

# Securities Trading Account Application

# INDIVIDUAL/JOINT ACCOUNT APPLICATION CHECKLIST

You are required to open your trading account in person to have your signature witnessed at any of our DBS/ POSB Bank branches. A copy of our General Trading Agreement may be downloaded from our website at [www.dbsvonline.com](http://www.dbsvonline.com).

## 1 Supporting Documents Required

- For Singaporean/PR: NRIC (both sides)
- For Foreigner:
  - For Malaysian: Malaysian IC (both sides)
  - For Other Nationalities: Passport (at least 6 months to expiry)
  - Latest Proof of Residence (Bank/CPF/IRAS Statement dated within 3 months)
  - Employment Pass (if applicable)

## 2 Forms Required

- DBS Vickers Individual/Joint Application Form
- SGX Apply for/Revoke Linkage Form
- SGX Apply for Joint Securities Account

**Note:**

To apply for a SGX Individual Securities Account, please visit [www.sgx.com/cdp](http://www.sgx.com/cdp) to apply online.

- Self-Certification on Tax Residency Status
- Payment Facility -
  - For Joint Trading Accounts only
    - Option to choose
      - GIRO or EPS
- Settlement Account Linkage
  - For Individual Online Trading Accounts only
    - Mandatory to link to an Individual DBS Multi-Currency Account
- W-8BEN Form – Required if you wish to trade US securities

**NOTE:**

Should you wish to trade in Overseas-listed and/or Specified Investment Products, please log in to your trading account at [www.dbsvickers.com](http://www.dbsvickers.com) and proceed to "My Account" to declare your qualification via a web-based form once you have successfully opened your account with us. Please allow a minimum of 3 working days for processing. Alternatively, you may call our Customer Service Line at (65) 6327 2288 for assistance.

# 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)

Cash Trading Account

(a) **Online** Cash Trading Account - without a dealer

(b) **Online** Cash Trading Account - with a dealer

(c) **Offline** Cash Trading Account - with a dealer

## 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.     -    -

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 \_\_\_\_\_

Mailing address per First Applicant

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  CGS International 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"):

- (a) 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;
- (b) 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);
- (c) 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;
- (d) 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;
- (e) 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);
- (f) By signing this application, I/we (known as "Customer" in Exhibit B – NYSE MARKET DATA DISPLAY SERVICES ("NYSE agreements"), and "Subscriber" in the "CME Subscriber Addendum" or Subscriber Addendum" ("CME agreements"), and
  - (1) That I/we have read the New York Stock Exchange ("NYSE") agreements and Chicago Mercantile Exchange Inc ("CME") and the CME agreements, a copy of which is available at <https://www.dbsvickers.com/iwov-resources/media/vickers-pdf/GTA.pdf>;
  - (2) That I/we undertake and agree to be bound by the NYSE and CME subscriber agreements;
  - (3) That I/we accept that NYSE and CME may enforce their rights pursuant to the subscriber agreements in their own name directly against me/us;
  - (4) That DBS Vickers is not an agent of NYSE or CME and is not authorized to add to or delete from the NYSE or CME subscriber agreements and is not authorized to modify any provision of the NYSE and CME subscriber agreements; and
  - (5) That no provision has been added to or deleted from the NYSE and CME agreements and that no modifications have been made to them. We warrant that I/we have am/are legally able to undertake the obligations set forth in the aforesaid agreements;
- (g) That I/we have read the CEG Non-professional application agreement ("CEG agreement") for receipt of Canadian Exchange Group Market Data a copy of which is available at <https://www.dbsvickers.com/iwov-resources/media/vickers-pdf/GTA.pdf>;
  - (1) That I/we undertake and agree to be bound by the CEG agreement;
  - (2) That I/we accept that CEG and/or their appointed agent TSX Inc ("TSX") may enforce their rights pursuant to the subscriber agreements in their own name directly against me/us;
  - (3) That DBS Vickers is not an agent of CEG or TSX and is not authorized to add to or delete from the CEG agreements agreements and is not authorized to modify any provision of the CEG agreements; and
  - (4) That no provision has been added to or deleted from the CEG agreement and that no modifications have been made to them. We warrant that I/we have am/are legally able to undertake the obligations set forth in the aforesaid agreements.
- (h) 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
- (i) in addition, I/we hereby declare that I/we am/are not an undischarged bankrupt/undischarged bankrupts
- (j) 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.
- (k) 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), a copy of which is available at <https://www.dbsvickers.com/iwov-resources/media/vickers-pdf/GTA.pdf>

I have read, understood and accepted sub-paragraphs (j) and (k) above with reference to the General Trading Agreement

**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.
- (a) 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.
  - (b) Your instructions given will replace and supersede all previous instructions given to us, whether written or otherwise.
  - (c) 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.
  - (d) 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.dbsvonline.com](http://www.dbsvonline.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 be bounded by the terms of E-statement Service Agreement (available at <https://www.dbsvickers.com/vickers/estatement.page>)

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

# Apply for Joint Securities Account

All fields in Section 1 to 5 are **mandatory**. Please complete in **BLOCK** letters and countersign against any amendments.

**Note:** Communication on joint account matters will be sent to the contact details of Main Applicant.

Please select **ONE**:

- Joint-Alternate Account (Requires either account holder to sign)  Joint-AND Account (Requires **both** account holders to sign)

## 1 Main Applicant *(Contact details will be used for communication on all CDP Services. They will replace any existing records in CDP.)*

Title  Dr  Mdm  Mr  Mrs  Ms

Name (as in NRIC/Malaysian IC/Passport) \_\_\_\_\_ Date of Birth  /  /  Gender:  M  F

NRIC / Malaysian IC / Passport Number \_\_\_\_\_ Country of Citizenship \_\_\_\_\_  Singapore PR

(If Passport provided as supporting document) Passport Expiry  /  /  Passport Country of Issue \_\_\_\_\_

Foreign Identification Number *(FIN is required for online access using Singpass)* \_\_\_\_\_

Contact Number + (  ) *(Mobile)* |  *(Other)* | Email Address  *(Mandatory)*

Residential Address \_\_\_\_\_ Postal Code \_\_\_\_\_  
*(as in NRIC/Malaysian IC)*

