



INDIVIDUAL / JOINT TRADING ACCOUNT APPLICATION

A photocopy of Identity Card (for Singaporean, Singapore Permanent Resident, and Malaysian) / Passport (for other foreigners) must be attached to this application form.

Please select the products you wish to transact in and/or services you wish to engage in below.

PRODUCTS AND SERVICES

<input type="checkbox"/> Securities Trading	<input type="checkbox"/> Contracts For Difference	<input type="checkbox"/> Margin Facility (Multi-Currency <input type="checkbox"/> Yes <input type="checkbox"/> No). <i>Select and tick option below:</i>
<input type="checkbox"/> Securities Prefunded Trading	<input type="checkbox"/> Leveraged Foreign Exchange	<input type="checkbox"/> General Securities (<input type="checkbox"/> Flat Interest Rate <u>OR</u> <input type="checkbox"/> Grade Based Interest Rate)
<input type="checkbox"/> Securities Borrowing/Lending	<input type="checkbox"/> _____	<input type="checkbox"/> Eligible Fixed Income

MAYBANK SECURITIES PTE. LTD.
 (Member of Singapore Exchange Securities Trading Limited)
 50 North Canal Road Singapore 059304
 Tel No.: (65) 6432 1888
 Co. Reg No.: 197201256N

Please note that all fields MUST be completed to avoid any delay in the processing of the application.

	MAIN APPLICANT	JOINT APPLICANT																			
Salutation	Mr/Mrs/Ms/Mdm/Dr*	Mr/Mrs/Ms/Mdm/Dr*																			
Gender	Male / Female*	Male / Female*																			
Full Name <i>(Please underline surname)</i>																					
NRIC/Malaysian IC/Passport No.																					
Passport Expiry Date <i>(DD/MM/YYYY)</i> <i>(Applicable to Non-Singaporean, Non-Singapore PR & Non-Malaysian)</i>																					
Date of Birth <i>(DD/MM/YYYY)</i>																					
Country of Birth																					
Nationality																					
Singapore Permanent Resident	Yes / No*	Yes / No*																			
Residential/Permanent Address <i>(P.O. Box No. not permitted. For Non-Singaporean & Non-Singapore PR, please state home country address.)</i>																					
Mailing Address <i>(If different from Residential Address)</i>		Refer to Main Applicant																			
Contact No. <i>(If outside Singapore, please state name of country, country code & area code.)</i>	(Mobile)	(Mobile)																			
	(Home)	(Home)																			
	(Office)	(Office)																			
Email Address																					
Occupation <i>(If retired, state last position held)</i>																					
Name of Employer <i>(If unemployed/retired, state last employer)</i>																					
Employer Address																					
Nature of Business <i>(e.g. Banking, Education, Commerce, Real Estate, Logistics, Military, Casino/Nightclub)</i>																					
Purpose of Business Relations	<input type="checkbox"/> Investments <input type="checkbox"/> Others : _____	<input type="checkbox"/> Investments <input type="checkbox"/> Others : _____																			
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	<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																			
Estimated Net Worth	<table border="0"> <tr> <td></td> <td>Main</td> <td>Joint</td> </tr> <tr> <td>Less than S\$200,000</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>S\$200,000- S\$500,000</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>S\$500,000 - S\$1 million</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>S\$1 million - S\$2 million</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> <tr> <td>More than S\$2 million</td> <td><input type="checkbox"/></td> <td><input type="checkbox"/></td> </tr> </table>		Main	Joint	Less than S\$200,000	<input type="checkbox"/>	<input type="checkbox"/>	S\$200,000- S\$500,000	<input type="checkbox"/>	<input type="checkbox"/>	S\$500,000 - S\$1 million	<input type="checkbox"/>	<input type="checkbox"/>	S\$1 million - S\$2 million	<input type="checkbox"/>	<input type="checkbox"/>	More than S\$2 million	<input type="checkbox"/>	<input type="checkbox"/>	Source of Wealth [Where total assets/wealth originated.] <input type="checkbox"/> Savings <input type="checkbox"/> Employment <input type="checkbox"/> Investment <input type="checkbox"/> Rental Income <input type="checkbox"/> Business Income (Nature of Business: _____) <input type="checkbox"/> Gifts/Inheritance (From: _____) <input type="checkbox"/> Others _____	Source of Wealth [Where total assets/wealth originated.] <input type="checkbox"/> Savings <input type="checkbox"/> Employment <input type="checkbox"/> Investment <input type="checkbox"/> Rental Income <input type="checkbox"/> Business Income (Nature of Business: _____) <input type="checkbox"/> Gifts/Inheritance (From: _____) <input type="checkbox"/> Others _____
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S\$1 million - S\$2 million	<input type="checkbox"/>	<input type="checkbox"/>																			
More than S\$2 million	<input type="checkbox"/>	<input type="checkbox"/>																			
Source of Funds/Assets [Where the assets to be invested originated from.]	<input type="checkbox"/> _____	<input type="checkbox"/> _____																			

