

STRAITS FINANCIAL SERVICES PTE LTD
CORPORATE ACCOUNT APPLICATION FORM

Instructions:**Application Documents**

Please ensure that all relevant Sections and Schedules of this account application are completed correctly and clearly.

Documents

- Account Application Form
- Schedule 1 – Investor Classification Declaration
- Schedule 2 – SFA Risk Disclosure Statement
- Schedule 3 – CTA Risk Disclosure Statement
- Schedule 4 – Board Resolution
- Schedule 5 – Indemnification on Accepting Electronic Instructions
- Schedule 6 – Authorisation for Auto-Conversion of Currency
- Schedule 7 – Tax Compliance Declaration
- Schedule 8 – Common Reporting Standard Self-Certification
- Schedule 9 - SGX Futures Trading Rules 1.6 on Exclusion of Liability, Disclaimer of Warranties & Statutory Immunity
- Schedule 10 – Request to trade additional product classes and/or open sub-accounts
- Schedule 11 – Hedge Account Declaration
- Schedule 12 – Appointment and Authorisation of Trading Agent
- Schedule 13 – Personal Data Consent
- Master Trading Agreement
- Master OTC Commodities Trading Agreement
(please read & retain the agreements)

Applicable to

- All Customers
- Accredited / Institutional Investors
- All Customers
- All Customers
- All Customers
- All Customers
- Customers who wish to trade on futures exchanges
- All Customers
- All Customers
- Customers who wish to trade SGX products
- Customers who wish to trade additional product classes; and/or open sub-accounts
- Customers who trade futures contracts for hedging purposes
- Customers who wish to appoint a trading agent to trade on their behalf
- All Customers
- All Customers
- Customers who wish to trade in OTC Derivatives (except FX and CFDs)

Supporting Documents

Please ensure that all supporting documents provided are valid, current and are in force as of the date of this application. All supporting documents are to be independently verified by either an employee of Straits Financial Group, a Notary Public, Chartered Accountant or Lawyer.

Documents

- Certificate of Incorporation / Business Registration Certificate / other official document evidencing incorporation and/or registration
- Memorandum & Articles of Association or Constitutive Documents
- Singapore Biz File / Hong Kong Annual Return / Certificate of Incumbency or other official document listing the current Shareholders and Directors of the Company
- Latest Audited Financial Statements, or if not available, then the latest management financials certified by the Director(s) of the Company
- Proof of Identity for ALL Authorised Signatories /Authorised Persons / Directors / Shareholders / Beneficial Owners
- Proof of Residence for ALL Authorised Signatories /Authorised Persons / Directors / Shareholders / Beneficial Owners
- Form W-8BEN / Form W-8BEN-E / Form W-9 / Simplified Self-certification for Foreign Account Tax Compliance Act (FATCA) Status Declaration

Remarks

- Please provide the latest copy (not older than 1 year from date of application)
- Clear copies of Government issued identity document /passport that contains a photo & has at least 6 months validity
- National ID card / Utility Bill / Phone Bill / Bank Statement that contains the residential address and not older than 6 months from date of this application.

Please send the completed application and the relevant supporting documents to us by:

Post

Account Processing Team
Straits Financial Services Pte Ltd
9 Temasek Boulevard
#28-02 Suntec Tower Two
Singapore 038989

Email

Scan and email the application form and the relevant supporting documents to sgsales@straitfinancial.com (for Futures and Options and OTC Derivatives) and/ or sgfx@straitfinancial.com (for FX and OTCD)

SECTION A - CUSTOMER PARTICULARS

Please Choose Your Trading Account Type

- Futures and Options
For Future and Options Omnibus account applicants (*please tick accordingly and leave blank if not applicable*)
- We would like to open an Omnibus Client Account only.
- We would like to open a House Account together with our Omnibus Client Account.
- FX and CFDs
- Leveraged Forex including precious metals and CFDs
- Deliverable FX
- Over-The-Counter ("OTC") Derivatives (except FX and CFDs)

Company Name: _____

Company Type Private Limited Public Listed Company Sole Proprietorship
 Partnership Others. Please specify _____

Business Registration Number: _____ Date of Incorporation (DD/MM/YYYY): _____

Country of Incorporation: _____ Country of Business Operations: _____

Nature of Business: _____

Registered Address: _____
Number/Block & Street Name

City _____ State/Province _____ Country & Postal Code _____

Mailing address (if different from above): _____
Number/Block & Street Name

City _____ State/Province _____ Country & Postal Code _____

Phone Number: () _____ Fax Number: () _____

Website Address: _____

Email address(es)*: _____

*Please note that trade confirmations and Statements (as defined in Section E of this Account Application Form), marketing materials unless you indicate otherwise in Schedule 13 of this application form) and/or other information relating to the account(s) held by you with SFSP will be sent to this email.

Contact Person (for account opening matters)

Name of Contact Person: (Mr/Ms/Miss/Mrs) _____

Designation of Contact Person: _____

Phone Number: () _____ Fax: () _____

Email: _____

Financial Information

Authorised Capital

- Less than S\$50,000 S\$50,000 – less than S\$200,000 S\$200,000 – less than S\$500,000
 S\$500,000 – less than S\$2 million S\$2 million – less than S\$10 million S\$10 million or more

Paid-up Capital

- Less than S\$50,000 S\$50,000 – less than S\$200,000 S\$200,000 – less than S\$500,000
 S\$500,000 – less than S\$2 million S\$2 million – less than S\$10 million S\$10 million or more

Net Annual Income:

- Less than S\$500,000 S\$500,000 – less than S\$2 million
 S\$2 million – less than S\$5million S\$5 million – less than S\$10 million S\$10 million or more

Liquid Assets:

- Less than S\$500,000 S\$500,000 – less than S\$2 million
 S\$2 million – less than S\$5 million S\$5 million – less than S\$10 million S\$10 million or more

Net Assets:

- Less than S\$500,000 S\$500,000 – less than S\$2 million
 S\$2 million – less than S\$5 million S\$5 million – less than S\$10 million S\$10 million or more

Source of funds for trading:

- Operating Income Shareholders' Equity

Country(ies) of origin of funds: _____

Expected amount of initial deposit: Currency _____ Amount _____

Trading Experience (Check all that apply)

- Futures and Options (including centrally cleared OTC contracts) Years Traded: _____
 Leveraged Foreign Exchange Years Traded: _____
 Securities Years Traded: _____
 Contracts for Differences Years Traded: _____
 Non-centrally-cleared OTC Contracts Years Traded: _____

SECTION B – OTHER INFORMATION

1. Is your company or any of your corporate shareholders regulated by any financial or governmental regulatory authority? No Yes

If **yes**,

Please specify the regulator: _____

Name of the corporation that is regulated: _____

Please specify the type of regulated activity: _____

Please specify the license held (if any): _____

2. Is your company or any of your corporate shareholders listed on any stock exchange? No Yes

If **yes**,

Please specify the exchange and stock code: _____

Name of corporation that is listed on the exchange: _____

3. Does your company's business currently involve the acquisition and disposal, or the holding of any capital markets products (e.g. futures and options, Spot FX, securities), whether as principal or agent? No Yes

If **yes**, please specify the type of capital markets products:

	Asset Class	Product	No. of Years Traded	Name of Broker
<input type="checkbox"/>	Futures and Options			
<input type="checkbox"/>	Leveraged Foreign Exchange			
<input type="checkbox"/>	Exchange-traded Securities			
<input type="checkbox"/>	Contracts for Differences			
<input type="checkbox"/>	Others			

4. Is there a designated person or department who handles the acquisition and disposal, or the holding of the capital market products stated above for your company? No Yes

5. State the countries with which your company has business dealings: _____

6. Are any of your company's beneficial owners, directors or authorised signatories (including their spouses) holding any senior positions in the governmental, military or political entities? No Yes

If **yes**, please state:

Name of person: _____

Relationship to Applicant: _____

Name of government/military/organisation: _____

Position held/rank: _____

SECTION C – BOARD OF DIRECTORS

Kindly copy this page and attach list if there are more than 4 directors.

Full Name	ID/Passport No.*	Date of Birth	Nationality	Residential Address*

* Please provide copies of ID/Passport.

SECTION D – SHAREHOLDERS AND ULTIMATE BENEFICIAL OWNERS

Shareholders

Kindly copy this page and attach list if there are more than 4 shareholders.

If the shareholding structure is more than 1 level, please provide a shareholding structure certified by any 1 Director of the Company.

