



Access multiple currency pairs  
with leveraged FX trading





Diversify stock portfolio risks  
with futures trading

## Joint Trading Account

**Futures & Leveraged Forex**

# How can I start trading?

## Opening a trading account with us

	If you are a Singaporean / Singapore Permanent Resident (PR)	If you are a Malaysian / Foreigner
 Visit OCBC Securities or any OCBC Branch	Bring <ul style="list-style-type: none"><li>• NRIC or</li><li>• 11B and Passport (for NS men and SPF)</li></ul>	Bring <ul style="list-style-type: none"><li>• Malaysia IC or passport</li><li>• Original Supporting document reflecting your name and address*</li></ul>
	OR	OR
 Send by mail to the address below (only if you have an existing account with us)	Attach <ul style="list-style-type: none"><li>• Completed Trading Account Application form</li><li>• Photocopy of your NRIC, 11B and Passport (for NS men and SPF), Malaysia IC or Passport (for other foreigners)</li><li>• Original Supporting document reflecting your name and address*</li></ul>	
<b>Note:</b> <ul style="list-style-type: none"><li>• You are required to make a deposit. Our broker (trading representative) will contact you before account opening.</li><li>• If you are a Retail customer, you would need to complete and pass the Customer Account Review (for Futures trading), Customer Knowledge Assessment (for Leveraged Forex trading) and the Client Investment Profile (attached in the application).</li></ul>		

\*Original Supporting document is required as Proof of residential address (e.g. Latest original telco, utility bill / statement or bank statement)

### Note:

- Above document should reflect your name and residential address
- If your mailing address is different from your residential address, please provide another supporting document reflecting your name and mailing address
- Date of supporting document must be less than 3 months from the date of application.

## If you are applying from overseas,

Please have your ID document and application forms certified by any one of these officers:

- Notary Public
- Justice of Peace
- Singapore Embassy staff member

The officer above performing the certification has to provide their name, contact number and/or company website

### Mail to

OCBC Securities main office: **18 Church Street #01-00 OCBC Centre South Singapore 049479**

### For Enquiries

☎ 1800 338 8688/(65) 6338 8688



askocbcsec@ocbc.com

All information is required unless stated

Account referred by

## 1 Choose your trading account

☐ **Futures**

➤ Online trading access

☐ Yes

☐ No

☐ **Leveraged Forex**

➤ Online trading access

☐ Yes

☐ No

## 2a First applicant details

### Personal details

☐ Dr ☐ Mr ☐ Mrs ☐ Mdm ☐ Ms

Name (as in NRIC/Passport)

NRIC / Malaysian IC / Passport no.

Nationality

Date of birth (dd/mm/yyyy)

Age

Are you a Singapore PR? ☐ Yes ☐ No

➤ Only for foreigners

Place of birth

☐ Singapore ☐ Others:

Marital status

☐ Single ☐ Married

Residence is

☐ Self-owned ☐ Family-owned ☐ Rented

Highest education

☐ Below O Levels ☐ O Levels

☐ Mortgaged ☐ Others:

☐ Tertiary (A Levels, Diploma, Degree or higher)

☐ Others:

### Financial details

➤ Required as reference for fund transfer

Name of bank / branch

Bank account number

Net worth

☐ Less than S\$500,000 ☐ S\$500,000 – S\$1,000,000

☐ S\$1,000,001 – S\$2,000,000 ☐ Above S\$2,000,000

### Contact details

Mailing address ➤ If address is not reflected in Identification Document (ID), supporting document<sup>1</sup> is required

Postal Code

Residential address ➤ If different from ID or mailing address, supporting document<sup>1</sup> is required

Postal code

Mobile number

+ ( )

Home number

+ ( )

Email address

Note:

- Supporting document can be Bank statement, telco bill or utility bill, reflecting your name and address. This document should not be more than 3 months from date of this application

Employment  
details

Employment status ➤ Please tick one

☐ Salaried employee ☐ Self-employed (Business owner/ Commission earner) ☐ Unemployed

Occupation

.....

