



Contracts for Difference Individual Account Application

Base Currency: AUD / HKD / SGD / USD / MYR (Please circle) IB Code: _____ (if applicable)

PERSONAL INFORMATION OF APPLICANT

Salutation <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms.	Full Name <i>(Please underline surname)</i>
NRIC / Passport No.	FIN No.
Passport Expiry Date <i>(DD/MM/YYYY)</i>	Country of Birth
Date of Birth <i>(DD/MM/YYYY)</i>	Nationality
<u>Other Nationalities</u> <i>(Please list all nationalities and furnish all passports)</i>	Singapore Permanent Resident <i>(Not applicable for Singaporean)</i> <input type="checkbox"/> No <input type="checkbox"/> Yes
Residential / Permanent Address <i>(P.O Box No. not permitted)</i>	
Mailing Address	
Contact Number <i>(If outside of Singapore, please state country code & area code)</i>	Email

EMPLOYMENT INFORMATION

Retired Homemaker Unemployed Private Investor Student

Please complete below for Employed / Self-Employed / Armed Forces Personnel
 Employed Self-Employed Armed Forces Personnel

Name of Company : _____ Nature of Business: _____
 Occupation: _____ Country of Employment: _____
 Annual Income (S\$): _____

U.S PERSON DECLARATION

I am a U.S. Citizen / Green Card Holder No Yes I am residing in U.S. No Yes

FINANCIAL INFORMATION

Purpose and Intended Nature of Business Relations with CGS SG	<input type="checkbox"/> Long Term Investment <input type="checkbox"/> Capital growth <input type="checkbox"/> Interest <input type="checkbox"/> Short Term Trading Profit <input type="checkbox"/> Dividend yield
Estimated Net Worth (SGD) excluding properties (refer to total assets less total liabilities)	<input type="checkbox"/> Up to 100,000 <input type="checkbox"/> 100,001 - 500,000 <input type="checkbox"/> 500,001 – 999,999
Source of Funds	<input type="checkbox"/> Savings <input type="checkbox"/> Investment Income <input type="checkbox"/> Business income <input type="checkbox"/> Interest Income <input type="checkbox"/> Rental Income <input type="checkbox"/> Salary <input type="checkbox"/> Directorship <input type="checkbox"/> Sale of Properties <input type="checkbox"/> CPF/Pension Funds <input type="checkbox"/> Inherited Wealth/Gifts
Source of Wealth	<input type="checkbox"/> Savings <input type="checkbox"/> Investment Income <input type="checkbox"/> Business income <input type="checkbox"/> Interest Income <input type="checkbox"/> Rental Income <input type="checkbox"/> Salary <input type="checkbox"/> Directorship <input type="checkbox"/> Sale of Properties <input type="checkbox"/> CPF/Pension Funds <input type="checkbox"/> Inherited Wealth/Gifts

I declare, in my capacity as a Proposed Client of CGS International Securities Singapore Pte. Ltd. ("CGS SG") that the funds and / or assets (the "Assets") transferred or to be transferred to me are from my legitimate assets and/or from benefits of transactions due to me, as applicable, all of which are known to me.

I confirm that the funds or assets transferred now or at any time in the future to CGS SG are not / will not be derived from or otherwise be connected with any activity which is illegal or unlawful, either in their country of origin or in the location in which I am residing in.

I further confirm that the transfer of funds to me is not in breach of any local money laundering regulations and laws, including but not limited to the Guidelines to MAS NOTICE SFA04-02 On Prevention of Money Laundering and Countering The Financing Of Terrorism, and any other laws as applicable.

COMMON REPORTING STANDARD

Country of Tax Residence:	Tax Identification Number (TIN) or equivalent:
If TIN or equivalent is unavailable, please state reason (A, B or C)	Explanation if Reason B is selected

Reason A – The country/jurisdiction where account holder is liable to pay tax does not issue TIN to its residents

Reason B – The account holder is otherwise unable to obtain a TIN or equivalent number

Reason C – No TIN is required (note: only select this reason if the authorities of the country of residence for tax purposes entered below do not require the TIN to be disclosed)

CONSENT FOR MARKETING MESSAGES⁽³⁾

Would you like to receive marketing materials and information relating to services and/or products (“Marketing Messages”) offered or distributed by the Marketing Entities which the Marketing Entities believe may be of interest or benefit to you (“Marketing Purpose”) via all forms of mobile messaging (including SMS or MMS), telephone calls, fax, email and/or post?