Full Name	ID/Passport No. / Business Registration No.*	Date of Birth/ Incorporation	Nationality / Country of Incorporation	Residential Address / Registered Address *	Shareholding % **

* For individuals, please provide copies of ID/Passport. For corporations, please provide a copy of an updated business profile filed with the relevant corporate regulatory authority.

** Please provide documentary proof such as share certificate/register or other official documents.

Beneficial Owners

A "beneficial owner", in relation to a customer, means the natural person who ultimately owns or controls the customer or the natural person on whose behalf a transaction is conducted or business relations are established, and includes any person who exercises ultimate effective control over a legal person or legal arrangement.

In compliance with the guidelines relating to the prevention of money laundering and countering the financing of terrorism published by the Monetary Authority of Singapore (the "**Authority**"), SFSP is required to verify the identity of the beneficial owners of a corporate customer.

Full Name	ID/Passport No.*	Date of Birth	Nationality	Residential Address *	Effective Shareholding %

* Please provide copies of ID/Passport.

SECTION E – CUSTOMER DECLARATION AND AGREEMENT

By signing this application (the "**Application**") and in consideration of Straits Financial Services Pte. Ltd. ("**SFSPL**") agreeing to open trading account(s) in our name as requested in this Application, we hereby declare, warrant, agree and represent:

- i. that all information submitted and provided in this Application is true, complete and accurate in all respects and SFSPL may rely fully on any such information or representation and we also undertake to notify SFSPL immediately of any changes in such information and submit any relevant documentary proof to SFSPL as may be required;
- ii. that we have received, read, understood and agree to the terms and conditions set out in this Application (including the Schedules), the Master OTC Commodities Trading Agreement (where applicable) and the Master Trading Agreement including its Schedules and Appendixes (collectively, the "**Agreements**");
- iii. that we have read, understood, agree and accept the terms of the Risk Disclosure Statement required under the Securities and Futures Act attached hereto as Schedule 2, the Risk Disclosure Statement required under the Commodity Trading Act attached hereto as Schedule 3 and the Risk Disclosure Statement for Retail Customers required under the Securities and Futures Act attached in the Master Trading Agreement;
- iv. that neither we nor any of our representatives have had any judgment including findings in relation to fraud, misrepresentation, or dishonesty entered against us in any civil proceedings in Singapore or elsewhere;
- v. that SFSPL shall accept electronic signatures & electronic copies of supporting documents (i.e. signatures & documents submitted via email using scanned copies, fax and any other electronic means) as valid and such electronic submissions shall be deemed original signatures and documents and therefore will have the same binding effect;
- vi. to receive daily trading statement(s), monthly trading statement(s) and/or trade confirmations/summary files (collectively the "**Statements**") via electronic means such as email and/or any online facilities provided by SFSPL (collectively "**Online Services**") which may be in an unencrypted format. We further confirm that we understand and accept the risks (including but not limited to delayed/failed delivery or transmission interruptions) associated with such electronic transmission of the Statements via the Online Services and shall not hold SFSPL liable for any resulting losses, damages or breach of confidentiality;
- vii. to consent to SFSPL for the keeping of our and our representatives' particulars on record and authorise and permit SFSPL and/or its officer and agents of SFSPL to divulge, reveal or disclose any and all of the particulars of our account(s) opened and maintained with SFSPL, including but not limited to our or our representatives' personal particulars and information on or relating to any transactions or dealings between us and SFSPL at any time and from time to time for any purpose as may be required to:
 - a. any entity related to SFSPL;
 - b. any intermediary or third party vendors whom SFSPL engages to perform works or provide services to SFSPL;
 - c. any government or regulatory authorities in Singapore and elsewhere where disclosure is required by the applicable laws; and/or
 - d. any other person or entity that SFSPL in good faith considers to be appropriate for the intended purpose or in the interest of SFSPL;
- viii. for any Personal Data (as defined in Schedule 13) of any Individual (as defined in Schedule 13) that we will be or may be disclosing or disclose to SFSPL, that we would have, prior to disclosing such Personal Data to SFSPL, informed these Individuals that their Personal Data will be, and obtained the consent from these Individuals for their Personal Data to be disclosed to, SFSPL for the Purposes and for SFSPL to disclose the Individual's Personal Data to the Permitted Parties for one or more of the Purposes (as defined in Schedule 13);
- ix. that we are the sole beneficial owner(s) of this Account and will not be acting as agent for any other person or entity, unless otherwise informed by us in writing and acknowledged by SFSPL. We accept that SFSPL reserves right to reject my/our application without providing any reasons whatsoever.

Signature of Authorised Signatory

Signature of Authorised Signatory

Name: _____

Name: _____

Title: _____

Title: _____

Date: _____

PART A: INVESTOR CLASSIFICATION

We hereby declare that, unless otherwise informed by us, the Company is an:

"**Accredited Investor**" as defined in section 4A(1)(a) of Securities and Futures Act ("**SFA**") as follows:

1. A corporation whose net assets exceed S\$10 million in value (or its equivalent in a foreign currency) or such other amount as the Monetary Authority of Singapore may prescribe:
 - a. as determined by the most recent audited balance-sheet of the corporation; or
 - b. where the corporation is not required to prepare audited accounts regularly, a balance-sheet of the corporation certified by the corporation as giving a true and fair view of the state of affairs of the corporation as of the date of the balance-sheet, which date shall be within the preceding 12 months.
2. The trustee of a trust of which all property and rights of any kind whatsoever held on trust for the beneficiaries of the trust exceed S\$10 million in value (or its equivalent in a foreign currency).
3. Such other persons as the Monetary Authority may prescribe as defined in Section 2 of Securities and Futures (Classes of Investors) Regulations 2018.

*Note: If you have declared the Company as an "**Accredited Investor**", please proceed to **Part B: Accredited Investor Declaration** and provide supporting documents such as:*

(i) latest audited financial statements; or

(ii) where the corporation is not required to prepare audited accounts regularly, a balance-sheet of the Company certified by the directors of the Company as giving a true and fair view of the state of affairs of the corporation as of the date of the balance-sheet for the most recent past 12 months.

"**Institutional Investor**" as defined in section 4A(1)(c) of SFA which includes but not limited to:

- a. a bank licensed under the Banking Act (Cap. 19);
- b. a company licensed under the Trust Companies Act (Cap. 336);
- c. a holder of a capital markets service license;
- d. an entity or a trust formed or incorporated in a jurisdiction other than Singapore, which is regulated for the carrying on of any financial activity in that jurisdiction by a public authority of that jurisdiction that exercises a function that corresponds to a regulatory function of the Monetary Authority of Singapore under SFA, the Banking Act (Cap. 19), the Finance Companies Act (Cap. 108), the Monetary Authority of Singapore Act (Cap. 186), the Insurance Act (Cap. 142), the Trust Companies Act (Cap. 336) or such other Act as may be prescribed by regulations made under section 341.

*Note: If you have declared the Company as an "**Institutional Investor**", please provide supporting documents evidencing your status.*

We undertake to promptly inform SFSPPL immediately if the Company ceases to be an Accredited Investor or Institutional Investor at any time. We also understand and agree that we may be required to renew this declaration periodically upon request or whenever deemed necessary by SFSPPL.

We agree to hold SFSPPL and its directors, officers, agents, and affiliates harmless and keep each party fully and effectively indemnified from and against any and all losses, costs (include legal costs on a full indemnity basis), claims, damages and expenses which may be incurred directly or indirectly as a result of relying on the information in this declaration.

We agree to provide supporting documents to SFSPPL from time to time at SFSPPL's request for verification purpose.

We confirm that all the information provided herein and to SFSPPL is true and accurate to the best of our knowledge as at the latest date set out below and SFSPPL shall be entitled to rely on its accuracy and at each and every time new or updated information is provided to SFSPPL.

Signature of Authorised Signatory	Signature of Authorised Signatory
_____	_____
Name: _____	Name: _____
Title: _____	Title: _____
Date: _____	

PART B: ACCREDITED INVESTOR DECLARATION (if you have declared as AI in Part A)

SFSPL will assess and treat you as an accredited investor¹ for all of the consent provisions per your declaration unless otherwise notified. You may at any time withdraw your consent in writing to SFSPL. SFSPL will inform you separately of our acknowledgment and the date where SFSPL will stop treating you as an accredited investor for the purposes of all of the consent provisions.

By declaring that you are an accredited investor, you acknowledge that SFSPL, as a Capital Market Services License (“CMSL”) holder, may rely on this declaration to be exempted from fulfilling the certain obligations under Securities and Futures (Licensing and Conduct of Business) Regulations (“SFR”). While SFSPL will continue to provide the highest level of service to you when we treat you as an accredited investors, you may lose certain protections and compensation rights. Please refer to our website <https://straitstfinancial.com/sg/en/links/consent-provisions> where an explanation of the effect of being treated as an accredited investor under the consent provisions is set out.