Company name

.....

Industry/Nature of business

.....

Company address

.....

Country

Postal Code

.....

Annual income ➤ Please tick one

☐ Less than S\$30,000 ☐ S\$30,000 – S\$60,000  
☐ S\$60,001 – S\$100,000 ☐ S\$100,001 – S\$150,000  
☐ S\$150,001 – S\$300,000 ☐ Above S\$300,000

Office number

+ ( ) .....

**2b** Choose your preferred mode to receive your statements ➤ tick 1 only

☐ To receive statements in electronic form only

- We consent to OCBC Securities Private Limited (OSPL) sending our daily and monthly activity statements (collectively referred to as “statements”) via electronic form to **our email address provided below**.
- We confirm that we have read, understood and agree to the “Conditions” below.
- We understand that we may revoke our consent to receive statements electronically at any time.
- We further understand that **we will not receive any hardcopy statements** to our mailing address provided in this application.

**Our email address** ➤ please complete

.....

**Conditions**

1. Your statements will be sent to you for your retrieval at the email address provided by you above. You undertake to inform OSPL of any non-receipt of the statements.
2. You agree that the distribution to you of your statements by email is in lieu of the distribution to you of the hard copy of such statements.
3. You agree that we shall send you your statements by email until we receive your instructions to the contrary. Please note that if you wish to revoke your instructions herein, you are required to give us at least 7 working days’ prior notice in writing.
4. In the event that you change your email address, it is important that you inform us of your new email address immediately. This is to ensure that your statements will not be sent to the wrong party. Where you have failed to inform us of the change in your email address, you shall not hold us responsible for any loss or damage which you may suffer from our sending of your statements to your last known email address in our records.
5. Statements sent by email are subject to OSPL Standard Trading Terms and Conditions which you have agreed to upon opening your account(s) with us, and are to be regarded as Confirmations or statements of Contracts within the meaning of OSPL Standard Trading Terms and Conditions.

☐ To receive hardcopy statements to our mailing address only

- Please send hardcopy statements to our mailing address provided in this application.
- We understand that by choosing this mode to receive our statements, we will not receive any statements electronically (even if our email address is provided in this application).

OR



## 2c Get to know you more

### Trading experience

Do you have any prior trading experience in Leveraged Forex, Leveraged CFD, Bullion, OTC Metal, Futures or Options?

☐ Yes ☐ No

➤ Name of trading firm

➤ Type(s) of account maintained

### Relationship

Are you related to any employee/trading representative (TR) of OCBC Securities?

☐ Yes ☐ No

➤ Name of employee / TR

➤ Relationship

Does this account or do(es) any principal of this account

- Control the trading of any other Futures & Leveraged Forex (FLF) accounts with us; or
- Have a 10% or more financial interest in the trading of FLF accounts with us?

☐ Yes ☐ No

➤ Name

➤ Account number

Does any other person/ account owner control the trading of or have 10% or more financial interest in this account?

☐ Yes ☐ No

➤ Name

➤ Relationship

### Mindset & ability

Do you have any physical, mental or visual impairment that might affect your ability to operate this account, including making investment and / or trading decisions?

☐ Yes ☐ No

### U.S. Tax Resident

Are you a U.S. Tax Resident<sup>2</sup>?

☐ Yes ☐ No

➤ If Yes, please provide Taxpayer Identification Number (TIN)

### SGX Trading member

Are you a Trading member of SGX?

☐ Yes ☐ No

### Network

Source of your funds that will be used for trading ▶ You may tick more than one

- ☐ Savings
 ☐ Business
 ☐ Rental Income
 ☐ Investment ▶ Please specify type of investment \_\_\_\_\_
 ☐ Salary
 ☐ Inherited Wealth
 ☐ Sale of Property
 ☐ Others ▶ Please specify \_\_\_\_\_

Source of your accumulated wealth ▶ You may tick more than one

- ☐ Savings
 ☐ Business
 ☐ Rental Income
 ☐ Investment ▶ Please specify type of investment \_\_\_\_\_
 ☐ Salary
 ☐ Inherited Wealth
 ☐ Sale of Property
 ☐ Others ▶ Please specify \_\_\_\_\_

Please state all country(ies) of origin for source(s) of wealth declared

- ☐ Singapore
 ☐ Other countries \_\_\_\_\_

Note:

2. Definition of 'U.S. Tax Resident'

- A citizen or permanent resident of the United States (e.g. US Green Card holder or someone who meets the requirements to be considered a resident under the 'substantial presence test'); or
- Any other person that is not a foreign person (as defined under US federal tax law).