No Yes

NO PROVISION OF FINANCIAL ADVICE (FOR CONTRACTS FOR DIFFERENCE (“CFD”) ACCOUNT ONLY)

WARNING: Trading in CFDs may not be suitable for customers whose investment objective is preservation of capital or whose risk tolerance is low. Before selecting the option for Contracts for Differences (“CFD”) Account on page 1 of this application, please read and understand the CFD Warning Statement set out below.

I agree and understand that I am transacting on an execution-only basis. I further agree, acknowledge and understand that no product/ financial advice will be provided by CGS SG to me in respect of CFD transactions. Notwithstanding the foregoing, I further agree, acknowledge and understand that I wish to proceed to transact accordingly, and therefore will not be able to rely on section 27 of Financial Advisers Act (Cap. 110) to file a civil claim in the event of a loss suffered. I am responsible for ensuring that the product(s) selected,

CONTRACTS FOR DIFFERENCE (“CFD”) WARNING STATEMENT

WARNING: Contracts for Difference (“CFDs”) are speculative derivative products that are highly leveraged and carry significantly greater risk than other investments or products (whether geared or otherwise) such as share trading. They may not be suitable for everyone. You should consider carefully and determine whether CFDs are suitable for you, before deciding whether to open a CFD Account with CGS SG IN PARTICULAR, IF YOU CONSIDER YOURSELF TO BE A CONSERVATIVE, RISK-AVERSE INVESTOR, THEN CFDs ARE NOT FOR YOU. You should obtain your own investment, financial, legal, taxation and other professional advice as to whether CFDs are appropriate investment or products for you. You should ensure you read and understand the product features and in particular the risks and determine whether these products are suitable for you, before deciding whether to open a CFD Account with CGS SG and invest in CFDs.

To apply for a CFD Account, you need to be an accredited Investor or expert investor or you need to have passed the Customer Knowledge Assessment. Please complete the Accredited Investor or Client Profile Form.

DECLARATION BY CLIENT

Section A – Tax and other serious offences

1. I declare and confirm that:
 - (a) I remain fully responsible for my own tax affairs and ensuring that both I and my accounts maintained with CGS SG are in compliance with the tax laws of the relevant jurisdiction within which I reside, am domiciled in or tax citizen of;
 - (b) to the best of my knowledge, information and belief, I have neither wilfully committed nor been convicted of any serious tax crimes;
 - (c) I acknowledge and agree that I remain fully responsible for taking advice from a tax expert in the jurisdiction of my tax residence or any other similarly qualified adviser or person, and acknowledge that CGS SG shall neither be responsible for nor provide any tax advice to me; and
 - (d) I agree to notify CGS SG (within 30 calendar days), or provide information if requested by CGS SG, if there is any change in my personal information or circumstances including, without limitation, any material adverse change in my financial condition or any change in the ultimate beneficial ownership of my account, citizenship, residence, address of record and any additional information which affects my tax position.
2. Subject to applicable local laws, I hereby consent for CGS SG, its parent or ultimate holding company or any of its affiliates (including branches) to share my information with domestic or overseas regulators or tax authorities where necessary to establish my tax liability in any relevant jurisdiction.
3. Where required by domestic or overseas regulators or tax authorities, I also understand and agree that CGS SG may be required to obtain additional documents and/or forms, which I will sign, if I am subject to the relevant jurisdiction’s requirements. Where required by domestic or overseas regulators or tax authorities, I understand and agree that CGS SG may withhold and pay out, from my account(s) such amounts as may be required according to applicable laws, regulations, guidelines and/or agreements with regulators or authorities and directives.

Section B – Common Reporting Standard

Please read this Section B in conjunction with the explanatory notes and summaries of defined terms used in set out in the CRS Individual Self-Certification Form available on our iTrade website.

