

# Institution Account Application Form (Singapore)



# Institution Account Application Form

## 1. Services

Please select services required:

- DBS Vickers Securities (Singapore) Pte Ltd (Trading Account):**
  - Custodial Services [see Section D of General Trading Agreement ("GTA")]
  - Depository Agent Sub-Account ("DASA") for Singapore Shares (see Section G of GTA)
  - Nominees Account for Malaysian Shares – Please enclose a payment of SGD5.00 to open the account

### Documentary Requirements

#### For Institution Account Opening

1. Account Application Form
  - must be signed by two authorised signatories as listed on the Account Application Form under "Particulars of personnel authorised to deal on behalf of the company" and affixed with company stamp
2. Authorised Personnel Specimen Signature Form
  - represented on Company Letterhead
  - must be signed by Director(s) and/or Company Secretary
  - please affix company stamp
3. Certificate of Board Resolution
  - represented on Company Letterhead
  - must be signed by Director(s) and/or Company Secretary
  - please affix company stamp
4. Clear copies of NRIC / Passport of Director(s), Authorised Person(s), Principal Shareholder(s) and Ultimate Beneficial Owner(s)
  - Certified true copy by a Notary Public, Commissioner of Oath, Director or Company Secretary
5. Certificate of Incorporation
  - certified true copy
  - please include Certificate of Incorporation on Change of Name (if applicable)
6. Latest Audited or Management Accounts
  - compulsory and certified true copy
7. Memorandum & Articles of Association
  - certified true copy
8. Updated Biz file (formerly known as ROC) Instant Information Print-Out
  - applicable only for local incorporated companies
  - certified true copy if it's not an original
9. Particulars of Directors/Secretary
  - applicable for foreign incorporated companies
  - certified true copy
  - to include name, nationality, passport number, residential address and date of appointment of directors/secretary
10. Certificate of Good Standing
  - from a law firm
  - applicable only for tax haven countries eg BVI, Bahamas
11. Letter of Guarantee
  - applicable only for tax haven countries eg BVI, Bahamas
12. W-8BEN/W-8IMY/W-9 Form (where appropriate)
  - required if you wish to trade in the US Market
2. CDP25A Linkage Form
  - must be signed by two authorised signatories as listed on page 2
  - please affix company stamp
3. Certificate of Board Resolution
  - as set out on page 2 of CDP and must be signed by two signatories
  - please affix company stamp
  - additional board resolution may be submitted together with page 2
4. Certificate of Incorporation
  - certified true copy
  - please include Certificate on Change of Name (if applicable)
5. Updated Biz file (formerly known as ROC) Instant Information Print-Out
  - applicable only for local incorporated companies
  - certified true copy if it's a photocopy
6. Form 49 (where applicable - if updated information is not reflected in RCB Instant Information Print-Out)
  - obtainable from Biz file (formerly known as ROC) & must be certified true copy
  - applicable only for local incorporated companies
  - for foreign incorporated companies please submit certified true copy of: "Particulars of Directors/Secretary" (to include name, nationality, passport number, residential address and date of appointment of directors/secretary)
7. Letter of Undertaking
  - applicable for investment holding companies & banks (local & foreign)
8. Certificate of Good Standing
  - from a law firm and certified true copy if it's a photocopy
  - applicable only for tax haven countries eg BVI, Bahamas
9. Legal Opinion Letter
  - applicable only for tax haven countries eg BVI, Bahamas
  - from a law firm and addressed to The Central Depository Pte Ltd certifying to the CDP that requirements (1) to (4) have been satisfied:
    - (1) that all the legal requirements for opening a Securities Account in the country of its incorporation have been satisfied
    - (2) that the company has the capacity to contract with CDP under their Terms & Conditions for the operation of a Securities Account. (available on request)
    - (3) that the Certificate of Resolution on the prescribed form (page 2) has been validly passed according to the laws of the country of incorporation
    - (4) that the company has limited liabilities

- \* Where application for both Trading Account with DBSV & GSA Account with CDP are simultaneous, only one Biz file Instant Information Print-Out or Certificate of Good Standing (where applicable) is required.
- \* Please note that only applicant company is privy to GSA A/C number allotted by CDP and should revert to DBSV in order for linkage to Trading A/C to be activated.
- \* For foreign incorporated banks - include Letter of Undertaking. If operating a Singapore branch - include Form 83, Form 79, Biz file Print-Out, Power of Attorney & Letter of Undertaking.