## 2d Fill in your product knowledge and experience

Please exercise care in answering the following questions for us to assess your product knowledge and experience. Any inaccurate or incomplete information will affect the outcome of your application.

### Customer Account Review (Futures / Options Trading)

### Customer Knowledge Assessment (Leveraged Forex Trading)

➤ You need not complete this section if you are an accredited investor

#### A. Qualification ➤ Do you have a diploma or higher qualifications in any of these areas?

☐ Yes ☐ No

➤ Please tick and complete

Accountancy

Actuarial science

Business (inc. administration, management or studies)

Capital markets

Commerce

➤ College of study

☐ Finance (inc. computational, financial engineering / planning)

☐ Economics

☐ Insurance

☐ Any professional finance-related qualification<sup>3</sup>

➤ Year of completion

#### B. Work experience ➤ In the past 10 years, have you spent at least 3 consecutive years working in any of these areas<sup>4</sup>? ☐ Yes ☐ No

➤ Please tick and complete

☐ Development / structuring / sale / trading / management / research / analysis of investment products

☐ Providing investment product training

☐ Accountancy, actuarial science, treasury, financial risk management

☐ Providing legal advice or having legal expertise in one of the areas above

➤ Name of company

➤ Any other information on your relevant working experience

#### C. Investment experience

1. Have you transacted at least 6 times in Listed Specified Investment Products (SIPs) which are listed or quoted on a futures market in the preceding 3 years?

☐ Yes ☐ No

Please tick

☐ Futures

☐ Options

2. Have you transacted at least 6 times in Unlisted Specified Investment Products (SIPs) which are traded Over-the-Counter(OTC) in the preceding 3 years?

☐ Yes ☐ No

Please tick

☐ Leveraged CFD

☐ Bullion

☐ Leveraged Forex

☐ OTC Metal

#### D. Investment education

1(a) Have you personally undergone and completed the SGX e-Tutorial and passed the online quiz?

☐ Yes ☐ No

Please state the scores of all attempts

2(a) Have you personally undergone and completed the ABS-SAS e-learning on Unlisted SIPs and passed the online assessment?

☐ Yes ☐ No

Please state the scores of all attempts

1(b) Have you been rejected from opening a Listed SIPs trading account by another licensed person or exempt financial institution?

☐ Yes ☐ No

Name of licensed person / financial institution

2(b) Have you been rejected from opening an Unlisted SIPs trading account by another licensed person or exempt financial institution?

☐ Yes ☐ No

Name of licensed person / financial institution

Based on the above assessment, I understand that I

#### CAR for Futures / Options Trading

☐ appear to qualify to transact in derivatives for Futures/Options trading, as (i) one or more of my answers to the above Sections A, B, C1 or D1(a) is Yes and (ii) my answer to Section D1(b) is No. You will contact me if you need more information from me.

☐ do not possess the relevant knowledge or experience in derivatives for Futures/Options. I do not wish to proceed with the account opening.

#### CKA for Leveraged Forex Trading

☐ appear to qualify to transact in Leveraged Forex trading, as (i) one or more of my answers to the above Sections A, B, C2 or D2(a) is Yes and (ii) my answer to Section D2(b) is No. You will contact me if you need more information from me.

☐ do not possess the relevant knowledge or experience in Leveraged Forex trading. I do not wish to proceed with the account opening.

