealer/remisier to service me\*  
Do you have a preferred dealer/remisier to service your account?

No  Yes, please specify following:

Name of dealer/remisier: \_\_\_\_\_ Code: \_\_\_\_\_

(b) **Online** Cash Trading Account **without** a dealer/remisier to service me

Margin Facility Account

No  Yes, please contact me

\*For NEW Applicants, kindly note that in addition to the online cash trading account, a securities trading account with a dealer/remisier will be opened at the same time.

## 3 Personal Details

Salutation  Mr  Miss  Mdm  Mrs  Dr

Name (as in NRIC or Passport) \_\_\_\_\_

NRIC/Passport No. \_\_\_\_\_ Date of Birth \_\_\_\_\_  
Date/Month/Year

Nationality  S'porean  Others \_\_\_\_\_ S'pore PR  Yes  No  
(please specify)

Home No. \_\_\_\_\_ Mobile No. \_\_\_\_\_

Office No. \_\_\_\_\_ Email \_\_\_\_\_

Residential Address \_\_\_\_\_  
Number, Block & Street

City \_\_\_\_\_ Postal Code \_\_\_\_\_ Country \_\_\_\_\_  
Mailing Address (if different from Residential Address) \_\_\_\_\_  
Number, Block & Street

City \_\_\_\_\_ Postal Code \_\_\_\_\_ Country \_\_\_\_\_  
Tax Residence  Singapore  Others \_\_\_\_\_  
(please state country)

Residential Status  Self-Owned  Rented  Family  Mortgaged

Qualification  Diploma  Tertiary  Others \_\_\_\_\_  
(please specify)

Mother's Maiden Name (for verification purposes) \_\_\_\_\_

Name of Spouse \_\_\_\_\_

NRIC/Passport No. \_\_\_\_\_ Nationality  S'porean  Others \_\_\_\_\_  
(please specify)

## 4 Employment Details

Are you self-employed?  Yes  No Occupation \_\_\_\_\_

Name of Employer \_\_\_\_\_

Employer's Address \_\_\_\_\_  
Number, Block & Street

City \_\_\_\_\_ Postal Code \_\_\_\_\_ Country \_\_\_\_\_  
Year(s) of Service \_\_\_\_\_ Nature of Business \_\_\_\_\_

Annual Income

S\$50,000 or below  S\$50,001 – S\$100,000  S\$100,001 – S\$200,000  
 S\$200,001 – S\$300,000  S\$300,001 – S\$500,000  
 S\$500,001 – S\$1,000,000  Above S\$1,000,000

## 5 Networth

Source of Wealth

Savings  Salary  Rental Income  Sale of Property/Investment  
 Inherited Wealth  Others \_\_\_\_\_  
(please specify)

Source of Fund \_\_\_\_\_

Estimated Liquid Assets \_\_\_\_\_

## 6 Bank Reference

DBS  POSB  OCBC  UOB  Others \_\_\_\_\_  
(please specify)

Bank Account No. \_\_\_\_\_

## 7 Custodian Details

CPF Investment Account No. \_\_\_\_\_

Agent Bank  DBS  OCBC  UOB

SRS Account No. \_\_\_\_\_

Agent Bank  DBS  OCBC  UOB

CDP Securities Account No.  1  6  8  1 -     -

A CDP Sub Account maintained with DBS Vickers Securities (Singapore) Pte Ltd. appointing us as the Depository Agent for the safekeeping of SGX-listed securities.

## 8 Personal Details (For Joint Applicant)

Salutation  Mr  Miss  Mdm  Mrs  Dr

Name (as in NRIC or Passport) \_\_\_\_\_

NRIC/Passport No. \_\_\_\_\_ Date of Birth \_\_\_\_\_  
Date/Month/Year

Nationality  S'porean  Others \_\_\_\_\_ S'pore PR  Yes  No  
(please specify)

Home No. \_\_\_\_\_ Mobile No. \_\_\_\_\_

Office No. \_\_\_\_\_ Email \_\_\_\_\_

Residential Address \_\_\_\_\_  
Number, Block & Street

City \_\_\_\_\_ Postal Code \_\_\_\_\_ Country \_\_\_\_\_  
Mailing Address (if different from Residential Address) \_\_\_\_\_  
Number, Block & Street