Mailing Address (complete only if it is different from Residential Address) *This will be used for correspondences from CDP.*  
\_\_\_\_\_ Postal Code \_\_\_\_\_

Corporate Actions Mailing Address (complete only if Mailing Address is not in Singapore)  
*This will be used for companies to send notifications when a Singapore mailing address is required.*  
\_\_\_\_\_ Postal Code \_\_\_\_\_

## 2 Joint Applicant *(Contact details will be used for communication on all CDP Services. They will replace any existing records in CDP.)*

Title  Dr  Mdm  Mr  Mrs  Ms

Name (as in NRIC/Malaysian IC/Passport) \_\_\_\_\_ Date of Birth  /  /  Gender:  M  F

NRIC / Malaysian IC / Passport Number \_\_\_\_\_ Country of Citizenship \_\_\_\_\_  Singapore PR

(If Passport provided as supporting document) Passport Expiry  /  /  Passport Country of Issue \_\_\_\_\_

Foreign Identification Number *(FIN is required for online access using Singpass)* \_\_\_\_\_

Contact Number + (  ) *(Mobile)* |  *(Other)* | Email Address  *(Mandatory)*

Residential Address \_\_\_\_\_ Postal Code \_\_\_\_\_  
*(as in NRIC/Malaysian IC)*

Mailing Address (complete only if it is different from Residential Address) *This will be used for correspondences from CDP.*  
\_\_\_\_\_ Postal Code \_\_\_\_\_

Corporate Actions Mailing Address (complete only if Mailing Address is not in Singapore)  
*This will be used for companies to send notifications when a Singapore mailing address is required.*  
\_\_\_\_\_ Postal Code \_\_\_\_\_

## 3 CDP Services *(see section 8 for details)*

Direct Crediting Service **(Mandatory)**

Please provide a SGD bank account with one of the following banks in Singapore.

- Citibank  DBS/POSB  HSBC  Maybank  OCBC  Standard Chartered  UOB

Bank Account Number **(Mandatory)** \_\_\_\_\_ *(Omit dash)*

**Currency Conversion Service**  
*(All foreign currencies will be converted to SGD and deposited into DCS bank account), CDP Internet and Phone Service will be provided by default.*

**4 Tax Residency** (Mandatory). Please complete the following table indicating ALL Countries where you are a tax resident:

\*All U.S. persons must provide a completed Form W-9, available at <https://www.irs.gov/businesses/corporations/fatca-related-forms>.

\*All non-U.S. persons with U.S. details must provide a completed Form W-8BEN, available at <https://www.irs.gov/businesses/corporations/fatca-related-forms>.

\*Considered no longer U.S. persons must provide 1) Form W-8BEN; and 2) Copy of Certificate of Loss of Nationality of the U.S.; and 3) New Identification Document

Reason A: I am resident of a country/jurisdiction which does not issue TIN to its residents.

Reason B: I am otherwise unable to obtain TIN or equivalent number. (Please explain why you are unable to obtain a TIN if you have selected this reason.)

Reason C: TIN is not required (to be selected only if domestic law of relevant country/jurisdiction of tax residence indicated above does not require the collection of the TIN issued by such country or jurisdiction.)

Main Applicant	Country	TIN or equivalent	If no TIN available, indicate Reason A,B,C	Explanation if Reason B is indicated
Tax Residency 1:				
Tax Residency 2:				
Tax Residency 3:				

Joint Applicant	Country	TIN or equivalent	If no TIN available, indicate Reason A,B,C	Explanation if Reason B is indicated
Tax Residency 1:				
Tax Residency 2:				
Tax Residency 3:				

**5 Declaration by Securities Account Applicants**

We have read and understood and hereby make the declarations stated in Section 7 (see overleaf). Unless indicated otherwise below, we hereby consent and authorize CDP to provide promotional materials to us and to collect, use and disclose our personal data as set out in Sections 14.7 and 14.8 of the Terms & Conditions for Operation of Securities Account with The Central Depository (Pte) Limited.

We do not wish to receive any promotional materials and information relating to products and/or services from CDP.

\_\_\_\_\_  
Signature (Main Applicant) Name

\_\_\_\_\_  
Signature (Joint Applicant) Name

\_\_\_\_ / \_\_\_\_ / \_\_\_\_  
D D M M Y Y  
Date

**6 To be completed by broker (SGX-ST Member)** (You do not need to complete this section if you are mailing in the documents)

We confirm that we have witnessed and verified the particulars and signatures of the above Securities Account applicants.

\_\_\_\_\_  
Authorised Signatory & Company Stamp

\_\_\_\_\_  
Name & Designation

\_\_\_\_ / \_\_\_\_ / \_\_\_\_  
D D M M Y Y  
Date

CDP Securities Account Number generated by broker \_\_\_\_\_

**7 Supporting Documents Required**

Primary Supporting Documents Required (Both Applicants)	Ways to submit	
	If you visit a broker	If you mail to CDP
<ul style="list-style-type: none"> <li>• <b>Singaporean / Singapore PR</b> – NRIC; or Singapore Armed Forces Identity Card; or Singapore Police Force Identity Card and Passport</li> <li>• <b>Malaysian</b> – Work Pass/Malaysian IC</li> <li>• <b>Other Nationality</b> – Work Pass/Passport</li> </ul>	Original	Photocopy
<p><b>Secondary Supporting Documents Required (Both Applicants)</b> (must be within the past 3 months and must contain each applicant's name and current residential address)</p> <p>a) Bank statement from any Monetary Authority of Singapore ("MAS") licensed banks; or b) Statement from Central Provident Fund ("CPF"); or c) Statement from Inland Revenue Authority of Singapore ("IRAS")</p> <p><b>Tax Residency</b> – Any <u>one</u> of the following documents: a) Valid government issued ID (e.g. Driver's license, Employment Pass/Visa, Student Pass); Or b) Document from government agencies (e.g. Tax assessment, Employment visa).</p> <p>If you have any questions about your tax residency status, please visit the <a href="http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/">http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/</a> or consult your tax advisor</p>	N.A.	Original or electronic copy

