

Opening of Trading Accounts for Corporation

Opening of Trading Account with UOB Kay Hian Pte Ltd ("UOBKH")

(A) For Singapore Incorporated Companies

I) Mandatory Forms – Please complete the following forms:

1. Corporate Account Application Form ☐
 2. Extract of Directors' Resolution – Cash Trading (UOBKH pre-printed form) ☐
 3. Form W-8BEN-E or Form W-9 ☐
 4. UOBKH CRS Entity Tax Residency Self-Certification Form ☐
 5. UOBKH CRS Controlling Person Tax Residency Self-Certification Form ☐
 6. AML Confirmation Letter (for entities with underlying shareholder / fund manager regulated by the authority) ☐
 7. Letter of Undertaking and Declaration – *for VCCs / SPCs / entities with Fund Structures / entities without ≥25% shareholders* ☐
 8. * Guarantee (Single Party) or Guarantee (Joint and Several) – *for UTRADE Delta Account and MT4 Account* ☐
Must be submitted in original wet-ink form
 - a. For Pte Ltd company, all Directors and Shareholders are required to sign on all pages.
 - b. Not applicable for Public Listed Company.
- * The signature(s) on the Guarantee must be witnessed by any of the following Authorised Personnel / Representatives (name, title and company stamp affixed)
- UOBKH Authorised Personnel (including UOBKH regional offices)
 - Notary Public
 - Advocates and Solicitors
 - Singapore Embassy
 - Justice of Peace
 - A Certified Public Accountant or Professional Accountant or Auditor (e.g., registered under the Accountants Act or a member professional bodies like ISCA, ACCA, MAICSA)

II) Supporting Documents Required

Identification documents and address proof:

1. Clear copies of NRIC / Passport of: ☐
 - a. Director(s)
 - b. Key Executive(s)
 - c. Beneficial Owner(s)
 - d. Controlling Person(s)
 - e. Authorised Signatory(ies)
 - f. Authorised Trader(s)
 - g. Company Secretary(ies) – *if signing on mandatory forms or CTC on supporting documents*
 - h. Shareholder(s) ≥25% direct and/or indirect shareholdings
 - i. All Trust Relevant Parties e.g., Settlor, Protector, Enforcer, Appointer, Beneficiaries, Trustee, and etc
2. Residential Address proof of personnel listed at point 1(a) – (i) above. ☐
The commonly acceptable supporting documents by UOBKH dated within last 3 months are:
 - Singapore NRIC / Malaysia IC
 - Statement from Government Body (e.g. CPF / IRAS, and etc)
 - Bank Statement
 - Utility / Telco Bill
 - CDP / Other Brokerage Firm Statement

Constitutional documents:

1. Please provide the constitutional documents of: ☐
 - **Applicant**
 - i. Certificate of Incorporation
 - ii. Latest ACRA dated within the last 6 months / Annual Return (or equivalent)
 - iii. Memorandum and Articles of Association / Constitution / By-Law (or equivalent)
 - iv. Declaration of Trust / Nominee Agreement (or equivalent) – *if shares are held on behalf of ultimate beneficial owner*
 - v. Investment Management Agreement / Private Placement Memorandum / Subscriber Agreement (or equivalent) – *For VCCs / SPCs / entities with Fund Structures*
 - vi. Trust Deed – *For entities with Trust Structures*
 - vii. Limited Partnership Agreement – *For Limited Liabilities Partnership / Limited Partnership*

- **Corporate Secretary** (if signing mandatory forms or CTC supporting docs) / **Corporate Director** / **Corporate Authorised Representative** / **Corporate Authorised Trader** / **Trustee** / **General Partner** / **Limited Partner** (if applicable) ☐
 - i. Certificate of Incorporation
 - ii. Latest ACRA / Certificate of Incumbency / Company Search (or equivalent) dated within the last 6 months
 - iii. List of Authorised Signatories (AS) along with NRIC / Passport and Address Proof for all AS
- **Corporate Shareholder** at all layers with ≥25% direct and/or indirect shareholdings until the ultimate beneficial owner (natural person) is identified (if applicable) ☐
 - i. Certificate of Incorporation
 - ii. Latest ACRA / Certificate of Incumbency / Company Search (or equivalent) dated within the last 6 months
- 2. Applicant mailing address proof – *if it differs from Company Registered Address* ☐
- 3. Latest Audited Financial Statement / Annual Report ☐
- 4. For Applicants with complex structure (if applicable) ☐

Please provide a graphical presentation of the company's ownership structure showing Person(s) / Shareholder(s) ≥25% direct and/or indirect shareholdings, or to provide corporate supporting documents of related entities to determine the beneficial owner. Please refer to **Appendix 2** for reference.

III) Optional Forms and Documents

- 1. Declaration of Accredited Investor / Institutional Investor Status ☐
- 2. NASDAQ Subscriber Agreement & NYSE Non-Professional Subscriber Agreement (for UTRADE Delta Account) ☐
- 3. Margin Loan Documents (for Share Margin Financing Account) ☐
- 4. Request for Trading in Northbound China Connect Shares ☐

IV) Other Forms Submitted

Others: _____ ☐

V) Important Notes

Please refer to notes on Page 5.

