

## Individual / Joint Application Form



Take Control of Your  
Financial Success

# QUICKGUIDE & CHECKLIST

**YOU ARE REQUIRED TO OPEN YOUR TRADING ACCOUNT IN PERSON AT DBS VICKERS AND HAVE YOUR SIGNATURE WITNESSED. ALTERNATIVELY, YOUR SIGNATURE MAY BE WITNESSED BY AUTHORISED STAFF AT DBS/POSB BANK BRANCHES.**

**IF YOU HAVE AN EXISTING DBS/POSB BANK ACCOUNT, YOU MAY MAIL IN THE APPLICATION FORM TOGETHER WITH THE REQUIRED DOCUMENTS. PLEASE INDICATE YOUR BANK ACCOUNT NUMBER UNDER SECTION 7 - "BANK REFERENCE" ON THE APPLICATION FORM.**

To avoid delay in processing, please ensure that-

- All forms are completed and signed;
- All required supporting documents are enclosed.

## CHECKLIST FOR OPENING INDIVIDUAL / JOINT SECURITIES TRADING ACCOUNT

- DBSV Individual/Joint Application Form (Please ensure all fields are completed)
- Authorisation for Linkage of Trading Account to Global Securities Account (CDP Form 25A.1)  
- Under Section 2 - Type of Account(s) required on the application form, if you tick:
  - both (a) and (b)(i), please sign **2 copies** of the CDP Form 25A.1
  - both (a) and (b)(ii), please sign **2 copies** of the CDP Form 25A.1
  - (a) only, please sign **1 copy** of the CDP Form 25A.1
  - (b)(ii) only, please sign **1 copy** of the CDP Form 25A.1

### Supporting Documents Required :

For Singaporean	Pink NRIC ( <i>Both sides</i> )
For Malaysian	Malaysian Identity Card ( <i>Both sides</i> )
For S'pore Permanent Resident	Blue NRIC ( <i>Both sides</i> )
For Foreigner	Passport / Work Permit / Employment Pass ( <i>Passport at least 6 months to expiry</i> )

NOTE : DBS Vickers may require financial documents &/or security deposit from you for opening a securities trading account.

### OPTIONAL FORMS (*if applicable*)

- Application for opening of Securities Account – for Individual (CDP Form 1.3) (This form is required if you do not have an existing CDP account with The Central Depository (Pte) Limited. Please sign this form and the supporting documents in the presence of an authorised personnel of DBS Vickers.)
- W-8BEN Form (This form is required if you wish to trade in the US market.)
- For electronic settlement in Singapore Dollars, please complete one of the following forms
  - (i) GIRO (Direct Debit Authorisation)  
- Applicable to DBS/POSB bank account holders only
  - (ii) EPS (Electronic Payment for Shares)  
- Applicable to DBS/POSB/OCBC/UOB/Citibank account holders(Processing time for electronic payment linkage is about 2 weeks.)
- Standing Instruction for Foreign Markets Settlements if you are trading online (This form is to authorise us to automatically convert your foreign markets purchases into SGD and deduct from your GIRO bank account.)

# INDIVIDUAL / JOINT APPLICATION FORM

## 1 Account Category (Please tick ONE option only)

Individual  Joint

## 2 Type of Account(s) required

- (a) Trading Account with a dealer/remisier to service me.
- (b) Online Trading Account. If this option is selected, please tick ONE of the following:
- (i) Online Trading, with a dealer/remisier to service me
  - (ii) Self-directed Online Trading, without a dealer/remisier to service me
- Others: \_\_\_\_\_

## 3 Do you have a preferred dealer/remisier to service your account?

No  Yes, please specify following:

Name of dealer/remisier: \_\_\_\_\_ Code: \_\_\_\_\_

## 4 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 \_\_\_\_\_

(please state country)

Residential Status  Self-Owned  Rented  Family's  Mortgaged

Qualification  Diploma  Tertiary  Others \_\_\_\_\_

(please specify)

Spouse Name \_\_\_\_\_

NRIC/Passport No. \_\_\_\_\_ Nationality  S'porean  Others \_\_\_\_\_

(please specify)

Mother's Maiden Name (for verification purposes) \_\_\_\_\_

## 5 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 - \$100,000  S\$100,001 - \$200,000  
 S\$200,001 - \$300,000  S\$300,001 - \$500,000  S\$500,001 - \$1,000,000  
 Above S\$1,000,000

## 6 Network

Source of Wealth

Savings  Salary  Rental Income  Sale of Property/Investment

Inherited Wealth  Others \_\_\_\_\_

(please specify)

Source of Fund \_\_\_\_\_

Estimated Liquid Assets \_\_\_\_\_

## 7 Bank Reference

DBS  POSB  OCBC  UOB  Others \_\_\_\_\_

(please specify)

Bank Account No. \_\_\_\_\_

## 8 Custodian Details

CPF Investment Account No. \_\_\_\_\_ Agent Bank \_\_\_\_\_

SRS Account No. \_\_\_\_\_ Agent Bank \_\_\_\_\_

CDP Account No.<sup>1</sup>     -   -

A Nominee CDS Account with Hwang-DBS Securities Bhd. for safekeeping of Bursa Malaysia shares. (A one-time administrative fee of S\$5.00 is applicable to open the account. Please enclose a crossed cheque payable to "DBS Vickers Securities (Singapore) Pte Ltd".)