Delete accordingly

● Sign here

Signature of Main Applicant

● Sign here

Signature of Joint Applicant, if any

MAIN APPLICANT		JOINT APPLICANT
TAX RESIDENCY & TAX IDENTIFICATION NUMBER (TIN) I am a tax residence of :-	<input type="checkbox"/> Singapore/TIN _____ <input type="checkbox"/> United States of America [TIN / Social Security No: _____] Please complete the W-9 Form. <input type="checkbox"/> Other Country(ries) Country _____ / TIN _____ Country _____ / TIN _____	<input type="checkbox"/> Singapore/TIN _____ <input type="checkbox"/> United States of America [TIN / Social Security No: _____] Please complete the W-9 Form. <input type="checkbox"/> Other Country(ries) Country _____ / TIN _____ Country _____ / TIN _____
Marital Status	Single/Married/Other*	Single/Married/Other*
Spouse's Name		
Spouse's NRIC/Passport No.		
Are you related to any director, employee or remisier of Maybank Securities?	No / Yes* (if yes, please state name of employee and relationship)	No / Yes* (if yes, please state name of employee and relationship)
Do you have existing account(s) with other broking firms?	No / Yes* (if yes, please name the firms)	No / Yes* (if yes, please name the firms)

Delete accordingly

JOINT APPLICANT'S RELATIONSHIP WITH MAIN APPLICANT (if applicable): _____
CPF/SRS DETAILS

(Please select and provide details if applicable)

 CPF AIS : DBS OCBC UOB A/c No: _____
 SRS Agent Bank : DBS OCBC UOB A/c No: _____
FINANCIAL ADVISORY (Not available for Accredited, Expert and Overseas investors)
 Yes
 No, I/we wish to proceed without receiving any advice (except for execution-related advice) from Maybank Securities. In choosing this option, I/we have decided to act on my/our own accord. Therefore, it is my/our responsibility to ensure the suitability of the product selected. I/We will not be able to rely on section 27 of the Financial Advisers Act, Chapter 110 of Singapore (the "FAA") to file a civil claim in the event that I/we allege that I/we have suffered a loss.

 Note: Advice about listed Specified Investment Products can be requested at any time. For more information on listed Specified Investment Products, please refer to our **Guide and Cautionary Notes in Applying For/Continuing with an Account with Maybank Securities.**
POLITICALLY EXPOSED PERSON ("PEP")

PEP means a natural person who is or has been entrusted with prominent public functions whether in Singapore or in a foreign country, or in an international organisation. "Prominent public functions" includes the roles held by a head of state, a head of government, government ministers, senior civil or public servants, senior judicial or military official senior executives of state owned corporations, senior political party official members of the legislature and senior management of international organisations. "International organisation" means an entity established by formal political agreements between member countries that have the status of international treaties, whose existence is recognised by law in member countries and which is not treated as a resident institutional unit of the country in which it is located.

 Do you or any of your immediate family member hold, or are currently seeking a position or are being considered for a prominent public function? [Yes / No]
 Are you a close associate of any individual who holds or is currently seeking a position or is being considered for a prominent public function? [Yes / No]
 Please provide the following information if you answered "Yes" to the above questions.