## 8 Important Information

### Declaration by Securities Account Applicant

1. We declare that we are not under 18 years of age or an undischarged bankrupt. We hereby request you to open and maintain a Securities Account and hereby warrant that we have full capacity and authority to make this application. We represent, warrant and certify that the information provided in this application (including without limitation the information relating to our tax residence status, tax identification number(s), Form(s) W-9 and/or W-8, and all supporting documentation and forms furnished in connection herewith) (collectively, "information") are true, complete and accurate.
2. We have read and understood the CDP Terms & Conditions referred to below which form part of our application for the opening of a Securities Account with CDP, and hereby agree to be bound by them.
3. We agree that the Securities Account will be operated in accordance with the CDP Terms & Conditions referred to below, in force and as may be amended from time to time.
4. For purposes of processing this application and to effect direct crediting services to our bank account in the participating bank specified in Section 3 of this form ("Bank"), we authorise CDP to provide a disclosure to, or seek verification from, our Bank without further reference to us in relation to all the information contained herein (as amended or updated from time to time) and such information as may be required to effect direct crediting services to our bank account. We understand that CDP reserves the right to close the Securities Account if the bank account provided in this form is found to be invalid.
5. We understand that this form will be used as a self-certification form for regulatory requirements under the Foreign Account Tax Compliance Act (FATCA) and Common Reporting Standard (CRS). We acknowledge and agree that the information provided in connection with this application and information regarding the Securities Account may be provided to the Singapore tax authority and exchanged with tax authorities of another country or countries pursuant to intergovernmental, bilateral or multilateral competent authority agreements to exchange financial account information.
6. If any information (including any self-certification) changes or becomes invalid, incorrect, inaccurate and/or unreliable ("Change") in any way, we shall promptly inform CDP in writing within 30 days from the date we had knowledge of the Change and undertake to provide CDP with such information, certification, documents or evidence that CDP may require in connection with such Change.
7. We understand that we may only open and maintain one (1) Joint Securities Account between us. In the event that it is ascertained (whether by CDP or otherwise) that we have an existing Joint Securities Account between us and another application for a Joint Securities Account is made in our names ("Further Application"), we agree that (a) CDP will not open another Joint Securities Account in our names; and (b) CDP will not process the Further Application, save that CDP will rely on the particulars set out in the Further Application and update the particulars in CDP's records with the particulars set out in the Further Application (where they are different). In the event of any discrepancy, CDP shall be entitled to rely on the particulars set out in the Further Application.
8. We agree that in providing our email addresses in this application form, CDP may, for the purposes of reviewing, considering and/or processing our application, communicate with both/ either of us through email at either email address (or both email addresses) listed in this application form. We agree that in the event that any communications, instructions and/or supporting document(s) sent or are purported to be sent by or on behalf of both/ either of us to CDP has been sent by email, CDP will act and shall be considered as being authorised by us/ either of us to rely and act upon the emailed communication or instructions and/or supporting document(s) sent by email without the original, and CDP shall not be liable to us arising from such reliance and acts. CDP has the absolute discretion not to act on or rely on any emailed communication or instructions that do not emanate from the specified email address(es).

### CDP Terms & Conditions

Securities Account opening and application for CDP services are subject to the following Terms & Conditions which are available at [investors.sgx.com](http://investors.sgx.com)


1. Operations of Securities Account
2. For CDP to act as Depository for Foreign Securities and Depository Receipts
3. SBL Programme for Borrowers and Lenders

### CDP Services

1. Direct Crediting Service (DCS) allows you to receive your Singapore Dollar dividend (DCS) payments and other cash distributions directly into your designated bank account. Please note that DCS is mandatory.
2. Currency Conversion Service ensures that your payouts are always converted into Singapore dollars at competitive rates, and credited directly to your DCS-linked bank account with transaction fees waived.
3. CDP Pre-Settlement Notification Service (PSN) allows you to receive SMS notifications of upcoming transactions in your account. All CDP customers are subscribed to this service by default.
4. CDP Internet and CDP Phone allow you online and phone access to your information. For more information on the services, visit us at [investors.sgx.com](http://investors.sgx.com).
5. If you opt-in under Section 5 and subsequently do not wish to receive promotional materials and information relating to products and services from the Group, please complete the Withdrawal from Direct Marketing Form available at [investors.sgx.com](http://investors.sgx.com) and submit to CDP.

## 9 What happens next?

**Attach the required supporting documents to this form, then:**

	<b>Mail to CDP</b> The Central Depository (Pte) Limited P.O. Box 2002 Robinson Road Singapore 904002			<b>Pass it to your Broker</b>
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**You will receive a CDP notification once your request is processed.**



# Apply for / Revoke Account Linkage

Please countersign against any amendments.

## 1 Your Details

**Name** (as in NRIC / Malaysian IC / Passport / Corporate Registry)

**Identification Number**  
(NRIC / Malaysian IC / Passport Number / Company Registration Number)

**CDP Securities Account Number**  -  -

## 2 What service do you require? Please only choose ONE.

**Linkage**  
To facilitate the settlement of sale and purchase transactions

Name of Broker (SGX-ST Member)

### Authorisation and Terms and Conditions

I/We, the holder(s) of the CDP Securities Account stated above, hereby authorise The Central Depository (Pte) Limited (CDP) to link my/our (a) Trading Account or (b) Position Account created by the broker in respect of my/our Trading Account (as applicable) stated below to such CDP Securities Account to facilitate the settlement of securities for sales and purchases done in my/our Trading Account (**Linkage**). I/We acknowledge and agree that my/our application for and use of, and the provision by CDP of, the Linkage service shall be governed by the Terms and Conditions for Operation of Securities Account with CDP, available at [sgx.com/cdp](http://sgx.com/cdp).

**Revocation**  
To terminate the existing Linkage

Name of Broker

Trading/Position Account Number

Signature Name

Signature (Joint or Corporate A/C) Name

Company Stamp (For Corporate Account Only)

Date

## 3 To be completed by broker (SGX-ST Member) for Linkage

We hereby certify and confirm that the Trading Account below has been opened with us in accordance with the Singapore Exchange Securities Trading Limited Rules.