(B) For Foreign Incorporated Companies

I) Mandatory Forms – Please complete the following forms:

1. Corporate Account Application Form ☐
 2. Extract of Directors' Resolution – Cash Trading (UOBKH pre-printed form) ☐
 3. Form W-8BEN-E or Form W-9 ☐
 4. UOBKH CRS Entity Tax Residency Self-Certification Form ☐
 5. UOBKH CRS Controlling Person Tax Residency Self-Certification Form ☐
 6. Letter of Indemnity to be signed by Principal / Shareholder – *for company incorporated in countries listed in Appendix 1 (DO NOT affix company stamp)* ☐
 7. Letter of Undertaking and Declaration – *for VCCs / SPCs / entities with Fund Structures or entities without ≥25% shareholders* ☐
 8. * Guarantee (Single Party) or Guarantee (Joint and Several) – *For UTRADE Delta Account and MT4 Account* ☐

Must be submitted in original wet-ink form

 - c. For Pte Ltd company, all Directors and Shareholders are required to sign on all pages.
 - d. Not applicable for Public Listed Company.
- * The signature(s) on the Guarantee must be witnessed by any of the following Authorised Personnel / Representatives (name, title and company stamp affixed)
- UOBKH Authorised Personnel (including UOBKH regional offices)
 - Notary Public
 - Advocates and Solicitors
 - Singapore Embassy
 - Justice of Peace
 - A Certified Public Accountant or Professional Accountant or Auditor (e.g., registered under the Accountants Act or a member professional bodies like ISCA, ACCA, MAICSA)

II) Supporting Documents Required

Identification documents and address proof:

1. Clear copies of NRIC / Passport of: ☐
 - a. Director(s)
 - b. Key Executive(s)
 - c. Beneficial Owner(s)
 - d. Controlling Person(s)
 - e. Authorised Signatory(ies)
 - f. Authorised Trader(s)
 - g. Company Secretary(ies) – if signing on mandatory forms or CTC on supporting documents
 - h. Shareholder(s) ≥25% direct and/or indirect shareholdings
 - i. All Trust Relevant Parties e.g., Settlor, Protector, Enforcer, Appointer, Beneficiaries, Trustee, and etc
2. Residential Address proof of personnel listed at point 1(a) – (i) above. ☐

The commonly acceptable supporting documents by UOBKH dated within last 3 months are:

 - Singapore NRIC / Malaysia IC
 - Statement from Government Body (e.g. CPF / IRAS, and etc)
 - Bank Statement
 - Utility / Telco Bill
 - CDP / Other Brokerage Firm Statement

Constitutional documents:

1. Please provide the constitutional documents of: ☐
 - **Applicant**
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 - iv. Declaration of Trust / Nominee Agreement (or equivalent) – *if shares are held on behalf of ultimate beneficial owner*
 - v. Investment Management Agreement / Private Placement Memorandum / Subscriber Agreement (or equivalent) – *For VCCs / SPCs / entities with Fund Structures*
 - vi. Trust Deed (or equivalent) – *For entities with Trust Structures or other similar arrangements (e.g., Foundation)*
 - vii. Limited Partnership Agreement – *For Limited Liabilities Partnership / Limited Partnership*

- **Corporate Secretary** (if signing mandatory forms or CTC supporting docs) / **Corporate Director** / **Corporate Authorised Representative** / **Corporate Authorised Trader** / **General Partner** / **Limited Partner** (if applicable) ☐
 - i. Certificate of Incorporation
 - ii. Latest ACRA / Certificate of Incumbency / Company Search (or equivalent) dated within the last 6 months
 - iii. List of Authorised Signatories (AS) along with NRIC / Passport and Address Proof for all AS
- **Corporate Shareholder** at all layers with ≥25% direct and/or indirect shareholdings until the ultimate beneficial owner (natural person) is identified ☐
 - i. Certificate of Incorporation
 - ii. Latest ACRA / Certificate of Incumbency / Company Search (or equivalent) dated within the last 6 months
- 2. Applicant mailing address proof – *if it differs from Company Registered Address* ☐
- 3. Latest Audited Financial Statement / Annual Report ☐
- 4. For Applicants with complex structure (if applicable): ☐

Please provide a graphical presentation of the company's ownership structure showing all Person(s) / Shareholder(s) ≥25% direct and/or indirect shareholdings, and/or to provide supporting corporate documents of related entities to determine the ultimate beneficial owner. Please refer to **Appendix 2** for reference.

III) Optional Forms and Documents

- 1. Declaration of Accredited Investor / Institutional Investor Status ☐
- 2. NASDAQ Subscriber Agreement & NYSE Non-Professional Subscriber Agreement (for UTRADE Delta Account) ☐
- 3. Margin Loan Documents (for Share Margin Financing Account) ☐
- 4. Request for Trading in Northbound China Connect Shares ☐

IV) Other Forms Submitted

Others: _____ ☐

V) Important Notes

Please refer to notes on Page 5.

