



Contracts for Difference Joint Account Application

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

PERSONAL INFORMATION OF MAIN APPLICANT	PERSONAL INFORMATION OF JOINT APPLICANT
Salutation <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms.	Salutation <input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms.
Full Name <i>(Please underline surname)</i>	Full Name <i>(Please underline surname)</i>
NRIC / Passport No.	NRIC / Passport No.
FIN No.	FIN No.
Passport Expiry Date <i>(DD/MM/YYYY)</i>	Passport Expiry Date <i>(DD/MM/YYYY)</i>
Country of Birth	Country of Birth
Date of Birth <i>(DD/MM/YYYY)</i>	Date of Birth <i>(DD/MM/YYYY)</i>
Nationality	Nationality
Singapore Permanent Resident <i>(Not applicable for Singaporean)</i> <input type="checkbox"/> No <input type="checkbox"/> Yes	Singapore Permanent Resident <i>(Not applicable for Singaporean)</i> <input type="checkbox"/> No <input type="checkbox"/> Yes
<u>Other Nationalities</u> <i>(Please list all nationalities and furnish all passports)</i>	<u>Other Nationalities</u> <i>(Please list all nationalities and furnish all passports)</i>
Residential / Permanent Address <i>(P.O Box No. not permitted)</i>	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>	Contact Number <i>(If outside of Singapore, please state country code & area code)</i>
Email	Relationship to Main Account Holder
EMPLOYMENT INFORMATION OF MAIN APPLICANT	EMPLOYMENT INFORMATION OF JOINT APPLICANT
<input type="checkbox"/> Retired <input type="checkbox"/> Homemaker <input type="checkbox"/> Unemployed <input type="checkbox"/> Private Investor <input type="checkbox"/> Student	<input type="checkbox"/> Retired <input type="checkbox"/> Homemaker <input type="checkbox"/> Unemployed <input type="checkbox"/> Private Investor <input type="checkbox"/> Student
Please complete below for Employed / Self-Employed / Armed Forces Personnel <input type="checkbox"/> Employed <input type="checkbox"/> Self-Employed <input type="checkbox"/> Armed Forces Personnel	Please complete below for Employed / Self-Employed / Armed Forces Personnel <input type="checkbox"/> Employed <input type="checkbox"/> Self-Employed <input type="checkbox"/> Armed Forces Personnel
Name of Company: _____	Name of Company : _____
Nature of Business: _____	Nature of Business: _____
Occupation: _____	Occupation: _____
Country of Employment: _____	Country of Employment: _____
Annual Income (S\$): _____	Annual Income (S\$): _____
U.S PERSON DECLARATION OF MAIN APPLICANT	U.S PERSON DECLARATION OF JOINT APPLICANT
I am a U.S. Citizen / Green Card Holder <input type="checkbox"/> No <input type="checkbox"/> Yes	I am a U.S. Citizen / Green Card Holder <input type="checkbox"/> No <input type="checkbox"/> Yes
I am residing in U.S. <input type="checkbox"/> No <input type="checkbox"/> Yes	I am residing in U.S. <input type="checkbox"/> No <input type="checkbox"/> Yes

FINANCIAL INFORMATION

Purpose and Intended Nature of Business Relations with CGS SG

Long Term Investment Capital growth Interest Short Term Trading Profit Dividend yield

Estimated Net Worth (SGD) excluding properties (refer to total assets less total liabilities) 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 <input type="checkbox"/> 1mil - 5mil <input type="checkbox"/> > 5mil, please indicate Amt: _____	<input type="checkbox"/> Up to 100,000 <input type="checkbox"/> 100,001 - 500,000 <input type="checkbox"/> 500,001 – 999,999 <input type="checkbox"/> 1mil - 5mil <input type="checkbox"/> > 5mil, please indicate Amt: _____
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 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	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

We 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 us are from our legitimate assets and/or from benefits of transactions due to us, as applicable, all of which are known to us.

We 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 we are residing in.

We further confirm that the transfer of funds to us 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 OF MAIN APPLICANT	COMMON REPORTING STANDARD OF JOINT APPLICANT
Country of Tax Residence	Country of Tax Residence
Tax Identification Number (TIN) or equivalent	Tax Identification Number (TIN) or equivalent
If TIN or equivalent is unavailable, please state reason (A, B or C)	If TIN or equivalent is unavailable, please state reason (A, B or C)
Explanation if Reason B is selected	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

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

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. 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, both main and joint applicant need to be an accredited investor or expert investor or need to have passed the Customer Knowledge Assessment. Please complete the Investor Status or Client Profile Form. Separate forms are required for the main and joint applicant.