Please note that the regulatory requirements that SFSPL is exempted from when dealing with you as an accredited investor may be amended and updated from time to time due to regulatory changes or otherwise.

GENERAL WARNING

Accredited investors are assumed to be better informed, and better able to access resources to protect their own interests, and therefore require less regulatory protection. Investors who agree to be treated as accredited investors therefore forgo the benefit of certain regulatory safeguards. For example, issuers of securities are exempted from issuing a full prospectus registered with the Monetary Authority of Singapore in respect of offers that are made only to accredited investors, and intermediaries are exempted from a number of business conduct requirements when dealing with accredited investors. Investors should consult a professional adviser if they do not understand any consequence of being treated as an accredited investor.

I/we acknowledge that I/we have received, read and understood and the contents of the Accredited Investor Declaration, including the General Warning, explanation of effect of being treated as an accredited investor under the consent provisions and choose to opt-in to be classified as an accredited investor for the purpose of all of the consent provisions.

I/we acknowledge that I/we may at any time notify SFSPL in writing that you do not consent to being treated by us as an accredited investor for the purposes of all of the consent provisions, following which (after 30 days from the date of your notification to us), we will no longer treat you as an accredited investor.

Signature of Authorised Signatory	Signature of Authorised Signatory
_____	_____
Name: _____	Name: _____
Title: _____	Title: _____
Date: _____	

¹ Securities and Futures (Classes of Investors) Regulations 2018, para 3(9).

**SECURITIES AND FUTURES ACT (CAP. 289)
SECURITIES AND FUTURES (LICENSING AND CONDUCT OF BUSINESS)
REGULATIONS (Rg 10)**

**RISK DISCLOSURE STATEMENT REQUIRED TO BE FURNISHED UNDER REGULATION 47E (1) AND TO
BE KEPT UNDER REGULATION 39 (2) (c) BY THE HOLDER OF A CAPITAL MARKETS SERVICES
LICENCE TO TRADE IN FUTURES CONTRACTS OR LEVERAGED FOREIGN EXCHANGE CONTRACTS**

1. This statement is provided to you in accordance with regulation 47E(1) of the Securities and Futures (Licensing and Conduct of Business) Regulations (Rg 10).
2. This statement does not disclose all the risks and other significant aspects of trading in futures, options, over-the-counter derivatives contracts where the underlying is a currency or currency index (“OTCD currency contracts”) and spot foreign exchange contracts for the purposes of leveraged foreign exchange trading (“Spot LFX trading contracts”). In light of the risks, you should undertake such transactions only if you understand the nature of the contracts (and contractual relationships) into which you are entering and the extent of your exposure to the risks. Trading in futures, options, OTCD currency contracts and Spot LFX trading contracts may not be suitable for many members of the public. You should carefully consider whether such trading is appropriate for you in the light of your experience, objectives, financial resources and other relevant circumstances. In considering whether to trade, you should be aware of the following:

(a) Futures and Leveraged Foreign Exchange Trading

(i) *Effect of ‘Leverage’ or ‘Gearing’*

Transactions in futures, OTCD currency contracts and Spot LFX trading contracts carry a high degree of risk. The amount of initial margin is small relative to the value of the futures contract, OTCD currency contract or Spot LFX trading contract transaction so that the transaction is highly ‘leveraged’ or ‘geared’. A relatively small market movement will have a proportionately larger impact on the funds you have deposited or will have to deposit; this may work against you as well as for you. You may sustain a total loss of the initial margin funds and any additional funds deposited with the firm to maintain your position. If the market moves against your position or margin levels are increased, you may be called upon to pay substantial additional funds on short notice in order to maintain your position. If you fail to comply with a request for additional funds within the specified time, your position may be liquidated at a loss and you will be liable for any resulting deficit in your account.

(ii) *Risk-Reducing Orders or Strategies*

The placing of certain orders (e.g. ‘stop-loss’ orders, where permitted under local law, or ‘stop-limit’ orders) which are intended to limit losses to certain amounts may not be effective because market conditions may make it impossible to execute such orders. At times, it is also difficult or impossible to liquidate a position without incurring substantial losses. Strategies using combinations of positions, such as ‘spread’ and ‘straddle’ positions may be as risky as taking simple ‘long’ or ‘short’ positions.

(b) Options

(i) *Variable Degree of Risk*

Transactions in options carry a high degree of risk. Purchasers and sellers of options should familiarise themselves with the type of options (i.e. put or call) which they contemplate trading and the associated risks. You should calculate the extent to which the value of the options would have to increase for your position to become profitable, taking into account the premium paid and all transaction costs.

The purchaser of options may offset its position by trading in the market or exercise the options or allow the options to expire. The exercise of an option results either in a cash settlement or in the purchaser acquiring or delivering the underlying interest. If the option is on a futures contract, OTCD currency contract or Spot LFX trading contract, the purchaser will have to acquire a position in the futures contract, OTCD currency contract or Spot LFX trading contract, as the case may be, with associated liabilities for margin (see the section on Futures, OTCD currency contracts and Spot LFX trading contracts above). If the purchased options expire worthless, you will suffer a total loss of your investment which will consist of the option premium paid plus transaction costs. If you are contemplating purchasing deep-out-of-the-money options, you should be aware that, ordinarily, the chance of such options becoming profitable is remote.

Selling ('writing' or 'granting') an option generally entails considerably greater risk than purchasing options. Although the premium received by the seller is fixed, the seller may sustain a loss well in excess of the amount of premium received. The seller will be liable to deposit additional margin to maintain the position if the market moves unfavourably. The seller will also be exposed to the risk of the purchaser exercising the option and the seller will be obligated to either settle the option in cash or to acquire or deliver the underlying interest. If the option is on a futures contract, OTCD currency contract or Spot LFX trading contract, the seller will acquire a futures or leveraged foreign exchange position, as the case may be, with associated liabilities for margin (see the section on Futures, OTCD currency contracts or Spot LFX trading contracts above). If the option is 'covered' by the seller holding a corresponding position in the underlying futures contract, OTCD currency contract, Spot LFX trading contract or another option, the risk may be reduced. If the option is not covered, the risk of loss can be unlimited.

Certain exchanges in some jurisdictions permit deferred payment of the option premium, limiting the liability of the purchaser to margin payments not exceeding the amount of the premium. The purchaser is still subject to the risk of losing the premium and transaction costs. When the option is exercised or expires, the purchaser is responsible for any unpaid premium outstanding at that time.

(c) Additional Risks Common to Futures, Options and Leveraged Foreign Exchange Trading

(i) *Terms and Conditions of Contracts*

You should ask the corporation with which you conduct your transactions for the terms and conditions of the specific futures contract, option, OTCD currency contract or spot LFX trading contract, which you are trading and the associated obligations (e.g. the circumstances under which you may become obligated to make or take delivery of the underlying interest of a futures contract, OTCD currency contract or Spot LFX trading contract transaction and, in respect of options, expiration dates and restrictions on the time for exercise). Under certain circumstances, the specifications of outstanding contracts (including the exercise price of an option) may be modified by the exchange or clearing house to reflect changes in the underlying interest.

(ii) *Suspension or Restriction of Trading and Pricing Relationships*

Market conditions (e.g. illiquidity) or the operation of the rules of certain markets (e.g. the suspension of trading in any contract or contract month because of price limits or 'circuit breakers') may increase the risk of loss by making it difficult or impossible to effect transactions or liquidate/offset positions. If you have sold options, this may increase the risk of loss.

Further, normal pricing relationships between the underlying interest and the futures contract, and the underlying interest and the option may not exist. This can occur when, e.g., the futures contract underlying the option is subject to price limits while the option is not. The absence of an underlying reference price may make it difficult to judge 'fair' value.

(iii) *Deposited Cash and Property*

You should familiarise yourself with the protection accorded to any money or other property which you deposit for domestic and foreign transactions, particularly in a firm's insolvency or bankruptcy. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property which had been specifically identifiable as your own will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall.

(d) Commission and Other Charges

Before you begin to trade, you should obtain a clear explanation of all commissions, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss.

(e) Transactions in Other Jurisdictions

Transactions on markets in other jurisdictions, including markets formally linked to a domestic market, may expose you to additional risk. Such markets may be subject to a rule which may offer different or diminished investor protection. Before you trade, you should enquire about any rules relevant to your particular transactions. Your local regulatory authority will be unable to compel the enforcement of the rules of the regulatory authorities or markets in other jurisdictions where your transactions have been effected. You should ask the firm with which you conduct your transactions for details about the types of redress available in both your home jurisdiction and other relevant jurisdictions before you start to trade.