Broker Code  Trading/Position Account Number

Signature (Director(s)/Company Secretary) Name

Company Stamp


Date

## 4 What happens next?



**Mail to CDP**  
The Central Depository (Pte) Limited  
P.O. Box 2002  
Robinson Road  
Singapore 904002

OR



**Pass it to your Broker**

**You will receive a CDP notification once your request is processed.**

Please log in to SGX Investor Portal at [investors.sgx.com](http://investors.sgx.com) to access the notification under e-Statements.



## SELF-CERTIFICATION ON TAX RESIDENCY STATUS

### Particulars of Customer

Name (as in NRIC/Passport) .....

NRIC/Passport Number ..... Date of Birth ..... (DD-MM-YYYY)

Residential Address (as per our records and should not be a P.O. Box)

.....

..... Postal Code .....

State ..... Country .....

### US Tax Residency Status (Please tick [ ] one of the boxes only)

For US federal income tax purpose, I represent and warrant that:

I am not a US Person<sup>1</sup> / Tax Resident<sup>2</sup> / Green Card Holder.

*Please provide one of the following documents:*

- copy of non-US passport; or
- non-US government issued identification.

*Additionally, if you were born in the US, please provide:*

- copy of certificate of loss of nationality of the US; or
  - reasonable explanation that you do not have such a certificate:
- .....
- .....

I am a US Person<sup>1</sup> / Tax Resident<sup>2</sup> / Green Card Holder.

*Please provide your US Taxpayer Identification Number (TIN)<sup>3</sup> or Social Security Number (SSN):*

			-			-				
--	--	--	---	--	--	---	--	--	--	--

I confirm that I am **no longer a US Person**<sup>1</sup>.

*Please provide the following documents:*

- copy of non-US passport, and
  - one of the following:
    - a) copy of certificate of loss of nationality of the US; or
    - b) I-407 Form; or
    - c) reasonable explanation that you do not have such a certificate:
- .....
- .....

### Other Tax Residency Status

Please complete the following indicating (a) **all** jurisdictions where you are a resident for tax purposes and (b) your TIN for each jurisdiction indicated.

Country/Jurisdiction of Tax Residence <sup>2</sup>	Tax Identification Number (TIN) <sup>3</sup> or equivalent number	If no TIN <sup>3</sup> available, enter Reason* A, B, or C	Explanation for Reason B (e.g. unemployed, minor, etc.)
.....	.....	.....	.....
.....	.....	.....	.....
.....	.....	.....	.....

**\*Reasons:**

A – I am a resident of a country/jurisdiction which does not issue TINs to its residents.

B – I am otherwise unable to obtain a TIN or equivalent number. (Please explain why you are unable to obtain a TIN if you have selected this reason.)

C – TIN is not required. (Note: To be selected only if the law of the country of tax residence stated above does not require the TIN to be collected.)

- Please provide a copy of the government-issued document to support your tax residence information (e.g. identity card, passport, employment pass/work permit or documents from the tax authority showing recent filing of income tax). More than one supporting document may be required if you are declaring yourself as a tax resident of more than one country/jurisdiction.
- If your country/jurisdiction of tax residence did not include the country of your residential address, please tick the following box as confirmation:
  - I am not a tax resident of the country(ies) where I am residing. By checking this box, I also confirm that I am not a tax resident of any countries other than those I have declared above.
- In the absence of the above confirmation, DBS Vickers may have to disclose your account information to tax authority based on your information held in our records. In addition, you may not be able to open additional accounts or purchase investments with us.

### Notes:

<sup>1</sup> Definition of "US Person"

Please refer to <https://www.irs.gov/individuals/international-taxpayers/classification-of-taxpayers-for-u-s-tax-purposes> on how to determine if you are a US person.

<sup>2</sup> Definition of "Tax Resident"

Each jurisdiction has its own rules for defining tax residence, and jurisdictions have provided information on how to determine if you are a resident in the jurisdiction on the following website: <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/>. For more information on tax residence, please consult your tax adviser or the information at the OECD automatic exchange of information portal mentioned above.

<sup>3</sup> TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual and is used to identify the individual for the purpose of administering tax laws of such jurisdiction.

### Self Certification

1. I agree that DBS Vickers Securities (S) Pte Ltd ("DBSV") may disclose and transfer to its branches, subsidiaries, affiliates or representative offices located in any jurisdiction the information contained in this form, and any information relating to my accounts and products with DBSV, in connection with or to facilitate their compliance with applicable laws and regulations.
2. I certify that the information above is true, accurate and complete. If any information changes, I shall immediately inform DBSV within 30 calendar days of the change, and provide supporting documents if required.
3. I consent to DBSV collecting, using and disclosing information (including disclosing information to any Singapore or other government authority or agency) that I have provided for the purpose of complying with applicable laws and regulations.

Signature of Customer	Attended by
Date	Name of Verifying Officer/Date

## SELF-CERTIFICATION ON TAX RESIDENCY STATUS

### Particulars of Customer

Name (as in NRIC/Passport) .....

NRIC/Passport Number ..... Date of Birth ..... (DD-MM-YYYY)

Residential Address (as per our records and should not be a P.O. Box)

.....

..... Postal Code .....

State ..... Country .....

### US Tax Residency Status (Please tick [ ] one of the boxes only)

For US federal income tax purpose, I represent and warrant that:

- I am not a US Person<sup>1</sup> / Tax Resident<sup>2</sup> / Green Card Holder.  
Please provide one of the following documents:
- copy of non-US passport; or
  - non-US government issued identification.

Additionally, if you were born in the US, please provide:

- copy of certificate of loss of nationality of the US; or
- reasonable explanation that you do not have such a certificate:

.....

.....

- I am a US Person<sup>1</sup> / Tax Resident<sup>2</sup> / Green Card Holder.  
Please provide your US Taxpayer Identification Number (TIN)<sup>3</sup> or Social Security Number (SSN):

			-			-				
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- I confirm that I am **no longer a US Person**<sup>1</sup>.  
Please provide the following documents:
- copy of non-US passport, and
  - one of the following:
    - a) copy of certificate of loss of nationality of the US; or
    - b) I-407 Form; or
    - c) reasonable explanation that you do not have such a certificate:
- .....
- .....