4. I understand that the information supplied by me is subject to the terms and conditions governing my relationship with CGS SG setting out how CGS SG may use and share the information supplied by me.
5. I acknowledge that the information provided by me in the relevant section of my application and information regarding the account holder and any reportable account(s) may be provided directly or indirectly to any relevant tax authority, including of the country/ jurisdiction in which my account is maintained and exchanged with tax authorities of another country / jurisdiction or countries /jurisdictions in which the account holder may be resident for tax purposes pursuant to agreements between competent authorities to exchange financial account information.
6. I certify that I am the account holder or am authorised to act on behalf of the account holder for the account to which my application relates and I declare that all statements made above are to the best of my knowledge and belief, correct and complete. I agree that I will provide evidence of my authorisation to act on behalf of the Account Holder by providing a Power of Attorney or equivalent recognised document.
7. If there is a change in circumstances that affects the tax residence of the account holder or causes the information provided by me to become incorrect or incomplete, I understand that I am obliged to inform CGS SG of the change in circumstances within 30 days of its occurrence and to provide a suitably updated self-certification.

Section C – Other applicable terms

“I” or “my” means the applicant. Words importing only the singular number include the plural number and vice versa. All capitalised terms used in the application shall (unless otherwise defined) be ascribed the same meanings as those terms which are defined in CGS SG’s General Terms and Conditions (the “General Terms and Conditions”) available on our iTrade website.

I declare, warrant and agree that:

1. all information submitted in my application or otherwise in connection with my application are true, accurate and complete in all respects and I will, as soon as possible, provide CGS SG with notice in writing of any change in particulars given in my application together with all relevant documents;
2. I have read and understood, and agree that my application shall be construed and governed in accordance with the General Terms and Conditions (as may be amended from time to time);
3. CGS SG has the right not to approve my application at its sole and absolute discretion without any obligation to render any reason or explanation;
4. I am the ultimate beneficial owner of my account and that no person has or will have any interest in, influence or control over my account whatsoever and all monies which will be paid to CGS SG originate from a legitimate source;
5. I am not under 21 years of age.
6. I am not an undischarged bankrupt or of unsound mind;
7. (For applicants who are Malaysia residents): I am fully aware of the exchange control regulations imposed by Bank Negara Malaysia (“BNM”) and agree that it is my responsibility to ensure that my investments outside of Malaysia at all times shall be within the limit(s) imposed by BNM from time to time;
8. I agree to hold harmless, release and indemnify CGS SG and its related corporations and associated corporations and their respective officers, owners, directors, employees, successors, heirs and assignees from any and all liability arising from CGS SG’s reliance on this declaration made by me.
9. I have read, understood and accepted the terms set out in the following documents (such terms are deemed to have been incorporated herein by reference):
 - (a) Part N of the General Terms and Conditions (as may be amended from time to time) and the CGS SG’s Data Protection Policy available on our iTrade website relating to the collection, processing, use and disclosure of personal data;
 - (b) The “Terms relating to Cash Trading Account”
 - (1) Multi-currency Trust Account
 - (i) I hereby authorise CGS SG (such authorisation shall continue in force until I expressly revoke it by notice in writing delivered to CGS SG to place all monies received on my account and all proceeds of sale of Securities, including contra gains and proceeds due from any over-the-counter instruments, with CGS SG in a multi-currency trust account (“Trust Account”).
 - (ii) In granting CGS SG the authority, I agree, confirm and acknowledge as follows:
 - a. The interest payable to me for my monies (applicable to all accounts except CUT) in the interest bearing Trust Account shall be at such interest rate as CGS SG may in its sole and absolute discretion determine from time to time after taking into account any withholding tax and any administrative expenses incurred by CGS SG providing this service to me; and
 - b. CGS SG may retain for its benefit and without any obligation to account to me, any interest it may receive for the monies deposited in the Trust Account.
 - (c) The “Terms relating to CFD Account”
 - (1) Where I have requested, whether by indicating on my application or otherwise, to transact in CFDs with CGS SG, I confirm that I have received, read, understood and fully accepted the following:
 - (i) the terms set out in Part H of the General Terms and Conditions
 - (ii) the relevant fees, charges and other remuneration relating to the products as set out in the CFD Commission and Charges Schedule; and
 - (iii) the risks associated with transacting in CFDs as set out in Part 2 of the Risk Disclosure Statement contained in Schedule I of the General Terms and Conditions.
 - (2) Further, I understand that in accordance with MAS Notice on the Sale of Investment Products, CGS SG shall perform a Client Knowledge Assessment on me to determine whether I have the relevant educational qualifications, investment experience or working experience to invest / trade in unlisted Specified Investment Product.
 - (3) I also confirm that I am not relying in any way whatsoever on CGS SG or on any representation (whether written or oral) made by CGS SG on the suitability of any CFD. I have independently assessed the suitability of any such CFD and have the knowledge and sophistication to independently appraise and understand the financial and legal aspects of a CFD and to assume the attendant economic consequences and risks.
 - (4) I am aware that gains and losses on CFD can depend on various factors, and that CGS SG assumes me to be familiar with and to be able to evaluate such factors.
 - (5) I consent to and permit CGS SG, its officers, employees and agents, to disclose to any third party or counter party with which or with whom CGS SG may have entered into any