(f) Currency Risks

The profit or loss in transactions in foreign currency-denominated futures and options contracts (whether they are traded in your own or another jurisdiction) will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

(g) Trading Facilities

Most open-outcry and electronic trading facilities are supported by computer-based component systems for the order-routing, execution, matching, registration or clearing of trades. As with all facilities and systems, they are vulnerable to temporary disruption or failure. Your ability to recover certain losses may be subject to limits on liability imposed by the one or more parties, namely the system provider, the market, the clearing house or member firms. Such limits may vary. You should ask the firm with which you conduct your transactions for details in this respect.

(h) Electronic Trading

Trading on an electronic trading system may differ not only from trading in an open-outcry market but also from trading on other electronic trading systems. If you undertake transactions on an electronic trading system, you will be exposed to risks associated with the system including the failure of hardware and software. The result of any system failure may be that your order is either not executed according to your instructions or not executed at all.

(i) Off-Exchange Transactions

In some jurisdictions, firms are permitted to effect off-exchange transactions. The firm with which you conduct your transactions may be acting as your counterparty to the transaction. It may be difficult or impossible to liquidate an existing position, to assess the value, to determine a fair price or to assess the exposure to risk. For these reasons, these transactions may involve increased risks. Off-exchange transactions may be less regulated or subject to a separate regulatory regime. Before you undertake such transactions, you should familiarise yourself with the applicable rules and attendant risks.

ACKNOWLEDGEMENT OF RECEIPT OF THIS RISK DISCLOSURE STATEMENT

This acknowledges that I/we have received a copy of the RISK DISCLOSURE STATEMENT and understand its contents.

Signature of Authorised Signatory

Name: _____

Title: _____

Date: _____

Signature of Authorised Signatory

Name: _____

Title: _____

Signature of Witness

Name: _____

Date: _____

Note:

"Margin" means an amount of money, securities, property or other collateral, representing a part of the value of the contract or agreement to be entered into, which is deposited by the buyer or the seller of a futures contract, OTCD contract or Spot LFX trading contract to ensure performance of the terms of the transaction in the futures contract, OTCD contract or Spot LFX trading contract.

**RISK DISCLOSURE STATEMENT REQUIRED TO BE FURNISHED BY
A COMMODITY BROKER UNDER THE COMMODITY TRADING ACT (CAP. 48A)**

(The references to "you" below are references to the Customer.)

**FORM 3
COMMODITY TRADING ACT (CHAPTER 48A)
COMMODITY TRADING REGULATIONS
RISK DISCLOSURE STATEMENT REQUIRED TO BE FURNISHED BY A
COMMODITY BROKER OR SPOT COMMODITY BROKER**

1. This statement is provided to you in accordance with section 32 (1) of the Commodity Trading Act.
2. The intention of this statement is to inform you that the risk of loss in trading in commodity contracts and in spot commodity contracts can be substantial. You should therefore carefully consider whether such trading is suitable for you in light of your financial condition.
3. In considering whether to trade, you should be aware of the following:
 - (a) Margin: You may sustain a total loss of the initial margin and any additional margins that you deposit to establish a position or maintain positions in the commodity market or spot commodity market. If the market moves against your positions, you may be called upon to deposit a substantial amount of additional margins, on short notice, in order to maintain your positions. If you do not provide the required margins within the prescribed time, your positions may be liquidated at a loss, and you will be liable for any resulting deficit in your account.
 - (b) Liquidation of position: Under certain market conditions, you may find it difficult or impossible to liquidate a position.
 - (c) Contingent orders: Placing contingent orders, such as "stop-loss" or "stop-limit" order, will not necessarily limit your losses to the intended amounts, since market conditions may make it impossible to execute such orders.
 - (d) "Spread" position: A "spread" position may not be less risky than a simple "long" or "short" position.
 - (e) Leverage: The high degree of leverage that is often obtainable, trading in commodity contracts and spot commodity trading because of the small margin requirements can work against you as well as for you. The use of leverage can lead to large losses as well as gains.
 - (f) Foreign markets transactions: Funds placed with a commodity broker or spot commodity broker for the purpose of participating in foreign markets, such as the CME Group of Exchanges, the London Metal Exchange or the Tokyo Commodity Exchange transactions may not enjoy the same level of protection as funds placed in commodity markets located in Singapore.
4. This brief statement cannot disclose all the risks and other significant aspects of the commodity market. You should therefore carefully study trading in commodity contracts and spot commodity trading before you trade.

ACKNOWLEDGEMENT OF RECEIPT OF THIS RISK DISCLOSURE STATEMENT

I/we acknowledge that I/we have received a copy of the Risk Disclosure Statement and understand its contents.

Signature of Authorised Signatory	Signature of Authorised Signatory
_____	_____
Name: _____	Name: _____
Title: _____	Title: _____
Date: _____	

CERTIFIED EXTRACT OF DIRECTORS' RESOLUTIONS

The undersigned Director and/or Secretary of _____,
(Name of Company)

(the "**Company**") a corporation duly organised and existing under the laws of _____ hereby
(Country)

certify that the following resolutions of the Board of Directors of the Company were passed at a meeting of the Board

duly held at _____ on _____ by a quorum of Directors being
(location) (date)

present and voting, each of the Directors present having confirmed that he has received and reviewed copies of the Master Trading Agreement and Master OTC Commodities Trading Agreement (where applicable) ("and all other relevant documentation from Straits Financial Services Pte Ltd and has/have disclosed all his/their interests in the subject of the meeting").

IT WAS RESOLVED THAT:

1. The Company be authorised to open any number of accounts of any type (each an "**Account**" and collectively, the "**Accounts**"), including sub-accounts of such Accounts, with Straits Financial Services Pte Ltd (hereinafter "**SFSPL**") and to use any of the services offered by SFSPL from time to time (each, a "**Service**", and collectively, the "**Services**") and to enter into trades and transactions with or through SFSPL.
2. It is hereby noted and resolved that the Company hereby accepts, and agrees to be bound by, the terms and conditions in SFSPL's application form(s), SFSPL's prevailing Master Trading Agreement and Master OTC Commodities Trading Agreement (where applicable) (collectively, the "**Agreements**"), any subsequent amendments to such Agreements as SFSPL may make from time to time in accordance with the Agreements, and any and all other agreements relating to the Account(s) and/or provision of any Service(s).
3. By means of this resolution, the following person(s) (each, an "**Authorised Person**" and together, "**Authorised Persons**") shall be authorised to represent the Company with legally binding effect in all its business relations regarding the above-mentioned Account(s) with SFSPL.

The following Authorised Person(s) is/are hereby authorised and empowered to carry out the corresponding actions in accordance with the signing conditions, for and on behalf of and in the name of the Company:

#	Name	Authority (Singly /Jointly)	Signature specimen	Authorisation (tick where applicable)			Contact Number & Email
				Open/Manage/Close Account	Withdrawal	Trade*	
1							
2							
3							
4							
5							

* Person(s) authorised to trade is/are always authorised to trade SINGLY on behalf of the Company.