### Other Tax Residency Status

Please complete the following indicating (a) **all** jurisdictions where you are a resident for tax purposes and (b) your TIN for each jurisdiction indicated.

Country/Jurisdiction of Tax Residence <sup>2</sup>	Tax Identification Number (TIN) <sup>3</sup> or equivalent number	If no TIN <sup>3</sup> available, enter Reason* A, B, or C	Explanation for Reason B (e.g. unemployed, minor, etc.)
.....	.....	.....	.....
.....	.....	.....	.....
.....	.....	.....	.....

**\*Reasons:**

- A – I am a resident of a country/jurisdiction which does not issue TINs to its residents.  
 B – I am otherwise unable to obtain a TIN or equivalent number. (Please explain why you are unable to obtain a TIN if you have selected this reason.)  
 C – TIN is not required. (Note: To be selected only if the law of the country of tax residence stated above does not require the TIN to be collected.)



- Please provide a copy of the government-issued document to support your tax residence information (e.g. identity card, passport, employment pass/work permit or documents from the tax authority showing recent filing of income tax). More than one supporting document may be required if you are declaring yourself as a tax resident of more than one country/jurisdiction.
- If your country/jurisdiction of tax residence did not include the country of your residential address, please tick the following box as confirmation:
  - I am not a tax resident of the country(ies) where I am residing. By checking this box, I also confirm that I am not a tax resident of any countries other than those I have declared above.
- In the absence of the above confirmation, DBS Vickers may have to disclose your account information to tax authority based on your information held in our records. In addition, you may not be able to open additional accounts or purchase investments with us.

### Notes:

<sup>1</sup> Definition of "US Person"

Please refer to <https://www.irs.gov/individuals/international-taxpayers/classification-of-taxpayers-for-u-s-tax-purposes> on how to determine if you are a US person.

<sup>2</sup> Definition of "Tax Resident"

Each jurisdiction has its own rules for defining tax residence, and jurisdictions have provided information on how to determine if you are a resident in the jurisdiction on the following website: <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/>. For more information on tax residence, please consult your tax adviser or the information at the OECD automatic exchange of information portal mentioned above.

<sup>3</sup> TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual and is used to identify the individual for the purpose of administering tax laws of such jurisdiction.

### Self Certification

1. I agree that DBS Vickers Securities (S) Pte Ltd ("DBSV") may disclose and transfer to its branches, subsidiaries, affiliates or representative offices located in any jurisdiction the information contained in this form, and any information relating to my accounts and products with DBSV, in connection with or to facilitate their compliance with applicable laws and regulations.
2. I certify that the information above is true, accurate and complete. If any information changes, I shall immediately inform DBSV within 30 calendar days of the change, and provide supporting documents if required.
3. I consent to DBSV collecting, using and disclosing information (including disclosing information to any Singapore or other government authority or agency) that I have provided for the purpose of complying with applicable laws and regulations.

Signature of Customer	Attended by
Date	Name of Verifying Officer/Date

## Payment Facility

(Please tick ONE option only)

Name of Client \_\_\_\_\_

Trading Account No

--	--	--	--	--	--	--	--

NRIC / Passport No \_\_\_\_\_

--	--	--	--	--	--	--	--

**GIRO (Direct Debit & Credit Authorisation)**

To: The Manager  
DBS/POSB

DBS Bank Account No to be credited  
**001-026485-0**

My/Our DBS/POSB Account Name \_\_\_\_\_

My/Our DBS/POSB Account No \_\_\_\_\_

I/We hereby instruct you to process DBS Vickers Securities (Singapore) Pte Ltd's instructions to debit/credit my/our account.

- i. You are entitled to reject DBS Vickers Securities (Singapore) Pte Ltd's debit/credit instruction(s) if my/our account does not have sufficient funds and charge me/us a fee on this. You may also at your discretion allow the debit even if this results in an overdraft on the account and charges are imposed accordingly.
- ii. This authorisation will remain in force until terminated by your written notice sent to my/our address last known to you or upon receipt of my/our written revocation through DBS Vickers Securities (Singapore) Pte Ltd.

Date \_\_\_\_\_

Signature of Client per Bank's specimen records

Signature (Joint applicant if applicable)

**\*For thumbprint(s), please go to the branch with your identification**

**Electronic Payment of Shares (EPS)**

I/We hereby request and authorise you:

- i. from time to time to pay all sales proceeds and contra gains due to me arising from transactions effected through the above trading account (the "Trading Account") to the bank
- 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 transactions

**Participating Banks (please tick ONE option only)**

DBS/POSB

Account No \_\_\_\_\_

UOB/OCBC/Citibank/Maybank\*  
**\*please delete accordingly**

Account No \_\_\_\_\_

I agree, acknowledge and undertake:

- that I have read the Terms and Conditions applicable to the EPS service on page 2 and hereby confirm that the same shall be binding on me whenever payments are made to the designated Bank Account by the Member Company or whenever payments are made by me to the Member Company from the designated Bank Account through EPS service.
- that the authorisations herein shall continue to be in force until I expressly revoke them by giving three (3) weeks' notice in writing delivered to the Member Company or the closure of the designated Bank Account, whichever is the earlier. The Member Company may in its absolute discretion terminate the EPS service by giving me written notice at our last known address; or in the case of closure of the Member Company, the designated Bank may in its absolute discretion terminate the EPS service.
- and consent to the disclosure by the Member Company to the Participating Bank and to any relevant person of all or any of the information in relation to or concerning the transactions effected through the Trading Account such as the contract or contra statement numbers, amounts due there under, the Trading Account number and such information as may be necessary or appropriate or that may arise in order to effect, or as a result of, the payments to the designated Bank Account by the Member Company or the payments by me to the Member Company from the designated Bank Account through the EPS service.