DECLARATION BY CLIENT

Section A – Tax and other serious offences

1. We declare and confirm that:

- (a) we remain fully responsible for our own tax affairs and ensuring that both we and our accounts maintained with CGS SG are in compliance with the tax laws of the relevant jurisdiction within which we reside, am domiciled in or tax citizen of;
- (b) to the best of our knowledge, information and belief, we have neither wilfully committed nor been convicted of any serious tax crimes;
- (c) we remain fully responsible for taking advice from a tax expert in the jurisdiction of our 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 us; and
- (d) we agree to notify CGS SG (within 30 calendar days), or provide information if requested by CGS SG, if there is any change in our personal any material adverse change in our financial condition or any change in the ultimate beneficial ownership of our account, citizenship, residence, address of record and any additional information which affects our tax position.

2. Subject to applicable local laws, we hereby consent for CGS SG, its parent or ultimate holding company or any of its affiliates (including branches) to share our information with domestic or overseas regulators or tax authorities where necessary to establish our tax liability in any relevant jurisdiction.

3. Where required by domestic or overseas regulators or tax authorities, we also understand and agree that CGS SG may be required to obtain additional documents and/or forms, which we will sign, if we are subject to the relevant jurisdiction's requirements. Where required by domestic or overseas regulators or tax authorities, we understand and agree that CGS SG may withhold and pay out, from our 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 Standards

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. We understand that the information supplied by us is subject to the terms and conditions governing our relationship with CGS SG setting out how CGS SG may use and share the information supplied by us.

5. We acknowledge that the information provided by us in the relevant section of our 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 our 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. We certify that we are the Account Holder or are authorised to act on behalf of the Account Holder for the account to which our application relates and we declare that all statements made above are to the best of our knowledge and belief, correct and complete. We agree that we will provide evidence of our 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 us to become incorrect or incomplete, we understand we are 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

"We" or "our" means the joint applicants. 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.

We declare, warrant and agree that:

1. All information submitted in our application or otherwise in connection with our application are true, accurate and complete in all respects and we will, as soon as possible, provide CGS SG with notice in writing of any change in particulars given in our application together with all relevant documents;

2. We have read and understood, and agree that our 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 our application at its sole and absolute discretion without any obligation to render any reason or explanation;

4. We are the ultimate beneficial owner(s) of our account and that no person has or will have any interest in, influence or control over our account whatsoever and all monies which will be paid to CGS SG originate from a legitimate source;

5. We are not under 21 years of age.

6. We are not undischarged bankrupts or of unsound mind;

7. (For applicants who are Malaysia residents): we are fully aware of the exchange control regulations imposed by Bank Negara Malaysia ("BNM") and agree that it is our responsibility to ensure that our investments outside of Malaysia at all times shall be within the limit(s) imposed by BNM from time to time.

8. We 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. We 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 P 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 CFD Account"

(1) Where we have requested, whether by indicating on our application or otherwise, to transact in CFDs with CGS SG, we confirm that we 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, we understand that in accordance with MAS Notice on the Sale of Investment Products, CGS SG shall perform a Client Knowledge Assessment on me / us to determine whether we have the relevant educational qualifications, investment experience or working experience to invest / trade in unlisted Specified Investment Products.

(3) We also confirm that we are 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. We 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) We are aware that gains and losses on CFD can depend on various factors, and that CGS SG assumes us to be familiar with and to be able to evaluate such factors.

(5) We consent to and permit CGS SG its officers, employees and agents, to disclose to any third party or counterparty with which or with whom CGS SG may have entered into any contract or arrangement, all information relating to our CFD Account.

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 (Cap. 134), Section 2 in relation to 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/automatic-exchange/crsimplementationandassistance/tax-residency/>.

 (c) You can find summaries of defined terms and other terms in the CRS Individual Self-Certification Form available at (<https://itrade.cgsi.com.sg>)
3. 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 <https://itrade.cgsi.com.sg> 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 (Main Applicant)	
Language: _____	Accompanied: _____
Third Party: _____	
MC65 (Joint Applicant)	
Language: _____	Accompanied: _____
Signature: _____ Date: _____ Name: _____	
<input type="checkbox"/> MyInfo	
CLIENT SERVICES	
TR Code: _____ CTA: _____ CFD: _____	

CGS International Securities Singapore Pte. Ltd.
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 Marina Bay Financial Centre Tower 2
 Singapore 018983
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 Email: clientservices.sg@cgsi.com
 Website: www.cgsi.com

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