Name: _____ Relationship to Applicant: _____

Position/Title: _____ Employer/Country: _____

PERSONAL DATA PROTECTION CONSENT

I/We confirm that I/we understand and accept the Personal Data Protection Consent terms in the Acknowledgement and Declaration section of this Application Form and agree that Marketing Messages may be sent to my/our telephone contact number(s) by:

 Voice call (including calls through third party applications such as Viber or Tango)
 Text message (SMS / MMS, including messages through third party applications such as Whatsapp or Line)
 Fax
ACKNOWLEDGEMENT AND DECLARATION BY APPLICANT(S)

In addition to the consent I/we give above, I/we confirm that I/we understand and accept the Acknowledgement and Declaration section of this Application Form.

● Sign here

● Sign here

● Sign here

● Sign here

Signature of Main Applicant

Signature of Joint Applicant, if any

Signature of Witness

Signature of Notary public, if any

Date

Date

Date

Date

FOR OFFICIAL USE ONLY			
TR Name/Code:	TR Signature:	Date:	
<input type="checkbox"/> CDP Account Number : 1681 - _ _ _ - _ _ _ _	<input type="checkbox"/> DASub-Account : 2211 - _ _ _ _ - _ _ _ _		
Account Number:	Special Code:	Date A/C opened : _____	
Remarks:	Walk-In: <input type="checkbox"/> Yes <input type="checkbox"/> No	Input By : _____	Signature: _____
		Input Checked By : _____	Signature: _____

ACKNOWLEDGEMENT AND DECLARATION BY APPLICANT(S)

I/We confirm that I/we understand and accept:-

- a. the Terms & Conditions of Maybank Securities Pte Ltd ("Maybank Securities T&C") (as may be changed from time to time) and understand that the Maybank Securities T&C shall govern my/our relationship, trading accounts, margin accounts, Internet or mobile trading, custodial or other services of Maybank Securities; and
- b. the risks associated with trading of various financial instruments in Part VII. Risk Disclosure Statement of Maybank Securities T&C.

I/We acknowledge that the Maybank Securities T&C is available on www.maybank-ke.com.sg/terms-conditions (or any other website notified to me/us) and that a printed copy of the Maybank Securities T&C is available upon my/our request. I/We acknowledge also that the Maybank Best Execution Policy is available on www.maybank-ke.com.sg (or any other website notified to me/us) and that a printed copy of the said Maybank Best Execution Policy is available upon my/our request.

I/We accept that Maybank Securities reserves the unconditional right to decline this Application without giving any reason whatsoever.

I/We am/are aware that Maybank Securities' trading representatives may operate from outside Maybank Securities' office premises, which might affect customer service and there may be risks of delay in trade processing, outages and unauthorised trading. I/We agree to place trade orders only with such trading representatives, and I/we shall be responsible for monitoring my/our accounts for any unauthorised trading and direct all complaints, if any, to Maybank Securities for investigation.

I/We represent, warrant and undertake to Maybank Securities that:

- a. All my/our particulars and the information given or to be given from time to time to Maybank Securities are and will be true and accurate in form and substance, any changes will be notified to Maybank Securities 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 this application 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(s) applied for.
- d. I/We am/are not blacklisted with the SGX-ST, SGX-DT 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) based on my/our own judgment and did not rely on any representation, warranty, views or information from Maybank Securities, its employees or its trading representatives.

(FOR JOINT ACCOUNT HOLDERS)

- (i) We request Maybank Securities to open a joint trading account in our joint names to be operated by either one of us. We confirm that any instructions (including trading and settlement instructions), authorisation, request, act, admission, agreement or settlement of whatever nature in respect of the operation of the joint account or any transaction given by either one of us shall be binding on the other joint account holder and Maybank Securities may act on the same.
- (ii) We agree that Maybank Securities may in its absolute discretion impose such terms and conditions, restrictions or limits as Maybank Securities shall deem fit in the operation of our joint account and our respective individual trading or other accounts with Maybank Securities including the monitoring of our aggregate exposure.

TAX COMPLIANCE

I/We am/are aware of Singapore's commitment to protect its financial system from being used to harbor or launder tax evasion monies or proceeds from serious tax offences with effect from 1 July 2013. Serious tax offences include omissions, falsifications or fraudulent conduct perpetrated with willful intent to evade tax or to assist others in evading tax.