Date \_\_\_\_\_

Signature per DBSV's Trading Account

Signature (Joint applicant if applicable)

## APPLICATION FOR ELECTRONIC PAYMENT FOR SHARES TERMS AND CONDITIONS

- 1 The Member Company shall be entitled, but not bound, from time to time to pay the sales proceeds and contra gains (the "sales proceeds") arising from the transactions effected through the Trading Account to the designated Bank Account. The Member Company may, at its option, elect to pay me the sales proceeds by cheque and such election shall be binding on me.
- 2 No payments shall be made by the Member Company to the designated Bank Account through the Electronic Payment For Shares service (the "service") on Saturdays or half business days of the Participating Banks or the Member Company.
- 3 The Member Company shall be entitled, but not bound, from time to time to:
  - (a) deem and treat any payments made by me from time to time through the service (the "electronic payment") as being paid on the market day following the date of the electronic payment;
  - (b) apply all or any amounts received pursuant to the electronic payment in payment of outstanding purchases or contra losses (the "outstanding contracts") made through the Trading Account in chronological order so that the outstanding contract for which payment is due first will be settled first, notwithstanding any instructions from me as to how the electronic payment is to be applied; and
  - (c) set-off all or any amounts received pursuant to the electronic payment against all or any amounts due and owing by me to the Member Company before applying the said electronic payment to settle any outstanding contracts, notwithstanding any instructions from me as to which outstanding contract the electronic payment is to be applied.
- 4 The Member Company and the Participating Bank are not responsible for any errors, inaccuracies or omissions (the "omissions") in the information that may be displayed or transmitted by the Participating Bank to you for the purpose of making electronic payments through the service such as the contract or contra statement numbers and the amounts due thereunder. Your liability to the Member Company for all and any amounts owing to the Member Company shall be unaffected by the omissions.
- 5
  - (a) You shall remain liable to the Member Company for all and any amounts owing to the Member Company howsoever arising from transactions effected through the Trading Account until full payment is received by the Member Company.
  - (b) An electronic payment shall be deemed to be received by the Member Company if the Member Company's bank account is credited with the electronic payment. An instruction to the Participating Bank to debit the designated Bank Account and/or to transfer any amount from the designated Bank Account to the Member Company shall not constitute payment to the Member Company.
  - (c) Nothing herein shall prejudice or preclude the Member Company from exercising its rights to recover any amounts due and owing to the Member Company howsoever arising from transactions effected through the Trading Account, including the right to force-sell securities purchased under outstanding contracts, until the Member Company has received full payment therefor.
  - (d) Where the Member Company has exercised its rights to force-sell any securities, the Member Company shall be entitled to apply all or any amounts received pursuant to the electronic payment in accordance with condition 3(c) hereof.
- 6 Neither the Member Company, the Participating Bank nor their respective agents shall be liable for any loss, consequential loss, damages, costs and charges suffered by me or any other party as a result of any failure by the Participating Bank to credit payment of the sales proceeds into the designated Bank Account or as a result of any failure by the Participating Bank to transfer any electronic payment from the designated Bank Account to the Member Company or as a result of any malfunction, partial or total failure of any machine, data processing system, electronic transmission or communications system or arising from causes or circumstances beyond the control of the Member Company, the Participating Bank or their respective agents.
- 7 The Member Company and/or its agent's records of the instructions, operations or transactions made or performed, processed or effected through the service by the Member Company and/or its agent or by or purported to be by you or by the Participating Bank shall be binding and conclusive on you for all purposes whatsoever and shall be conclusive evidence of the instructions, operations or transactions.
- 8 The Member Company shall be entitled to add, vary, rescind or amend any or all these terms and conditions at any time at its discretion.

-----  
(TO BE DETACHED)

To: The Manager DBS Vickers Securities (Singapore) Pte Ltd 12 Marina Boulevard #10-01 Marina Bay Financial Centre Tower 3 Singapore 018982 Attention: Client Services Dept.	
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This Application is hereby REJECTED (please tick) for the following reason(s):

- |  |   |
|--|---|
| <input type="checkbox"/> Signature/Thumbprint# differs from DBS Bank's records | <input type="checkbox"/> Wrong account number                     |
| <input type="checkbox"/> Signature/Thumbprint# incomplete/unclear#             | <input type="checkbox"/> Amendments not countersigned by customer |
| <input type="checkbox"/> Account operated by signature/thumbprint#             | <input type="checkbox"/> Others: _____                            |

\_\_\_\_\_  
Date

\_\_\_\_\_  
Authorised Signature

Name of Approving Officer: \_\_\_\_\_

Name of Bank: \_\_\_\_\_

# Please delete where inapplicable

DBS Vickers Securities

## Settlement Account Linkage

(Applicable only for online individual account)

MCA-E

Name of Client \_\_\_\_\_

NRIC / Passport No \_\_\_\_\_

DBS MCA Account No \_\_\_\_\_

Trading Account No

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### Termination of Existing Payment Facility (Only applicable to customers with existing GIRO/EPS payment mode)

Your existing GIRO/EPS payment mode with DBS Vickers will be terminated and you are required to provide a valid individual DBS Multi-Currency Account ("MCA") for purposes of settlement of all trades and crediting of dividends.

#### MCA Linkage

- By linking my MCA to my trading account with DBS Vickers ("Trading Account"), I will be able to view certain account information and perform certain transactions with my MCA on the DBS Vickers trading platform, and for the purposes of facilitating this, I consent to:
  - DBS Bank Ltd ("DBS Bank") disclosing my MCA information (including my personal data) to DBS Vickers Securities (Singapore) Pte Ltd ("DBS Vickers") and DBS Vickers processing such information in accordance with the terms and conditions governing my Trading Account; and
  - DBS Vickers disclosing my Trading Account information (including personal data) to DBS Bank and DBS Bank processing such information in accordance with the terms and conditions governing my MCA.
- I may designate another MCA to be linked to my Trading Account. Notwithstanding my re-designation of the MCA to be linked, I agree to be bound by all applicable terms and conditions.