Signature of Applicant Date: _____

IMPORTANT NOTES

1. Please include all the countries / jurisdictions in which you may be resident for tax purposes. For example, a Tax Resident in Singapore as defined by Income Tax Act 1947, Section 2 in relation to an individual, means a person, who in the year preceding the year an individual, means a person, who in the year preceding the year of assessment, resides in Singapore except for such temporary absences therefrom as may be reasonable and not inconsistent with a claim by such person to be resident in Singapore, and includes a person who is physically present or who exercises an employment (other than as a director of a company) in Singapore for 183 days or more during the year preceding the year of assessment.
2. (a) Regulations based on OECD Common Reporting Standard (“CRS”) require CGS SG to collect and report certain information about an account holder’s tax residence status, and if applicable, the tax residence status of each natural person that is a Controlling Person. Please note that CGS SG may be legally obliged to report information provided by and other financial information about your financial account(s) to the tax authorities in which your account(s) are maintained. In turn, the local tax authorities may exchange the reported information with the tax authorities in the country or countries in which you are a tax resident.
 (b) As a financial institution, CGS SG does not provide tax advice to its customers. If you have any questions about determining your tax residency status, please contact a professional Tax Adviser or visit the OECD website: [http://www.oecd.org/tax/automaticexchange/ crsimplementation and-assistance/tax-residency/](http://www.oecd.org/tax/automaticexchange/crsimplementation-and-assistance/tax-residency/).
 (c) You can find summaries of defined terms and other terms in the CRS Individual Self-Certification Form available on our iTrade website.
4. (a) All references to “Marketing Entities”, “we” and “us” refer to CGS SG and the affiliates, business partners and related companies of CGS SG; all references to “you” or “your” refer to the applicant.
 (b) You have the right to opt out of receiving Marketing Messages. Please refer to our iTrade website for further details on how you may do so.
 (c) If you choose “Yes”, you AGREE AND CONSENT to the Marketing Entities processing your personal data for the Marketing Purpose and contacting you as described herein and you will receive faxes, mobile messages or calls from us even if your number is on the National Do-Not-Call Register.
 (d) Even if you choose “No”, we reserve our right to send a specified fax message (as defined in the Personal Data Protection (Exemption from Section 43) Order 2013) (the “Exemption Order”) and/or a specified text message (as defined in the Exemption Order) (i.e. a marketing fax message or marketing text message) to your Singapore telephone number, if there is an ongoing relationship between CGS SG and you and the purpose of the message is related to the subject of the ongoing relationship, pursuant to the requirements and conditions of the Exemption Order.

FOR OFFICIAL USE ONLY	
VERIFYING OFFICER	
MC65	
Language: _____	
Accompanied: _____	
Third Party: _____	
Signature: _____	Date: _____
Name: _____	
<input type="checkbox"/> MyInfo	
CLIENT SERVICES	
TR Code: _____	CFD: _____