4. Apart from the above authorisations, that the Authorised Person(s) be authorised and empowered to utilise all or any Services made available to the Company, to approve (with or without amendment), sign and, if required, to affix or cause to be affixed the seal of the Company in accordance with the Company's constitutional documents onto, and deliver or cause to be delivered to SFSP, all relevant documentation in respect thereof required by SFSP from time to time in respect of the Account(s), to give instructions to SFSP in respect of all Account(s) and Services, to receive, examine and verify statements of accounts and other documents or instruments and to give and receive good and valid receipts and discharges for all sums received or paid in connection with any of the above, and generally to do all such other acts and things and take all such other steps and exercise such discretion as they may consider expedient or desirable for the purpose of or in connection with all or any of the above matters.
5. Any and all actions of the Company, or any director, officer or Authorised Person(s) taken in connection with the action(s) contemplated by these resolutions prior to the execution hereof including, but not limited to, the entering into of any documents and transactions of any description by the Company with or through SFSP, be and are hereby ratified, confirmed, approved and adopted in all respects as fully as if such action(s) had been presented for approval, and approved by, the Board of Directors of the Company prior to such action being taken.
6. That SFSP be and is hereby authorised to act on any instruction from the Authorised Person(s) and honour any instrument, document, or instruction given by them within the limits and scope of their authority.
7. The authority of the Authorised Person(s) shall remain valid and in effect exclusively until SFSP receives an authorisation letter duly executed by the Authorised Person(s), seeking to amend the authority of the Authorised Person(s), or a certified extract of the amending resolutions, duly passed by the Board of Directors of the Company, communicated to SFSP in accordance with the provisions of the Agreements, provided that SFSP shall be given a reasonable period of time (which shall not be less than five (5) business days from receipt of the notice) to effect the amendment.
8. The Company will indemnify SFSP and hold SFSP harmless from and against any loss incurred arising from any of the above representations or warranties being, at any time, untrue or incorrect.
9. That SFSP be given a certified true copy of the constitutive documents of the Company, or such other documents as SFSP may require.
10. That SFSP may rely on these resolutions and the instructions given by the Authorised Person(s) until SFSP has received and accepted to be in order, written notice of amendment or revocation of their authority or of these resolutions and has had a reasonable period of time to give effect to the notice. SFSP shall be entitled to a reasonable period of not less than five (5) business days from receipt of notice to process the notice. Before SFSP has updated its records, SFSP may act in reliance on the mandates or authorisations in force prior to its receipt of the notice.
11. That as between the Company and SFSP, any two directors or such person(s) authorised under the memorandum and articles of association of the Company, be and are hereby authorised to certify to SFSP a true copy or extract of any resolution passed by the Board of Directors of the Company (including these resolutions) in connection with the Accounts and Services and such certification may be relied upon by SFSP as conclusive evidence of the passing of the resolutions so certified.

IN WITNESS WHEREOF, we have subscribed our names to this Certificate on _____
(date)

Signature of Authorised Signatory _____ Name: _____ Title: _____	Signature of Authorised Signatory _____ Name: _____ Title: _____
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INDEMNIFICATION ON ACCEPTING ELECTRONIC INSTRUCTIONS

We hereby authorise SFSPL or any of its officers to act in accordance with the instructions given by us, or any of our duly authorised officers (“**Authorised Persons**”), given by telephone, facsimile, electronic mail or any other form of electronic communication including internet messaging (collectively, the "**Electronic Services**") from time to time, including instructions to withdraw/transfer funds from our account(s) maintained with SFSPL.

By authorising SFSPL or any of its officers to act in accordance with the instructions given by us or any of our Authorised Persons, we hereby declare that:

1. We are fully aware of, understand and agree to assume and bear all the risks associated with the use of the Electronic Services and communicating instructions by Electronic Services including (but not limited to) the risk of delay in or inability to access or use the Electronic Services due to hardware, software, connection failure, error, malfunction, omission, interruption, delay in transmission or computer virus, information loss, misuse and unauthorised use by a third party and the risk of a person hacking into the Electronic Services. We also understand that such instructions communicated by Electronic Services may not be received properly and/or read by the intended recipient or authorised persons.
2. SFSPL or any of its officers may act as aforesaid without inquiry as to the identity or authority of the person giving or purporting to give any instruction or the authenticity of any instructions transmitted by Electronic Services and may treat the same as fully authorised by and binding on us, regardless of the circumstances prevailing at the time of the instruction and notwithstanding any error, misunderstanding, fraud, forgery or lack of authority in relation thereto, and without requiring further confirmation in any form, provided that the SFSPL officer concerned believed the instruction to be genuine at the time it was given.
3. SFSPL reserves the right not to act on any instruction transmitted via the Electronic Services if SFSPL reasonably suspects that it is not genuine or for any other reason.
4. In relation to SFSPL acting on our instructions transmitted via Electronic Services, we undertake to indemnify SFSPL from and against all liabilities, claims, demands, actions, proceedings, losses, expenses and all other liabilities of whatsoever nature or description which may be suffered by SFSPL. We further agree to waive any rights, claims, actions or proceeding we may have against SFSPL for any losses or liabilities we may suffer as a consequence of SFSPL acting on instructions transmitted via the Electronic Services.
5. We acknowledge and agree that SFSPL shall not be liable for any loss or damage whatsoever (including any indirect, economic or consequential loss) that we may suffer or incur due to any act or omission of SFSPL or its officers in connection to the performance of any instructions given by us or purported to be given by us.

Signature of Authorised Signatory	Signature of Authorised Signatory
_____	_____
Name: _____	Name: _____
Title: _____	Title: _____
Date: _____	

**AUTHORISATION FOR AUTO-CONVERSION OF CURRENCY
FOR FUTURES AND OPTIONS TRADING ON OVERSEAS FUTURES EXCHANGES THAT
TRANSACTION IN CONTROLLED CURRENCY**

In relation to the trading of futures and options contracts on overseas futures exchanges that involve Controlled Currency, we hereby acknowledge, undertake and agree to SFSPPL that:

1. SFSPPL shall, in its absolute discretion, accept US Dollars or any currency as SFSPPL may determine from time to time, as margin for trading on overseas futures exchanges that involves Controlled Currency.
2. SFSPPL is hereby authorised to (but is not obliged to) at any time and from time to time, without any prior notice to us, convert part or all of our funds in our trading account maintained with SFSPPL to the Controlled Currency that the futures exchange transacts in (at such rate as may be obtained by SFSPPL from such third parties used by SFSPPL at its sole and absolute discretion to effect currency transactions) for the purpose of:
 - (a) off-setting any deficit equity balance in the controlled currency in our account(s);
 - (b) setting off against any realised losses and any fees or charges relating to our account(s); and/or
 - (c) meeting such margin requirements as may be specified by SFSPPL from time to time; in connection with our trades done through SFSPPL on the futures exchanges that involve Controlled Currency.
3. SFSPPL does not have any duty and shall not be required to convert to any other currency, any surplus balance of any Controlled Currency in our account(s) that has arisen for whatever reason (including from any conversion effected by SFSPPL under paragraph 2 above). SFSPPL may, but shall not be obliged to inform us of any surplus balance of any of the Controlled Currency in our account(s) and we agree that it shall be our sole responsibility to check our daily trading statements and/or inquire with SFSPPL from time to time whether we have any surplus balance of any Controlled Currency in our account(s). If we would like to convert any of our excess equity balance in any of the Controlled Currency in our account(s) to any other currency, we will instruct SFSPPL accordingly. We are aware of the risk arising from currency fluctuations and agree to be solely responsible for any loss that we may incur arising from currency fluctuations.
4. This authorisation is in addition to and without prejudice to the terms and conditions contained in the Agreements, which we agree to be bound by. In the event of any conflict or inconsistency between the provisions of this authorisation and the provisions of the Agreements, the provisions of this authorisation shall prevail over the provisions of the Agreements.

*The term "**Controlled Currency**", for purposes of this authorisation form, refers to the currency of a country where such currency is not freely convertible outside the country of that currency.*

Signature of Authorised Signatory _____ Name: _____ Title: _____ Date: _____	Signature of Authorised Signatory _____ Name: _____ Title: _____
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TAX COMPLIANCE DECLARATION

As a capital markets services license holder, SFSPL is required to apply anti-money laundering and countering the financing of terrorism measures to serious tax crimes designated as money laundering predicate offences. Additionally, SFSPL may be required to comply with requests from domestic and international tax authorities pursuant to any tax laws, regulations, orders or agreement by or between governments relating to tax (e.g. Foreign Account Tax Compliance Act (“FATCA”), Common Reporting Standard (“CRS”)). In line with such requirements, please complete the declaration below.

We, _____, _____, at _____,
 (Name of Company, the "Company") (Registration Number) (Registered Address)

hereby declare and confirm that:

1. We have completed the **FATCA self-certification** and/or **W8BEN / W8BEN-E / W9 or other relevant form** as required under FATCA to the best of our knowledge.
2. We are a tax resident of (*please select the country of tax residency*):
 Singapore Only **US Only**
 Neither Singapore and/or US, please complete below section:

We are tax resident of the following countries (indicate the tax reference number type and number applicable in each country).

	Country/Jurisdiction of Tax Residence	Tax Identification Number (TIN) or equivalent	If TIN or equivalent is unavailable, please select reason A, B or C*
1			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
2			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C
3			<input type="checkbox"/> A <input type="checkbox"/> B <input type="checkbox"/> C

- *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 do not require the TIN to be disclosed).