#### Settling Trading Orders with MCA

- I am responsible for maintaining sufficient funds in my MCA.
- I may trade in any foreign currency available under my MCA provided I have funds in the relevant foreign currency in my MCA.
- Should I opt for "cash upfront" as my settlement mode for my trading order and have insufficient funds in the relevant foreign currency, I may perform a foreign currency conversion at DBS Bank's prevailing rate using the Singapore Dollars in my MCA and this conversion may be performed on the DBS Vickers trading platform and reflected simultaneously in my DBS Bank transaction records, prior to my trading with my Trading Account. **I ACKNOWLEDGE THAT ANY FOREIGN CURRENCY CONVERSION PERFORMED WITH MY MCA WILL NOT BE REVERSED ONCE CONFIRMED, EVEN IF I DECIDE TO AMEND OR CANCEL MY TRADING ORDER OR IF MY TRADING ORDER PLACED IS NOT SETTLED.**
- I acknowledge that in the event I select the option of "cash trading" as the settlement mode for my executed orders and I have insufficient funds in the relevant currency during settlement, DBS Vickers shall be entitled to convert funds in other available currencies to settle my trades and/or force sell my shares.
- DBS Bank and DBS Vickers may modify or supplement any of the terms and the terms above by giving me notice on the DBS Vickers online trading platform or in a manner they deem fit. Neither DBS Bank nor DBS Vickers shall be responsible to me for any loss (including consequential loss and/or loss of profit), damage, expense or cost that I may incur as a result of me performing the foreign currency conversion and/or not proceeding to trade in the relevant foreign currency.

#### Declaration

I hereby declare, represent, warrant and agree that:

- All information submitted above or otherwise in connection with this application is true and accurate in all aspects.
- I shall give DBS Vickers notice of any change in the particulars provided above and submit relevant documentary proof to DBS Vickers for any change of the particulars provided above.

\_\_\_\_\_

Date



\_\_\_\_\_

Signature of Client per DBS's Trading Account



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**Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)**

► For use by individuals. Entities must use Form W-8BEN-E.  
 ► Go to [www.irs.gov/FormW8BEN](http://www.irs.gov/FormW8BEN) for instructions and the latest information.  
 ► Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

**Do NOT use this form if:**

- You are NOT an individual..... W-8BEN-E
- You are a U.S. citizen or other U.S. person, including a resident alien individual . . . . . W-9
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the United States (other than personal services)..... W-8ECI
- You are a beneficial owner who is receiving compensation for personal services performed in the United States . . . . . 8233 or W-4
- You are a person acting as an intermediary..... W-8IMY

**Instead, use Form:**

**Note:** If you are resident in a FATCA partner jurisdiction (that is, a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

**Part I Identification of Beneficial Owner (see instructions)**

<b>1</b> Name of individual who is the beneficial owner	<b>2</b> Country of citizenship
<b>3</b> Permanent residence address (street, apt. or suite no., or rural route). <b>Do not use a P.O. box or in-care-of address.</b>	
City or town, state or province. Include postal code where appropriate.	Country
<b>4</b> Mailing address (if different from above)	
City or town, state or province. Include postal code where appropriate.	Country
<b>5</b> U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)	
<b>6a</b> Foreign tax identifying number (see instructions)	<b>6b</b> Check if FTIN not legally required <input type="checkbox"/>
<b>7</b> Reference number(s) (see instructions)	<b>8</b> Date of birth (MM-DD-YYYY) (see instructions)

**Part II Claim of Tax Treaty Benefits (for chapter 3 purposes only) (see instructions)**

**9** I certify that the beneficial owner is a resident of \_\_\_\_\_ within the meaning of the income tax treaty between the United States and that country.

**10 Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph \_\_\_\_\_ of the treaty identified on line 9 above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_

Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: \_\_\_\_\_

**Part III Certification**

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income or proceeds to which this form relates or am using this form to document myself for chapter 4 purposes;
- The person named on line 1 of this form is not a U.S. person;
- This form relates to:
  - (a) income not effectively connected with the conduct of a trade or business in the United States;
  - (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an applicable income tax treaty;
  - (c) the partner's share of a partnership's effectively connected taxable income; or
  - (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f);
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country; and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

I certify that I have the capacity to sign for the person identified on line 1 of this form.

**Sign Here** ►

\_\_\_\_\_  
 Signature of beneficial owner (or individual authorized to sign for beneficial owner)

\_\_\_\_\_  
 Date (MM-DD-YYYY)

\_\_\_\_\_  
 Print name of signer

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\*Joint applicant to complete

Form **W-8BEN**  
(Rev. October 2021)  
Department of the Treasury  
Internal Revenue Service

# Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding and Reporting (Individuals)

► For use by individuals. Entities must use Form W-8BEN-E.  
► Go to [www.irs.gov/FormW8BEN](http://www.irs.gov/FormW8BEN) for instructions and the latest information.  
► Give this form to the withholding agent or payer. Do not send to the IRS.

OMB No. 1545-1621

**Do NOT use this form if:**

- You are NOT an individual..... W-8BEN-E
- You are a U.S. citizen or other U.S. person, including a resident alien individual . . . . . W-9
- You are a beneficial owner claiming that income is effectively connected with the conduct of trade or business within the United States (other than personal services)..... W-8ECI
- You are a beneficial owner who is receiving compensation for personal services performed in the United States . . . . . 8233 or W-4
- You are a person acting as an intermediary..... W-8IMY

**Instead, use Form:**

**Note:** If you are resident in a FATCA partner jurisdiction (that is, a Model 1 IGA jurisdiction with reciprocity), certain tax account information may be provided to your jurisdiction of residence.

**Part I Identification of Beneficial Owner** (see instructions)

<b>1</b> Name of individual who is the beneficial owner		<b>2</b> Country of citizenship	
<b>3</b> Permanent residence address (street, apt. or suite no., or rural route). <b>Do not use a P.O. box or in-care-of address.</b>			
City or town, state or province. Include postal code where appropriate.		Country	
<b>4</b> Mailing address (if different from above)			
City or town, state or province. Include postal code where appropriate.		Country	
<b>5</b> U.S. taxpayer identification number (SSN or ITIN), if required (see instructions)			
<b>6a</b> Foreign tax identifying number (see instructions)		<b>6b</b> Check if FTIN not legally required <input type="checkbox"/>	
<b>7</b> Reference number(s) (see instructions)		<b>8</b> Date of birth (MM-DD-YYYY) (see instructions)	

**Part II Claim of Tax Treaty Benefits** (for chapter 3 purposes only) (see instructions)

**9** I certify that the beneficial owner is a resident of \_\_\_\_\_ within the meaning of the income tax treaty between the United States and that country.