I/We am/are responsible for my/our own tax affairs and any tax and/or legal advice necessary to make this declaration. I/We accept that Maybank Securities is not responsible for providing me/us with any legal or tax advice and I/we confirm that I/we have not relied on Maybank Securities to provide me/us with such advice.

To the best of my/our knowledge, information and belief, I/we declare that:

- a. My/Our accounts/transactions with Maybank Securities are in compliance with the tax laws of the relevant country within which I/we am/are residing, domiciled in or tax citizens of;
- b. I/We have neither willfully committed nor been convicted of any serious tax offences;
- c. Any payments or assets I/we provide to Maybank Securities for any transactions or accounts with Maybank Securities are sourced from legitimate sources and are not proceeds of serious tax offences; and
- d. Any accounts or transactions by me/us with Maybank Securities are not and will not be used in connection with any serious tax offences.

I/We consent to Maybank Securities disclosing any information relating to me/us including details of my/our account(s), investments or transactions to any government, tax and regulatory agency or authority or any party (located in or outside Singapore) for the purpose of enabling Maybank Securities to comply with any legal, tax or regulatory obligation under any applicable laws (including the Foreign Account Tax Compliance Act ("FATCA"), the Common Reporting Standard ("CRS") or any similar law in any jurisdiction).

I/We authorise Maybank Securities to deduct or withhold from my/our account(s) maintained with Maybank Securities such amounts or otherwise make any payment on account of any tax or levy in any jurisdiction where Maybank Securities is required to do so by any government agency, revenue authority or any party in any jurisdiction and/or under any applicable law (including FATCA and CRS).

I/We consent that Maybank Securities may classify me/us as a recalcitrant account holder and/or suspend, recall or terminate my/our account(s) and/or facilities granted to me/us, if I/we fail to provide accurate and complete information and/or documentation as Maybank Securities may require.

I/We agree to indemnify Maybank Securities and its related companies or affiliates, to the extent permitted by law, for any loss or liability that may be incurred by Maybank Securities or its related companies or affiliates in connection with any breach by me/us of any of my/our declarations above or obligations and/or Maybank Securities' law.

I/We acknowledge and agree that I/we may incur liabilities arising from or in connection with Maybank Securities' compliance with FATCA, CRS or any tax or regulatory obligations under any applicable laws and I/we agree that Maybank Securities shall not be liable for that loss.

PERSONAL DATA PROTECTION CONSENT

I/We agree and consent that Maybank Securities, its affiliates or related companies, agents and business partners may collect, use, disclose and process my/our personal data provided by me/us or held by Maybank Securities for the purposes stated in the Maybank Securities T&C (collectively, the "Purposes"). Such Purposes include:

- a. Administrating or managing my/our relationship or account with Maybank Securities, including carrying out my/our instructions;
- b. Providing me/us with the products and services of Maybank Securities, as well as products and services by other external providers provided through Maybank Securities;
- c. Sending me/us marketing, advertising and promotional information and materials relating to the products and services of Maybank Securities, its affiliates or related companies, agents and business partners, which may be of interest to me/us by postal mail or e-mail ("Marketing Mails");
- d. Sending me/us marketing, advertising and promotional information and materials relating to the products and services of Maybank Securities, its affiliates or related companies, agents and business partners, which may be of interest to me/us to my/our telephone contact number(s) by ("Marketing Messages") the mode(s) I/we choose.

I/we accept that I/we can withdraw my/our consent for receiving Marketing Mails and Marketing Messages at the website: www.maybank-ke.com.sg.

I/we consent that my/our personal data may be disclosed or transferred to service providers, suppliers, agents, or intermediaries of Maybank Securities or any other third parties stated in the Maybank Securities T&C, whether in Singapore or elsewhere, for the Purposes, in a manner consistent with Maybank Securities Privacy Policy on the Maybank Securities website, or to the extent necessary under the applicable law.

E-STATEMENT CONSENT

In providing you my/our email address, I/we agree and consent to receiving daily and/or monthly statements, contract notes and/or other correspondence or communications from Maybank Securities online (the "e-Statements"). I/We accept to be notified of the e-Statements via electronic means and I/we can withdraw my/our consent for receiving e-Statements at any time, and that information on how to do so is available on www.maybank-ke.com.sg under FAQ.