For Reason B, please explain reason of Account Holder unable to obtain TIN or equivalent number:

1	
2	
3	

3. We are responsible for our own tax affairs and ensure that our account(s) maintained with SFSPL is in compliance with the tax laws of the relevant jurisdiction(s) which our permanent establishment is subject to, or we are tax resident of.
4. To the best of our knowledge, we have not wilfully committed nor have we been convicted of any serious tax crimes and when it is necessary we has taken, or will take tax and/or legal advice in relation to the matters referred in this declaration. We acknowledge that SFSPL does not provide any tax advice to us.
5. Upon SFSPL’s request, we agree to provide SFSPL with all required documentation or information, including but not limited to the date of incorporation, countries of incorporation, countries of tax residency and associated taxpayer identification numbers that may be required to enable SFSPL for purposes of making inquiries on our tax status.
6. We agree and consent that SFSPL may collect, store and disclose any and all such information in accordance to SFSPL’s Master Trading Agreement.
7. We acknowledge that SFSPL may take whatever action SFSPL considers appropriate to meet any obligations, either in Singapore or elsewhere in the world, relating to the prevention of tax evasion. This may include, but is not limited to, investigating our account(s) maintained with SFSPL and any source of or intended recipient of funds relating to our account(s), sharing information and documents with, and making any reports to comply with any requests of, domestic and international tax authorities, and withholding any funds and transferring it to such tax authorities.

8. We will notify SFSPPL immediately if there is any change to the circumstances declared above.
9. We understand that SFSPPL will rely on the information that we have provided above when considering whether to accept our account application or to continue a broker-customer relationship with us.
10. We acknowledge and agree that SFSPPL will not be liable to us for any losses, costs, expenses, damages, liabilities we may suffer as a result of SFSPPL complying with legislation, regulations, orders or agreements with tax authorities or by and between tax authorities. We also agree to indemnify SFSPPL and its shareholders, officers, owners and/or directors, from any and all liability arising from SFSPPL's reliance on our declaration and/or any actions undertaken in furtherance of the foregoing.

<p style="text-align: center;">Signature of Authorised Signatory</p> <hr style="border: 0; border-top: 1px solid black; margin-bottom: 5px;"/> <p>Name: _____</p> <p>Title: _____</p> <p>Date: _____</p>	<p style="text-align: center;">Signature of Authorised Signatory</p> <hr style="border: 0; border-top: 1px solid black; margin-bottom: 5px;"/> <p>Name: _____</p> <p>Title: _____</p>
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SCHEDULE 8 – Common Reporting Standard Self-Certification

Under the direction of the Organisation of Economic Cooperation and Development (OECD), many Participating Jurisdictions have committed to, and are establishing, a global standard for the Automatic Exchange of Financial Account Information based on the Common Reporting Standard (CRS) to obtain and exchange financial account information of overseas tax payers on an annual basis.

As a capital markets services license holder in Singapore, SFSPL is required to collect, report, and share your information with appropriate tax authorities in compliance with CRS and any applicable intergovernmental agreements (IGA) entered into between jurisdictions. To be in line with CRS requirements, please complete below declaration.

Section 1: Entity Type – Please provide your status by selecting one of the following boxes.

(a) Financial institution – Investment Entity	
i. An Investment Entity located in a Non-Participating Jurisdiction and managed by another Financial Institution (Note: if you select this box, please also complete Section 2 below)	<input type="checkbox"/>
ii. Other Investment Entity	<input type="checkbox"/>
(b) Financial Institution – Depository Institution, Custodial Institution or Specified Insurance Company	<input type="checkbox"/>
(c) Active NFE – a Corporation the stock of which is regularly traded on an established securities market or a corporation which is a related entity of such a corporation If you have selected (c), please provide the name of the established securities market on which the corporation is regularly traded: _____	<input type="checkbox"/>
(d) Active NFE – a Government Entity of Central Bank	<input type="checkbox"/>
(e) Active NFE – an International Organisation	<input type="checkbox"/>
(f) Active NFE – other than (c) – (e) (for example a start-up NFE or a non-profit NFE)	<input type="checkbox"/>
(g) Passive NFE (Note: if selecting this box, please also complete Section 2 below)	<input type="checkbox"/>

Section 2: If you have selected 1(a)(i) or 1(g) above, then please:

a. Indicate the name of any Controlling Person(s) of the Account Holders:

b. Complete “Controlling Person tax residency self-certification form” for each Controlling Person. Please request a copy of this form from representative of SFSPL

Note: Please refer to CRS Appendix for the definition of each Entity Type.

Signature of Authorised Signatory _____ Name: _____ Title: _____ Date: _____	Signature of Authorised Signatory _____ Name: _____ Title: _____
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NOTIFICATION ON SGX FUTURES TRADING RULE 1.6 ON EXCLUSION OF LIABILITY, DISCLAIMER OF WARRANTIES & STATUTORY IMMUNITY

The SGX-DT (the "**Exchange**") requires that this notification pursuant to SGX Futures Trading Rule 1.6 be provided for your acknowledgement and acceptance. Unless otherwise defined, defined terms used herein shall bear the same meanings ascribed in the SGX Futures Trading Rules.

No Liability for Loss

Unless otherwise expressly provided in this Rules or in any other agreements to which the Exchange is a party, the Exchange shall not be liable to any Person for any loss (consequential or otherwise, including, without limitation, loss of profit), damage, injury, or delay, whether direct or indirect, arising from:

- (a) any action taken by the Exchange in connection with the discharge of its regulatory responsibilities including the suspension, interruption or closure of the Markets; or
- (b) any failure or malfunction of Exchange Systems.

"Exchange Systems" refers to any pre-trade, trade or post-trade systems, including QUEST, operated by the Exchange in connection with the Markets.

Statutory Immunity

As provided under the Act, the Exchange or any Person acting on its behalf including any director or any Committee Member shall be immune from any criminal or civil liability for anything done (including any statement made) or omitted to be done with reasonable care and in good faith in the course of, or in connection with, the discharge or purported discharge of its obligations under the Act or this Rules.

Disclaimer of Warranties

All warranties and conditions, both express and implied as to condition, description, quality, performance, durability, or fitness for the purpose or otherwise of any of the Exchange Systems or any component thereof are excluded except as required by law. The Exchange does not warrant or forecast that the Exchange Systems, any component thereof or any services performed in respect thereof will meet the requirements of any user, or that operation of the Exchange Systems will be uninterrupted or error-free, or that any services performed in respect of the Exchange Systems will be uninterrupted or error-free.

ACKNOWLEDGEMENT OF RECEIPT OF THE FTR 1.6

We acknowledge that we have received a copy of this notification provided pursuant to Rule 1.6 of the Futures Trading Rules on Exclusion of Liability, Disclaimer of Warranties & Statutory Immunity and understand and accept its contents.

Signature of Authorised Signatory	Signature of Authorised Signatory
_____	_____
Name: _____	Name: _____
Title: _____	Title: _____
Date: _____	

SCHEDULE 10 – applicable to customers who wish to (a) trade additional product classes; and/or (b) open sub-accounts

(Please tick where applicable):

My/Our Main Account[^] is (input account name and number).

My/Our Main Account is not opened yet.

[^]Main Account is the **first trading account opened** by SFSPPL for client.

REQUEST TO TRADE ADDITIONAL PRODUCT CLASS

a. I am an existing Customer² of SFSPPL and would like to request access to the following additional product class:

- Futures and Options;
- Leveraged Forex including precious metals and CFDs
- Deliverable FX
- OTC Derivatives (except FX and CFDs)

Using all existing account documentation as my Main Account, including but not limited to agreements and risk disclosure acknowledgements, all authorised signatories and its approved capacity maintained and existing on file with SFSPPL.

I/We acknowledge and agree that SFSPPL reserves the right to treat our Transactions in connection with futures and options, leveraged forex including precious metals and CFDs, Deliverable FX and/or other OTC derivatives, as separate from each other, for the purpose of administration and account operation. We shall provide Margins for trading in futures and options, separate from the Margins for all other Transactions with SFSPPL. Upon specific written instructions from us, SFSPPL may (but shall not be obliged to) transfer all or part of the Margin held for one Transaction or Account to another, provided that such a transfer will not lead to the margin maintained for any one Transaction or Account becoming under-margined. Notwithstanding the above, we acknowledge and agree that the Margins for trading in futures and options, leveraged forex including precious metals and CFDs, Deliverable FX and other OTC derivatives (as applicable) may be combined by SFSPPL, as SFSPPL deems fit in its sole and absolute discretion, to monitor position limits, margin calls, reporting and funds available for withdrawal in connection with all Transactions that we carry out (as applicable), and for such purposes as may be required by applicable law or regulations or as SFSPPL deems necessary.

REQUEST FOR ADDITIONAL SUB-ACCOUNT(S)

b. I/We would like to request for additional sub-accounts.