#### For Opening of Global Securities Account With the Central Depository Pte Ltd

1. Account Application Form (2 pages)
  - must be signed by two authorised signatories as listed on page 2 and affixed with company Stamp on page 1 & 2

## 2. Corporate Data

Company Name \_\_\_\_\_

Registered Address \_\_\_\_\_

Correspondence Address \_\_\_\_\_

Tel No \_\_\_\_\_ Fax No \_\_\_\_\_

Email Address \_\_\_\_\_

Date of Incorporation \_\_\_\_\_ Place of Incorporation \_\_\_\_\_ Company Registration No. \_\_\_\_\_

Tax Residence (Please state country) \_\_\_\_\_

Country of Operation \_\_\_\_\_ Country of Parent (where applicable) \_\_\_\_\_

Nationality of Major Shareholders (Nationality of Shareholders owning more than 50% of the Company)

Singaporean  Malaysian  Others \_\_\_\_\_ (Please specify)

Singapore Permanent Resident  Yes  No

### Investment Objectives

Capital Preservation  Income  Growth  Trading  Others \_\_\_\_\_ (Please specify)

Global Securities Account/Depository Agent Sub-Account No  -  -

## Customer Declaration (For Securities Trading and/or Other Account (s))

### Disclosure Consent

By signing this application, we authorize, consent and agree to the disclosure by DBS Vickers Securities (Singapore) Pte Ltd ("DBS Vickers") and/or any officer or agent of DBS Vickers at any time and from time to time of any and all information (including all particulars or transactions) in respect of any of our account(s) opened or maintained with DBS Vickers to any person and for any purpose described in the clauses under the heading "Disclosure of Information" in Section A of the DBS Vickers General Trading Agreement.

### General

#### Declaration and Agreement

In consideration of DBS Vickers processing our application to open any account and/or facilities or services as requested in this application, we hereby declare, warrant and agree:

- (a) that all information submitted above or otherwise in connection with this application are true and accurate in all respects;
- (b) that we have read, understood, accepted and agreed to the terms and conditions set out in this application and in the DBS Vickers General Trading Agreement as it may be amended from time to time;
- (c) that we have read, understood and accepted the terms of the Risk Disclosure Statements, notifications and/or disclaimers forwarded to us, that such documents are not substitutes for our actually becoming reliably and adequately informed as regards any specific transaction contemplated and taking independent advice, and that we shall be solely responsible for any transaction which we ultimately choose to enter into;
- (d) that where applicable, we shall supply any additional information and documentary proof and place a deposit on the value of the securities to be purchased as DBS Vickers may require in connection with the processing of this application and the opening, operation and maintenance of any account or facility or service established with DBS Vickers;
- (e) that we will execute all documents and instruments (including any security documents) and do all acts and things as may be required by DBS Vickers in connection with the processing of this application and the opening, operation and maintenance of any account or facility or service established with DBS Vickers;
- (f) (where there is more than one applicant) to be jointly and severally liable and responsible for all payments and obligations arising from our joint account(s) and facilities with DBS Vickers;
- (g) that we undertake to give DBS Vickers notice in writing of any change in particulars given above and to submit relevant documentary proof to DBS Vickers for any change of the particulars given above;
- (h) that we understand that DBS Vickers has the right not to approve this application at its absolute discretion. We understand that in the event that our application is rejected, DBS Vickers is not under any obligation whatsoever to render us any reason or explanation;
- (i) that we agree to abide by the prevailing rules and regulations of Singapore Exchange Limited and its subsidiaries (including Singapore Exchange Securities Trading Limited and Singapore Exchange Derivatives Trading Limited) (collectively "SGX") or any regulatory body or exchange (whether in or outside Singapore) which may be applicable to us and/or our transactions. We understand that DBS Vickers is required under the prevailing SGX rules and regulations to report all delinquent and disputed accounts to SGX. We hereby authorise DBS Vickers to disclose to the SGX all such information which may be required by SGX in the event our account is classified as delinquent or disputed under the SGX rules and regulations; and
- (j) that where applicable, if we choose not to open a Depository Agent Sub-Account with DBS Vickers, 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, we agree that will be monthly maintenance charges imposed by CDP, which will be charged to us regardless of whether there is any transaction in this account.

Date

**AUTHORISED SIGNATORIES**  
(Please indicate name of authorised signatories and affix company stamp)

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Date Received:	DR Assigned:	Code:	Dealer Recommended Trading Limit:	Group ID:	Client No:
Date Approved/Rejected	Approved/Rejected by	Approved Trading Limit:		Suspense A/C: Yes/No	Category in MTL System
		Sell:	Buy:		
					Risk Management: Yes/No
Remarks					

### 3. Particulars of Shareholders

Name	Shareholding	Name	Shareholding
_____	_____	_____	_____
_____	_____	_____	_____

### 4. Board of Directors NRIC/Passport (Certified True Copy)

	Name in Full	Nationality	NRIC/Passport
Chairman	1. _____	_____	_____
	2. _____	_____	_____
Other Directors	1. _____	_____	_____
	2. _____	_____	_____
	3. _____	_____	_____
	4. _____	_____	_____
	5. _____	_____	_____

### 5. Particulars of Personnel Authorised to Deal on behalf of the Company NRIC/Passport (Certified True Copy)

Name	NRIC/Passport No	Position	Contact No	Specimen Signature
1. _____	_____	_____	_____	_____
2. _____	_____	_____	_____	_____
3. _____	_____	_____	_____	_____
4. _____	_____	_____	_____	_____
5. _____	_____	_____	_____	_____

### 6. Additional Customer Information

Source of funds

\_\_\_\_\_

Description of Ownership and Control Structure

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

Regulatory Status

\_\_\_\_\_

\_\_\_\_\_

Principal Business Activity(s)

- Asset Management
- Proprietary Traders
- Absolute Return Funds
- Broker
- Others, please specify \_\_\_\_\_

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Background \_\_\_\_\_

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