Note:

3. Professional finance-related qualifications include Chartered Institute of Securities & Investment(CISI), Chartered Alternative Investment Analyst (CAIA), Certified Financial Technician (CFTe), Financial Risk Manager (FRM), Chartered Financial Consultant (ChFC), Associate Financial Planner (AFP), Associate Wealth Planner (AWP), Certified Financial Planner (CFP), Certified Public Accountant (CPA) / (ACCA), Chartered Financial Analyst (CFA), (CMFAS Exam) Modules – Securities Products & Analysis and Futures Products and Analysis

4. Support functions in the areas mentioned above that are administration or clerical in nature will not be considered as relevant experience

## 2e Fill in the client investment profile (CIP) questionnaire

➤ You need not complete this section if you are an accredited investor

These series of questions seek to determine, in the context of the Factual Risk Summary, whether your risk profile and trading objective reasonably match your decision to trade in FLF contracts.

### Q1. What is your purpose of opening this trading account?

*Please tick one*

- ☐ Buy something that will preserve its present day value against erosion through inflation. Capital growth and / or income are secondary.
- ☐ To buy and hold something that will both appreciate in value and pay a stable & consistent income and long term capital growth but with focus / bias in favour of holding what is bought long term for it to grow in value.
- ☐ To engage in short term transactions hoping to secure profits from short term price movements of the underlying subject matter.

### Q2. Will you or are you dependent on the funds that you will be using for the trading through us to meet any current or anticipated payment requirements?

*Please tick one*

- ☐ Yes ☐ No

**Q3. In answering the question (2) above, are you also aware that leveraged nature of forex and futures contracts allows you to take a larger position relative to your deposited funds? As such, a relatively small negative market movement will have a magnified and therefore potentially a significant adverse impact on your deposited funds to the extent even of extinguishing such funds entirely and leaving you with a shortfall that you will have to separately pay for; you therefore risk losing more than just your initial or other deposits by way of margins or collateral for your obligations.**

*Please tick one*

- ☐ Yes ☐ No

### Q4. Regardless of how much you can actually afford to lose, please tell us how much price fluctuation you generally willing to accept in your trading?

*Please tick one*

- ☐ I do not want to experience any short term price fluctuations.
- ☐ I am willing to accept short term market price movements against me but will wish to limit my capital loss up to only 2%, and I am not willing to tolerate the loss of my entire trading capital.
- ☐ I am willing to accept that as market price movement are unpredictable, the funds that I can lose may be more than my entire trading capital due to market's extreme volatility, compounded by the leveraged nature of forex and futures.

### Q5. In order to achieve my investment objective as stated above, I am willing to take

*Please tick one*

- ☐ Low risk. I do not want to risk my capital in trading.
- ☐ Medium risk. I am generally willing to accept capital loss of up to 2% in trading by placing risk-reducing orders.
- ☐ High risk. I understand and am willing to take the speculative and therefore generally high risk in trading futures contracts and leveraged foreign exchange transactions.

**Q6. If your answer to the question (5) above is Medium risk, do you understand and accept that the placing of certain orders (e.g. stop-loss 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, and at times, it is also difficult or impossible to liquidate a position without incurring substantial losses?**

*Please tick one*

- ☐ Yes ☐ No

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## 3a Second applicant details

## Personal details

## Relationship to first applicant

☐ Spouse   ☐ Sibling   ☐ Parent / Child   ☐ Others :\_\_\_\_\_

☐ Dr   ☐ Mr   ☐ Mrs   ☐ Mdm   ☐ Ms

Name (as in NRIC/Passport)

\_\_\_\_\_

NRIC/Passport No.