With the following sub-account names:

	Futures and options	Leveraged Forex including precious metals and CFDs	Deliverable FX	OTC Derivatives (except FX and CFDs)
1				
2				
3				
4				

And the following offset and margin method **across all Accounts**

	Futures and options (choose one only)	Leveraged Forex including precious metals and CFDs, and/or Deliverable FX), and/or OTC Derivatives (except FX and CFDs)
Net/Speculative Account Please offset my/our positions <i>across</i> all accounts. My/Our Group Account margin will hence be <i>calculated as net</i> across all accounts.	<input type="checkbox"/>	<input type="checkbox"/>
Gross/Omnibus Account Please DO NOT offset my/our positions <i>across</i> all accounts. My/Our Group Account margin will hence be <i>calculated as the sum of all individual accounts</i> . I/We confirm that the concurrent long-short positions held across these accounts DO <i>NOT belong to the same beneficial owner</i> .	<input type="checkbox"/>	

² If you are a new Customer, please indicate any additional product classes on Page 3 of the Application Form.

Please note that **for futures and options**, all long-short positions within each sub-account shall be set to offset automatically, unless otherwise instructed by us to SFSP in writing; for **Leveraged Forex including precious metals and CFDs and/ or OTC Derivatives (except FX and CFDs)**, open positions across all our Accounts will be held on a net basis.

I/We represent & acknowledge that all new sub-account(s) opened pursuant to this authorisation:

- a. are identical in all respects to our Main Account including all authorised signatories and their approval capacity, except as otherwise instructed to SFSP in writing;
 - b. will be subject to the terms and conditions of the Agreements, and such other terms as we may agree with SFSP from time to time as applying to the Main Account and all references to accounts(s) therein shall include reference to the sub-accounts;
 - c. that all information submitted and provided to SFSP is true, complete and accurate in all respects and SFSP may rely fully on any such information. I/we also undertake to notify SFSP immediately of any changes in such information and submit any relevant documentary proof to SFSP as may be required;
 - d. the Main Account and the sub-accounts will be treated as one for the purpose of calculation of limits, unless otherwise advised by you;
 - e. that SFSP shall accept electronic signatures and electronic copies of supporting documents as valid and such electronic submissions shall be deemed original signatures and therefore will have the same binding effect;
- to consent to SFSP reserving the right to reject this application without providing any reasons whatsoever.

<p>Signature of Authorised Signatory</p> <hr style="border: 0; border-top: 1px solid black; margin-bottom: 5px;"/> <p>Name: _____</p> <p>Title: _____</p> <p>Date: _____</p>	<p>Signature of Authorised Signatory</p> <hr style="border: 0; border-top: 1px solid black; margin-bottom: 5px;"/> <p>Name: _____</p> <p>Title: _____</p>
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HEDGE ACCOUNT DECLARATION

We hereby declare that all transactions in our account(s) will represent bona fide hedging transactions and that the positions carried in our account(s) will be strictly for hedging purposes and not for speculative trading. Such account(s) shall be referred to as a “**Hedge Account(s)**” which shall mean that positions in the Hedge Account(s) are maintained for hedging against cash market or other types of exposures, and long positions are not automatically offset against short positions.

By signing this declaration, we:

1. understand that we are required to use and/or open separate account(s) for speculative trades;
2. will provide SFSPPL with specific instructions in order to close out any existing positions. If no instruction is received by SFSPPL, SFSPPL will keep the positions in the Hedge Account(s) as long and short positions and will not offset them;
3. shall advise SFSPPL in writing if any orders for the purchase or sale of futures or options contracts that do not meet the definition under Hedge Account(s) and will keep these contracts margined as required by SFSPPL and the rules of the relevant exchanges;
4. acknowledge that SFSPPL will rely on this declaration and may not perform any act to verify or confirm that the positions in the Hedge Account(s) continue to be bona fide hedge positions or incur any liability, if any of the positions or transactions are not bona fide hedges;
5. agree that if requested by the relevant exchanges or clearing house, we are obliged to provide documentary evidence to SFSPPL, the relevant exchange or clearing house, to verify that the positions in the Hedge Account(s) are bona fide hedge positions; and
6. agree that if requested by the relevant exchanges or clearing house, SFSPPL may disclose our contact information to the exchange or clearing house, which may contact us directly to verify that the positions in the Hedge Account(s) are bona fide hedge positions.

Signature of Authorised Signatory	Signature of Authorised Signatory
_____	_____
Name: _____	Name: _____
Title: _____	Title: _____
Date: _____	

APPOINTMENT AND AUTHORISATION OF TRADING AGENT

Name of Agent: _____ (the "Agent")

The Agent is a/an Individual, whose Identity Document/ Passport No. is _____
Please provide the Identity Document or Passport copy of the Individual.

Company, whose Company Registration No. is _____
Please provide the Certificate of Incorporation or Business Registration Certificate and the names, contact numbers, email addresses, Proof of Identity and proof of address of the authorised traders.

Contact No.: _____ Email Address: _____

Address: _____

1. Appointment and Authorisation

We hereby appoint and authorise the Agent, in his/her/its sole discretion and in accordance with the terms and conditions set out by SFSPL for our trading account maintained with SFSPL, to do any or all of the following:

- (a) to buy, sell (including short sales), trade and otherwise deal in commodity futures contracts, centrally cleared OTC commodity derivatives or such other products that SFSPL may from time to time permit to be traded under our account(s) (collectively, the "**Transactions**"), on margin or otherwise, on our behalf; and
- (b) not withstanding section 2 below, generally to act fully and effectually on our behalf in relation to our trading account, excluding instructions on withdrawal of funds.

We hereby authorise SFSPL to accept and act on the instructions of the Agent as we might or could do with respect to the Transactions.

We are responsible for conducting our own due diligence on the Agent, including identifying if the Agent faces any conflicts of interest in carrying out their services for us and/or checking if the Agent shares in the commissions or fees paid from us to SFSPL. SFSPL is under no obligation or duty to check and/or disclose any potential conflicts of interest faced by the Agent.

2. Limitations and Restrictions

The Agent is not authorised to withdraw any money or take possession of any securities or other property in our name and maintained in our trading account maintained with SFSPL unless authorised by us in writing to SFSPL for that particular instance.

3. Indemnity

We agree that SFSPL shall not at any time be liable to us or to anyone claiming through us or any other third party with respect to any damage, losses, costs, expenses (including legal fees), liabilities or lost profits suffered or alleged to have been suffered as a result of SFSPL accepting and acting in accordance with the Agent's instructions and as a result of this authorisation.

We shall indemnify and hold SFSPL harmless against all damages, losses, lost profits, costs, expenses (including legal fees on a full indemnity basis) and liabilities that SFSPL may incur in relation to or in connection with accepting and acting in accordance with the Agent's instructions and as a result of this authorisation.

We agree to pay on demand without protest or conditions any debit balance on our account and to promptly meet all margin requirements, as SFSPL shall require or as a result of the Agent's instructions.

4. Revocation

This authorisation shall continue in full force until revoked by us by written notice to SFSPL. Such notice of revocation shall take effect upon actual receipt by SFSPL at SFSPL's office at **9 Temasek Boulevard, #28-02 Suntec Tower Two, Singapore 038989** or via email sent from our registered email address to sgsales@straitstfinancial.com (for Futures and Options and OTC Derivatives) and/ or sgfx@straitstfinancial.com (for FX and CFD). Notwithstanding this, this authorisation is deemed to be revoked upon the actual receipt by SFSPL of the notice of the death or mental incapacity of the Agent, together with the supporting document proof.

5. Principal Liability

We fully understand that we will be principally liable for the actions of the Agent and that the Agent is not a servant, agent or employee of SFSPL but our own Agent. We further understand and accept that the Agent is binding on us, our estate and personal representatives.