City \_\_\_\_\_ Postal Code \_\_\_\_\_ Country \_\_\_\_\_  
Tax Residence  Singapore  Others \_\_\_\_\_  
(please state country)

Residential Status  Self-Owned  Rented  Family  Mortgaged

Qualification  Diploma  Tertiary  Others \_\_\_\_\_  
(please specify)

Mother's Maiden Name (for verification purposes) \_\_\_\_\_

Name of Spouse \_\_\_\_\_

NRIC/Passport No. \_\_\_\_\_ Nationality  S'porean  Others \_\_\_\_\_  
(please specify)

Relationship to First Applicant \_\_\_\_\_

## 9 Employment Details

Are you self-employed?  Yes  No Occupation \_\_\_\_\_

Name of Employer \_\_\_\_\_

Employer's Address \_\_\_\_\_  
Number, Block & Street

City \_\_\_\_\_ Postal Code \_\_\_\_\_ Country \_\_\_\_\_  
Year(s) of Service \_\_\_\_\_ Nature of Business \_\_\_\_\_

Annual Income

S\$50,000 or below  S\$50,001 – S\$100,000  S\$100,001 – S\$200,000  
 S\$200,001 – S\$300,000  S\$300,001 – S\$500,000  
 S\$500,001 – S\$1,000,000  Above S\$1,000,000

## 10 Networth

Source of Wealth

Savings  Salary  Rental Income  Sale of Property/Investment  
 Inherited Wealth  Others \_\_\_\_\_  
(please specify)

Source of Fund \_\_\_\_\_

Estimated Liquid Assets \_\_\_\_\_

## 11 Bank Reference

DBS  POSB  OCBC  UOB  Others \_\_\_\_\_  
(please specify)

Bank Account No. \_\_\_\_\_

## 12 Account Relationship Details

Name of other brokerage house(s) currently used for any Securities Trading

UOB Kay Hian  OCBC Securities  CIMB Securities  Phillip Securities  
 Maybank Kim Eng  Others \_\_\_\_\_  
(please specify)

Do you have any existing account with DBS Vickers?  Yes  No

If Yes, please state your existing account no(s). \_\_\_\_\_

Are you related to any employee(s)/Trading Representative(s)/existing client(s) of DBS Vickers?  Yes  No

If Yes, please provide the following details

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

Please circle: Employee / Trading Representative / Existing Client

Trading Account No. \_\_\_\_\_  
(for existing clients)

What is the Relationship? \_\_\_\_\_

## 13 Trading History/Objectives

Do you have previous experience in Securities Trading?  Yes  No

Please indicate your objectives in trading securities.

Capital Preservation  Income  Growth  
 Short Term Trading Profit  Others \_\_\_\_\_  
(please specify)

## 16 Customer Declaration

By signing this application, I/we declare, warrant and agree to/with DBS Vickers Securities (Singapore) Pte Ltd ("DBS Vickers"):