\_\_\_\_\_

Nationality

\_\_\_\_\_

Date of birth (dd/mm/yyyy)

\_\_\_\_ / \_\_\_\_ / \_\_\_\_\_

Age

\_\_\_\_\_

Are you a Singapore PR? ☐ Yes ☐ No

➤ Only for foreigners

Place of birth

☐ Singapore   ☐ Others :\_\_\_\_\_

Marital status

☐ Single   ☐ Married

Residence is

☐ Self-owned   ☐ Family-owned   ☐ Rented

Highest education

☐ Below O Levels   ☐ O Levels

☐ Mortgaged   ☐ Others :\_\_\_\_\_

☐ Tertiary (A Levels, Diploma, Degree or higher)

☐ Others :\_\_\_\_\_

## Financial details

Net worth

☐ Less than S\$500,000   ☐ S\$500,000 – S\$1,000,000

☐ S\$1,000,001 – S\$2,000,000   ☐ Above S\$2,000,000

## Contact details

Residential address ➤ If different from ID or mailing address, supporting document<sup>1</sup> is required

\_\_\_\_\_

Postal Code

\_\_\_\_\_

\_\_\_\_\_

Mobile number

+ (       ) \_\_\_\_\_

Home number ➤ If different from first applicant

+ (       ) \_\_\_\_\_

Email address

\_\_\_\_\_

## Employment details

Employment status ➤ Please tick one

☐ Salaried employee   ☐ Self-employed (Business owner/ Commission earner)   ☐ Unemployed

Occupation

\_\_\_\_\_

Annual income ➤ Please tick one

☐ Less than S\$30,000   ☐ S\$30,000 – S\$60,000

Company name

\_\_\_\_\_

☐ S\$60,001 – S\$100,000   ☐ S\$100,001 – S\$150,000

☐ S\$150,001 – S\$300,000   ☐ Above S\$300,000

Industry/Nature of business

\_\_\_\_\_

Office number

+ (       ) \_\_\_\_\_

Company address

\_\_\_\_\_

Country

Postal Code

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

## Note:

1. Supporting document can be Bank statement, telco bill or utility bill, reflecting your name and address. This document should not be more than 3 months from date of this application

### 3b Get to know you more

#### Trading experience

Do you have any prior trading experience in Leveraged Forex, Leveraged CFD, Bullion, OTC Metal, Futures or Options?

☐ Yes ☐ No

➤ Name of trading firm

➤ Type(s) of account maintained

#### Relationship

Are you related to any employee/trading representative (TR) of OCBC Securities?

☐ Yes ☐ No

➤ Name of employee / TR

➤ Relationship

Does this account or do(es) any principal of this account

- Control the trading of any other Futures & Leveraged Forex (FLF) accounts with us; or
- Have a 10% or more financial interest in the trading of FLF accounts with us?

☐ Yes ☐ No

➤ Name

➤ Account number

Does any other person/account owner control the trading of or have 10% or more financial interest in this account?

☐ Yes ☐ No

➤ Name

➤ Relationship

#### Mindset & ability

Do you have any physical, mental or visual impairment that might affect your ability to operate this account, including making investment and / or trading decisions?

☐ Yes ☐ No

#### U.S. Tax Resident

Are you a U.S. Tax Resident<sup>2</sup>?

☐ Yes ☐ No

➤ If Yes, please provide Taxpayer Identification Number (TIN)

#### SGX Trading member

Are you a Trading member of SGX?

☐ Yes ☐ No

#### Network

Source of your funds that will be used for trading ▶ You may tick more than one

- ☐ Savings ☐ Business ☐ Rental Income ☐ Investment ▶ Please specify type of investment \_\_\_\_\_
- ☐ Salary ☐ Inherited Wealth ☐ Sale of Property ☐ Others ▶ Please specify \_\_\_\_\_

Source of your accumulated wealth ▶ You may tick more than one

- ☐ Savings ☐ Business ☐ Rental Income ☐ Investment ▶ Please specify type of investment \_\_\_\_\_
- ☐ Salary ☐ Inherited Wealth ☐ Sale of Property ☐ Others ▶ Please specify \_\_\_\_\_

Please state all country(ies) of origin for source(s) of wealth declared

- ☐ Singapore ☐ Other countries \_\_\_\_\_

Note:

2. Definition of 'U.S. Tax Resident'

- A citizen or permanent resident of the United States (e.g. US Green Card holder or someone who meets the requirements to be considered a resident under the 'substantial presence test'); or
- Any other person that is not a foreign person (as defined under US federal tax law).