Notes

1. The signature on the Application Forms must be witnessed and supporting documents submitted must be certified true copy by any of the following authorised personnel / representatives (name, title and company stamp affixed):
 - UOBKH Authorised Personnel (including UOBKH regional offices)
 - Notary Public
 - Advocates and Solicitors
 - Singapore Embassy
 - Justice of Peace
 - Company Secretary may witness the UOBKH Application Forms as an authorised personnel acting independently with no signing power for the company, provided supporting documents are certified true copy by any of the above or Company Director.
 - A Certified Public Accountant or Professional Accountant or Auditor (e.g., registered under the Accountants Act or a member professional bodies like ISCA, ACCA, MAICSA)
2. Documents submitted in non-English must be translated into English, duly attested and signed off by the Translator.
3. The application forms will not be accepted if they were dated more than 1 month upon receipt.
4. The board resolution will not be accepted if they were dated more than 6 months upon receipt
5. Applicant may be required to furnish other information and supporting documents, if required.

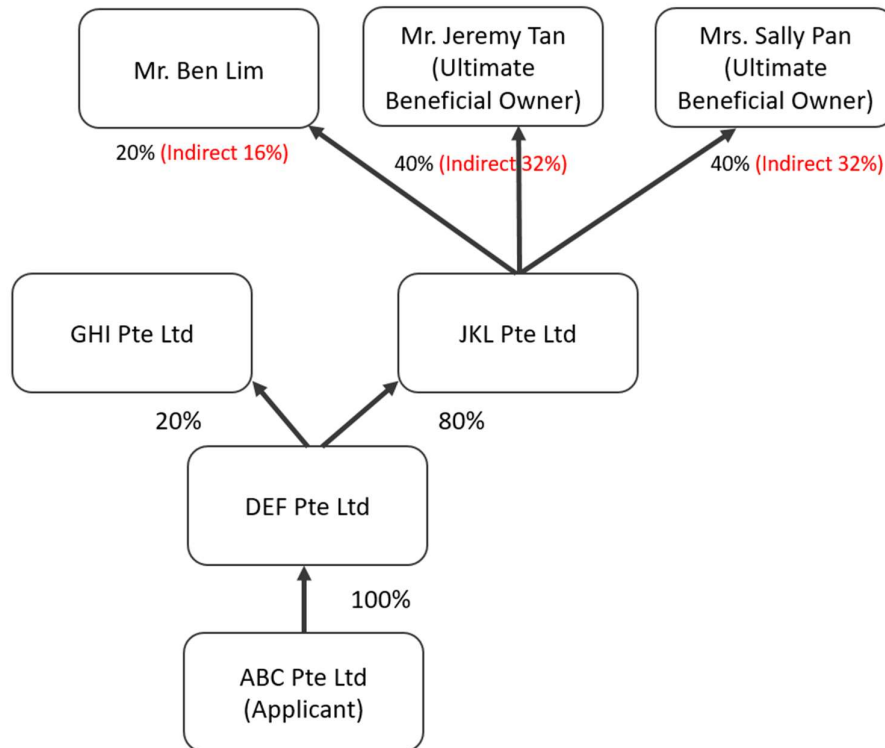
Appendix 1

Letter of Indemnity (required by UOBKH) if the applicant is incorporated in any of the following countries:

S/N	Countries	S/N	Countries
1	Andorra	22	Liberia
2	Anguilla	23	Maldives
3	Antigua & Barbuda	24	Malta
4	Aruba	25	Marshall Islands
5	Bahamas	26	Mauritius
6	Bahrain	27	Monaco
7	Barbados	28	Montserrat
8	Bermuda	29	Nauru
9	Belize	30	Netherlands Antilles
10	British Virgin Islands	31	Niue
11	Cayman Islands	32	Panama
12	Cook Islands	33	Samoa
13	Cyprus	34	San Marino
14	Dominica	35	Seychelles
15	Gibraltar	36	St Lucia
16	Grenadines	37	St Kitts & Nevis
17	Grenada	38	St Vincent & The Tonga
18	Guernsey/Sark/Alderney	39	Turks and Caicos
19	Isle of Man	40	US Virgin Islands
20	Jersey	41	Vanuatu
21	Liechtenstein		

Appendix 2

Note: Below is an example, please use this as a reference only and to provide us your own company's structure.



Beneficial Ownership Assessment and Calculation

Based on the above ownership structure, Mr. Jeremy Tan and Mrs. Sally Pan each hold an indirect interest of 32% in the Applicant and are therefore deemed Ultimate Beneficial Owners, as they meet the $\geq 25\%$ threshold. Mr. Ben Lim holds an indirect interest of 16% and does not meet the threshold.

Indirect Shareholding Calculation

- Mr. Jeremy Tan: $100\% \times 80\% \times 40\% = 32\%$
- Mrs. Sally Pan: $100\% \times 80\% \times 40\% = 32\%$
- Mr. Ben Lim: $100\% \times 80\% \times 20\% = 16\%$