- all information submitted in this application or otherwise in connection with this application are true, accurate and complete in all respects and I/we will, as soon as possible, provide DBS Vickers with notice in writing of any change in particulars given in this application together with all relevant documents;
- I/We have read and understood, and agree that this application and the account(s) applied herein shall be construed and governed in accordance with DBS Vickers' General Trading Agreement (as may be amended from time to time);
- to the disclosure by DBS Vickers and/or its officers or agents any and all information in respect of this application and the account(s) applied herein in accordance with the disclosure provisions set out in DBS Vickers General Trading Agreement (as may be amended from time to time);
- that DBS Vickers has the right not to approve this application at its sole and absolute discretion without any obligation to render any reason or explanation;
- that I/we agree to abide by the prevailing rules and regulations of the Singapore Exchange Limited and its subsidiaries or any regulatory body or exchange (whether in or outside Singapore) as may be applicable to me/us and my/our transactions;
- that I/we am/are the ultimate beneficial owner(s) of the account under this application and that there exist no other beneficial owner(s) in relation to me/us in respect of this account and application. I/We undertake that the account under this application shall not at anytime have any other undisclosed beneficial owner(s);
- by signing this application, I/we (known as "Subscriber" in the New York Stock Exchange ("NYSE") and the Toronto Stock Exchange ("TSX") Inc, subscriber agreements), agree:
  - that I/we have read the NYSE and TSX Inc. subscriber agreements, a copy of which is attached hereto;
  - that I/we undertake and agree to be bound by the NYSE and TSX Inc. subscriber agreements to the same extent as if I/we had signed such agreements with NYSE and TSX Inc. directly;
  - that TSX Inc, may enforce TSX Inc's rights pursuant to the TSX Inc. subscriber agreement in its own name directly against me/us;
  - that DBS Vickers is not an agent of NYSE and TSX Inc, and is not authorised to add to or delete from the NYSE and TSX Inc. subscriber agreements and is not authorised to modify any provision of the NYSE and TSX Inc. subscriber agreements; and
  - that no provision has been added to or deleted from the NYSE and TSX Inc. agreements and that no modifications have been made to them. I/We warrant that I/we am/are legally able to undertake the obligations set forth the aforesaid agreements;
- by executing this application, I/we (known as "subscriber" in the NASDAQ subscriber agreement) agree:
  - that I/we have read, and agree to be bound by the NASDAQ subscriber agreement, a copy of which is attached hereto;
  - that DBS Vickers is not an agent of NASDAQ and is not authorised to add to or delete from the NASDAQ subscriber agreement and is not authorised to modify any provision of the NASDAQ subscriber agreement, and
  - that no provision has been added to or deleted from the NASDAQ agreement and that no modifications have been made to it. I/We am/are legally able to undertake the obligations set forth;
- that if I/we choose not to open a Depository Agent Sub-Account with DBS Vickers, I/we will not be able to furnish DBS Vickers with shares as collateral and DBS Vickers shall not be obliged to accept any shares as collateral. However, if the said Depository Sub-account is opened, I/we agree that there will be monthly maintenance charges imposed by CDP which will be charged to me/us regardless of whether there is any transaction in this account; and
- in addition, I/we hereby declare that I/we am/are not an undischarged bankrupt/undischarged bankrupts

I/We confirm that I/we have read, understood and accepted Clause A28 of DBS Vickers' General Trading Agreement (as may be amended from time to time), the Compliance with Tax Requirements notice and the DBS Vickers Personal Data Protection Policy (available at <http://www.dbsvickers.com>) relating to the collection, processing, use and disclosure of Customer Data. By signing this account opening application form, I/we hereby consent to the collection, processing, use and disclosure of Customer Data as set out at clause 28 of DBS Vickers' General Trading Agreement (as may be amended from time to time) and DBS Vickers Personal Data Protection Policy.

Signature of Applicant	Signature of Joint Applicant
Date	Date
Signature verified by DBS Vickers/DBS/POSB Bank staff	
Name of Verifying Officer/Date	
Remarks	

## 14 Consent For Marketing Messages

Would you like to receive marketing materials and information relating to services and/or products offered or distributed by DBS Vickers and/or its service and product providers via all forms of mobile messaging (including SMS or MMS), telephone calls, fax, email and/or post?

Yes  No

### NOTE:

All references to "DBS Vickers", "we" and "us" refer to DBS Vickers Securities (Singapore) Pte Ltd; all references to "you" or "your" refer to the customer named above.

- This request shall apply to your personal data as recorded with DBS Vickers. We may take a few days to process your request. You consent to us using your personal data to contact you to process or clarify your instructions.
- Your instructions given will replace and supersede all previous instructions given to us, whether written or otherwise.
- Your instructions herein **DO NOT APPLY** to marketing materials and information sent directly by our service and product providers. If you wish to opt out of receiving marketing materials and information from our service and product providers, please contact them directly.
- If you have opted to receive marketing materials and information from us via fax, mobile messaging or telephone calls, you will receive faxes, mobile messages or calls from us even if your number is on the National Do-Not-Call Register.

## 15 Electronic Statements (eStatements)

eStatements are electronic versions of your daily and monthly statements available through [www.dbsvickers.com](http://www.dbsvickers.com). As part of our ongoing effort to make trading simpler, faster and safer, you will be automatically enrolled to receive eStatements for all your online trading account(s). To opt out, you may call our Customer Service Line at (65) 6327 2288 or via online when you receive your new trading account information.

I have read and agreed to the above