Signature of Authorised Signatory _____ Name: _____ Title: _____ Date: _____	Signature of Authorised Signatory _____ Name: _____ Title: _____
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PERSONAL DATA PROTECTION ACT 2012 (“PDPA”) – PERSONAL DATA CONSENT

1. We acknowledge that in order to process, administer and/or manage our Account with SFSPL, SFSPL will necessarily need to collect, use, disclose and/or process the Personal Data of our directors, shareholders, ultimate beneficiaries, employees and/or representatives (collectively referred to as the “**Individuals**”). Such Personal Data includes information about the Individuals set out in our application forms and documents and any other personal information provided by us, possessed by SFSPL or that SFSPL obtains about the Individuals, whether now or in the future. Some examples are the Individuals’ names, identification numbers, residential addresses, personal contact details etc.
2. We acknowledge that our failure to supply certain of the Individual’s Personal Data to SFSPL (or if SFSPL is not permitted by us / the Individuals to process the Individuals’ Personal Data), may/would result in SFSPL being unable to process, administer and/or manage our Account with SFSPL. Depending on the extent by which we / the Individuals do not permit SFSPL to process the Individuals’ Personal Data or the extent of the Individual’s Personal Data which we do not provide to SFSPL, it may mean that SFSPL will not be able to maintain our Account with SFSPL.
3. We represent, undertake and warrant that:
 - (a) for any Individuals’ Personal Data that we will be or may be disclosing or disclose to SFSPL, that we would have, prior to disclosing such Personal Data to SFSPL, informed these Individuals that their Personal Data will be disclosed to, and obtained the consent from these Individuals for their Personal Data to be disclosed to, SFSPL for the purposes of:
 - (i) considering and/or processing our application for an Account with SFSPL;
 - (ii) facilitating, processing, dealing with, administering, managing and/or maintaining our Account with SFSPL, including but not limited to updating our company particulars (including the Personal Data of our authorised persons), executing our instructions with respect to any Transactions, processing our Orders, processing payments made to and from our Account;
 - (iii) carrying out our instructions or responding to any enquiry given by (or purported to be given by) us or on our behalf;
 - (iv) contacting us or communicating with us via phone/voice call, text message and/or fax message, email and/or postal mail for the purposes of facilitating, processing, dealing with, administering and/or managing our Account with SFSPL such as but not limited to sending us Daily Trading Statement(s), Monthly Trading Statement(s) and/or Trade Confirmations/Summary Files and confirmation notices with respect to updating of our company particulars (including the Personal Data of our authorised persons and Individuals). We acknowledge and agree that such communication by SFSPL could be by way of the mailing of correspondence, documents or notices to us, which could involve disclosure of certain Personal Data about the Individuals to bring about delivery of the same as well as on the external cover of envelopes/mail packages;
 - (v) dealing in any matters relating to the services which we are entitled to under our Account with SFSPL;
 - (vi) carrying out due diligence or other screening activities (including anti-money laundering, “know-your-client”, credit and background checks) in accordance with legal or regulatory obligations or SFSPL’s risk management procedures that may be required by law or that may have been put in place by SFSPL;
 - (vii) to prevent or investigate any fraud, unlawful activity or omission or misconduct, whether relating to our Account with SFSPL or any other matter arising from our Account with SFSPL, and whether or not there is any suspicion of the aforementioned;
 - (viii) complying with or as required by any applicable law, governmental or regulatory requirements of any relevant jurisdiction, including meeting the requirements to make disclosure under the requirements of any law binding on SFSPL and/or for the purposes of any guidelines issued by regulatory or other authorities, whether in Singapore or elsewhere, with which SFSPL is expected to comply;

- (ix) complying with or as required by any request or direction of any governmental authority; or responding to requests for information from public agencies, ministries, statutory boards or other similar authorities (including but not limited to the Monetary Authority of Singapore). For the avoidance of doubt, this means that SFSPPL may/will disclose the Individuals' Personal Data to the aforementioned parties upon their request or direction;
- (x) conducting research, analysis and development activities (including but not limited to data analytics, surveys and/or profiling) to improve SFSPPL's services and facilities in order to enhance our Account with SFSPPL or for our benefit, or to improve any of SFSPPL's services for our benefit;
- (xi) storing, hosting, backing up (whether for disaster recovery or otherwise) of the Individuals' Personal Data, whether within or outside Singapore;
- (xii) if so consented by the Individuals, providing us with marketing, advertising and promotional information, materials and/or documents relating to the products and/or services provided by SFSPPL (including the products and/or services of third party merchants whom SFSPPL may collaborate or tie up with) that SFSPPL may be selling, marketing, offering or promoting (whether such products or services exist now or are created in the future) which in the opinion of SFSPPL may be of interest or benefit to us (the "**Marketing Purpose**"), by way of postal mail and electronic transmission to the personal email addresses and residential postal address(es) of the Individuals, or by way of voice call/phone call, SMS/MMS and/or fax to the personal telephone, mobile and/or fax numbers, provided by us to SFSPPL in the account application form and provided by us to SFSPPL from time to time,

Please tick here if the Individuals **DO NOT AGREE** to SFSPPL using their Personal Data (i.e. their personal **email addresses and residential postal addresses**) for the Marketing Purpose.

Please tick here if the Individuals **AGREE** to SFSPPL using their Personal Data (i.e. their **personal telephone, mobile and/or fax numbers**) for the Marketing Purpose.

(collectively, the "**Purposes**").

(b) for any Individuals' Personal Data that we will be or may be disclosing or disclose to SFSPPL, that we would have, prior to disclosing such Personal Data to SFSPPL, informed these Individuals that their Personal Data will be, and obtained the consent from these Individuals for their Personal Data to be, disclosed by SFSPPL to third parties, whether located within or outside Singapore, for one or more of the above Purposes, as such third parties would be processing their Personal Data for one or more of the above Purposes. Without limiting the generality of the foregoing or of clause 2(b), such third parties include :

- (i) any entity related to SFSPPL;
- (ii) any intermediary, agents, contractors or third party service providers that process or will be processing the Individuals' Personal Data on SFSPPL's behalf including but not limited to those which provide administrative or other services to SFSPPL such as mailing houses, telecommunication companies, information technology companies and data centers;
- (iii) any government or regulatory authorities in Singapore and elsewhere where disclosure is required by the applicable laws;
- (iv) SFSPPL's auditors and legal advisors; and
- (v) third party service providers or agents, which may be sited in or outside of Singapore, for the above Marketing Purpose; and we warrant that we have obtained the consent of the Individuals for SFSPPL to disclose their Personal Data to such third party service providers or agents of SFSPPL to process their Personal Data (including sending the Individuals such marketing, advertising and promotional information, materials and/or documents through the above modes of communication) for the above Marketing Purpose for SFSPPL.

(collectively, the "**Permitted Parties**").

- (c) any Personal Data of Individuals that we will be or are disclosing to SFSP are true, complete and accurate. Further, we shall give SFSP notice in writing as soon as reasonably practicable should we aware that any such Personal Data has been updated and/or changed after such disclosure;
 - (d) for any Personal Data of Individuals that we will be or may be disclosing or disclose to SFSP, that we are validly acting on behalf of such Individuals and that we have the authority and consent of such Individuals to provide their Personal Data to SFSP and for SFSP to collect, use, disclose and process such Personal Data for the Purposes; and
 - (e) we shall, at the request of SFSP, assist SFSP to comply with the PDPA. In this regard and without limiting the generality of the foregoing, this includes but is not limited to us executing such further documents as SFSP may require and/or us making arrangements for additional form(s) and consent(s) to be completed and signed by Individuals whose Personal Data are provided by us to SFSP.
4. We further acknowledge that SFSP may/will also be collecting from sources other than ourselves, Personal Data about the Individuals, for one or more of the above Purposes, and thereafter, using, disclosing and/or processing such Personal Data for one or more of the above Purposes.
5. Notwithstanding anything to the contrary, we undertake to indemnify and at all times hereafter to keep SFSP and its related corporations (together with their respective officers, employees and agents) (each an **"Injured Party"**) indemnified against any and all losses, damages, actions, proceedings, costs, claims, demands, liabilities (including full legal costs on a solicitor and own client basis) which may be suffered or incurred by the Injured Party or asserted against the Injured Party by any person or entity (including ourselves, our agents) whatsoever, in respect of any matter or event whatsoever arising out of, in the course of, by reason of or in respect of:
- (a) any breach of any of the provisions in this Schedule; and/or
 - (b) any action or omission by us, that causes SFSP and/or any of its related corporations to be in breach of the PDPA.

For the purposes of this Schedule 13, **"Personal Data"** means data, whether true or not, about an individual who can be identified (a) from that data; or (b) from that data and other information to which SFSP has or is likely to have access.

CONSENT FOR COLLECTION, USE, DISCLOSURE AND/OR PROCESSING OF PERSONAL DATA

On behalf of the Individuals, I/we have read and understood this Personal Data Consent and hereby consent to SFSP collecting, using, and/or processing the Individuals' Personal Data for one or more of the Purposes and disclosing the Individuals' Personal Data to the Permitted Parties for one or more of the Purposes.

<p>Signature of Authorised Signatory</p> <p>_____</p> <p>Name: _____</p> <p>Title: _____</p> <p>Date: _____</p>	<p>Signature of Authorised Signatory</p> <p>_____</p> <p>Name: _____</p> <p>Title: _____</p>
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