**10 Special rates and conditions** (if applicable—see instructions): The beneficial owner is claiming the provisions of Article and paragraph \_\_\_\_\_ of the treaty identified on line 9 above to claim a \_\_\_\_\_ % rate of withholding on (specify type of income): \_\_\_\_\_

Explain the additional conditions in the Article and paragraph the beneficial owner meets to be eligible for the rate of withholding: \_\_\_\_\_

**Part III Certification**

Under penalties of perjury, I declare that I have examined the information on this form and to the best of my knowledge and belief it is true, correct, and complete. I further certify under penalties of perjury that:

- I am the individual that is the beneficial owner (or am authorized to sign for the individual that is the beneficial owner) of all the income or proceeds to which this form relates or am using this form to document myself for chapter 4 purposes;
- The person named on line 1 of this form is not a U.S. person;
- This form relates to:
  - (a) income not effectively connected with the conduct of a trade or business in the United States;
  - (b) income effectively connected with the conduct of a trade or business in the United States but is not subject to tax under an applicable income tax treaty;
  - (c) the partner's share of a partnership's effectively connected taxable income; or
  - (d) the partner's amount realized from the transfer of a partnership interest subject to withholding under section 1446(f);
- The person named on line 1 of this form is a resident of the treaty country listed on line 9 of the form (if any) within the meaning of the income tax treaty between the United States and that country; and
- For broker transactions or barter exchanges, the beneficial owner is an exempt foreign person as defined in the instructions.

Furthermore, I authorize this form to be provided to any withholding agent that has control, receipt, or custody of the income of which I am the beneficial owner or any withholding agent that can disburse or make payments of the income of which I am the beneficial owner. **I agree that I will submit a new form within 30 days if any certification made on this form becomes incorrect.**

I certify that I have the capacity to sign for the person identified on line 1 of this form.

**Sign Here** ►

_____	_____
Signature of beneficial owner (or individual authorized to sign for beneficial owner)	Date (MM-DD-YYYY)
_____	
Print name of signer	

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Dear Applicant

## US Tax Reporting (Documents Required) - Individual

Please be informed that due to US tax reporting requirements for the trading or holding of US securities, DBS Vickers Securities (Singapore) Pte Ltd, as a Qualified Intermediary for US tax purposes, is required to collect documentation from our account holders. Valid tax documentation is also required to allow you to claim benefits or reduced or exempt US withholding tax under certain circumstances.

To assist you in determining which IRS tax form(s) to complete, we have prepared a brief non-exhaustive description of each form (W-8BEN, W-8ECI and W-9) below.

- |             |   |
|-------------|---|
| Form W-8BEN | <p>Certificate of Foreign Status of Beneficial Owner for United States Tax Withholding</p> <p>If you are a non-US person and you are claiming that you are the beneficial owner of the income paid to you in connection with the account(s) for which the Form W-8BEN is being provided, please complete this form.</p> <p>Form W-8BEN is valid for three calendar years following the year it is signed, unless a change in circumstances makes any information on the form incorrect.</p>   |
| Form W-8ECI | <p>Certificate of Foreign Person's Claim That Income Is Effectively Connected with the Conduct of a Trade or Business in the United States.</p> <p>If you are a non-US person and beneficial owner of US source income that is effectively connected with the conduct of a trade or business within the US, please complete Form W-8ECI and specify the type(s) of income for which exemption is claimed.</p> <p>The Form W-8ECI is valid for three calendar years following the year it is signed, unless a change in circumstances makes any information on the form incorrect.</p> |
| Form W-9    | <p>Request for Taxpayer Identification Number and Certification</p> <p>If you are a US person or entity, please use Form W-9 to provide your taxpayer identification number (TIN), certify that you are not subject to backup withholding, or claim exemption from backup withholding if you are an exempt payee.</p> <p>Form W-9 is valid indefinitely.</p>  |

For your convenience, we have enclosed the Form W-8BEN on the assumption that you are the ultimate beneficial owner(s) of the individual/joint trading account opened/maintained with DBS Vickers. You should assess and determine whether the Form W-8BEN is appropriate for your status/completion and inform us accordingly. Since the US tax rules and the documentation requirements may be complex, please obtain your own US tax advice to determine your US tax status.

Please refer to IRS website at [www.irs.gov](http://www.irs.gov) for the series of Forms W-8, if the attached Form W-8BEN is not appropriate for your status/completion. Alternatively, please contact our Customer Service Line at 6327 2288 for the appropriate Form W-8 to be sent to you.

Yours faithfully,

DBS Vickers Securities (Singapore) Pte Ltd

Dear Applicant

## **Safeguarding Singapore's Financial System From The Laundering Of Proceeds Of Tax Crimes**

We wish to inform you that with effect from 1 July 2013, Singapore has implemented the recommendation of the Financial Action Task Force ("FATF")\* to designate serious tax crimes as predicate offences for money laundering. This action demonstrates the Monetary Authority of Singapore's firm commitment to safeguard the integrity and reputation of Singapore as an international financial centre.

In keeping with this development, all Financial Institutions in Singapore ("FIs"), including DBS Vickers Securities (Singapore) Pte Ltd, are required to have effective measures in place to ensure that FIs are not used to harbour illegitimate assets, including proceeds from tax crimes.

DBS Vickers Securities (Singapore) Pte Ltd takes the issue of financial system integrity seriously and has robust policies and procedures in place to ensure that our clients use our facilities only for legitimate purposes.

We wish to highlight that full compliance with all obligations on your tax matters falls within your personal responsibility.

If you have any questions regarding this development, please contact our Customer Service Line at 6327 2288.

Yours faithfully,

DBS Vickers Securities (Singapore) Pte Ltd

\* The FATF is the international body that develops global standards on measures to combat money laundering and terrorist financing.



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**DBS VICKERS SECURITIES (SINGAPORE) PTE LTD**

12 Marina Boulevard  
Marina Bay Financial Centre Tower 3  
Singapore 018982

Attention: Client Services