A CDP Sub-Account<sup>2</sup> maintained with DBS Vickers Securities (Singapore) Pte Ltd. appointing us as the Depository Agent for the safekeeping of SGX-listed securities.

<sup>1</sup> For joint application, please indicate your joint CDP Global Securities Account Number.

<sup>2</sup> Subject to management's approval.

## 9 Settlement of Accounts

GIRO (Direct Debit Authorisation) : applicable to DBS Bank / POSB only. Please complete the GIRO Application Form

EPS (Electronic Payment For Shares) : applicable to DBS / POSB / OCBC / UOB / Citibank. Please complete the EPS Application Form

## 10 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 (if different from Residential Address) \_\_\_\_\_

Number, Block & Street

City \_\_\_\_\_ Postal Code \_\_\_\_\_ Country \_\_\_\_\_

Tax Residence \_\_\_\_\_

(please state country)

Residential Status  Self-Owned  Rented  Family's  Mortgaged

Qualification  Diploma  Tertiary  Others \_\_\_\_\_

(please specify)

Spouse Name \_\_\_\_\_

NRIC/Passport No. \_\_\_\_\_ Nationality  S'porean  Others \_\_\_\_\_

(please specify)

Mother's Maiden Name (for verification purposes) \_\_\_\_\_

## 11 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 - \$100,000  S\$100,001 - \$200,000  
 S\$200,001 - \$300,000  S\$300,001 - \$500,000  S\$500,001 - \$1,000,000  
 Above S\$1,000,000

## 12 Network

Source of Wealth

Savings  Salary  Rental Income  Sale of Property/Investment

Inherited Wealth  Others \_\_\_\_\_

(please specify)

Source of Fund \_\_\_\_\_

Estimated Liquid Assets \_\_\_\_\_

## 13 Bank Reference

DBS  POSB  OCBC  UOB  Others \_\_\_\_\_

(please specify)

Bank Account No. \_\_\_\_\_

**14 Account Relationship Details**

Name of other brokerage house(s) currently used for any Securities or Derivatives Trading

- UOB Kay Hian  
  OCBC Securities  
  CIMB-GK  
  Phillip Securities  
 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/Trading Representative of DBS Vickers?  Yes  No

If Yes, name \_\_\_\_\_

**15 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)

## 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, give DBS Vickers notice in writing of any change in particulars given in this application together with all relevant documents;
  - (b) I/we have read and understood, and agree that this application and the account(s) applied herein shall be governed by DBS Vickers' General Trading Agreement as may be amended from time to time;
  - (c) 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 of Information" in Section A of the DBS Vickers' General Trading Agreement;
  - (d) 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;
  - (e) 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;
  - (f) 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 undertake that the account under this application shall not at anytime have any other beneficial owner(s) not disclosed in this application except as may be accepted by DBS Vickers in accordance with DBS Vickers' General Trading Agreement;
  - (g) by signing this application, I/we (known as "Subscriber" in the New York Stock Exchange ("NYSE") and the Toronto Stock Exchange ("TSX") Inc, subscriber agreements), agree:
    - (1) that I/we have read the NYSE and TSX Inc. subscriber agreements, a copy of which is attached hereto;
    - (2) that I/we am/are bound by the NYSE and TSX Inc. subscriber agreements to the same extent as if I/we had signed such agreements with NYSE and TSX Inc. directly;
    - (3) that TSX Inc, may enforce TSX Inc's rights pursuant to the TSX Inc subscriber agreement in its own name directly against Subscriber;
    - (4) that DBS Vickers is not an agent of NYSE and TSX Inc, and is not authorised to add to or delete from the NYSE and TSX Inc. subscriber agreements and is not authorised to modify any provision of the NYSE and TSX Inc. subscriber agreements; and
    - (5) that no provision has been added to or deleted from the NYSE and TSX Inc. agreements and that no modifications have been made to them. Both Subscriber and the person executing on behalf of Subscriber warrant that Subscriber is legally able to undertake the obligations set forth in, and the signatory is duly authorised to bind Subscriber to, the NYSE and TSX Inc. subscriber agreements;
  - (h) by executing this application, I/we (known as "subscriber" in the NASDAQ subscriber agreement) agree:
    - (1) that I/we have read, and agree to be bound by the NASDAQ subscriber agreement, a copy of which is attached hereto;
    - (2) that DBS Vickers is not an agent of NASDAQ and is not authorised to add to or delete from the NASDAQ subscriber agreement and is not authorised to modify any provision of the NASDAQ subscriber agreement, and
    - (3) that no provision has been added to or deleted from the NASDAQ agreement and that no modifications have been made to it. Both Subscriber and the person executing on behalf of Subscriber warrant that Subscriber is legally able to undertake the obligations set forth in, and the signatory is duly authorised to bind Subscriber to, the NASDAQ subscriber agreement;
  - (i) 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 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
  - (j) in addition, I/we hereby declare that I am/we are not undischarged bankrupt.
- I/we confirm that I/we have read and understood, and agree to the above.

Signature of Applicant	Signature of Joint Applicant
Date	Date

Signature verified by DBS Vickers/DBS/POSB Bank staff

Name of Verifying Officer/Date

FOR OFFICE USE			
Channel _____	Client Code _____	TR Code _____	SP Code _____
Name _____	GST Code _____	Trade Limit Buy _____	Sell _____
Date Received		Date Approved	
Received by	Approved by	Input by	Checked by
Remarks			