### 3c Fill in your product knowledge and experience

Please exercise care in answering the following questions for us to assess your product knowledge and experience. Any inaccurate or incomplete information will affect the outcome of your application.

#### Customer Account Review (Futures / Options Trading)

#### Customer Knowledge Assessment (Leveraged Forex Trading)

➤ You need not complete this section if you are an accredited investor

#### A. Qualification ➤ Do you have a diploma or higher qualifications in any of these areas?

☐ Yes ☐ No

➤ Please tick and complete

Accountancy

Actuarial science

Business (inc. administration, management or studies)

Capital markets

Commerce

➤ College of study

☐ Finance (inc. computational, financial engineering / planning)

☐ Economics

☐ Insurance

☐ Any professional finance-related qualification<sup>3</sup>

➤ Year of completion

#### B. Work experience ➤ In the past 10 years, have you spent at least 3 consecutive years working in any of these areas<sup>4</sup>? ☐ Yes ☐ No

➤ Please tick and complete

☐ Development / structuring / sale / trading / management / research / analysis of investment products

☐ Providing investment product training

☐ Accountancy, actuarial science, treasury, financial risk management

☐ Providing legal advice or having legal expertise in one of the areas above

➤ Name of company

➤ Any other information on your relevant working experience

#### C. Investment experience

1. Have you transacted at least 6 times in Listed Specified Investment Products (SIPs) which are listed or quoted on a futures market in the preceding 3 years?

☐ Yes ☐ No

Please tick

☐ Futures

☐ Options

2. Have you transacted at least 6 times in Unlisted Specified Investment Products (SIPs) which are traded Over-the-Counter(OTC) in the preceding 3 years?

☐ Yes ☐ No

Please tick

☐ Leveraged CFD

☐ Bullion

☐ Leveraged Forex

☐ OTC Metal

#### D. Investment education

1(a) Have you personally undergone and completed the SGX e-Tutorial and passed the online quiz?

☐ Yes ☐ No

Please state the scores of all attempts

2(a) Have you personally undergone and completed the ABS-SAS e-learning on Unlisted SIPs and passed the online assessment?

☐ Yes ☐ No

Please state the scores of all attempts

1(b) Have you been rejected from opening a Listed SIPs trading account by another licensed person or exempt financial institution?

☐ Yes ☐ No

Name of licensed person / financial institution

2(b) Have you been rejected from opening an Unlisted SIPs trading account by another licensed person or exempt financial institution?

☐ Yes ☐ No

Name of licensed person / financial institution

Based on the above assessment, I understand that I

#### CAR for Futures / Options Trading

☐ appear to qualify to transact in derivatives for Futures/Options trading, as (i) one or more of my answers to the above Sections A, B, C1 or D1(a) is Yes and (ii) my answer to Section D1(b) is No. You will contact me if you need more information from me.

☐ do not possess the relevant knowledge or experience in derivatives for Futures/Options. I do not wish to proceed with the account opening.

#### CKA for Leveraged Forex Trading

☐ appear to qualify to transact in Leveraged Forex trading, as (i) one or more of my answers to the above Sections A, B, C2 or D2(a) is Yes and (ii) my answer to Section D2(b) is No. You will contact me if you need more information from me.

☐ do not possess the relevant knowledge or experience in Leveraged Forex trading. I do not wish to proceed with the account opening.

Note:

3. Professional finance-related qualifications include Chartered Institute of Securities & Investment(CISI), Chartered Alternative Investment Analyst (CAIA), Certified Financial Technician (CFTE), Financial Risk Manager (FRM), Chartered Financial Consultant (ChFC), Associate Financial Planner (AFP), Associate Wealth Planner (AWP), Certified Financial Planner (CFP), Certified Public Accountant (CPA) / (ACCA), Chartered Financial Analyst (CFA), (CMFAS Exam) Modules – Securities Products & Analysis and Futures Products and Analysis

4. Support functions in the areas mentioned above that are administration or clerical in nature will not be considered as relevant experience

### 3d Fill in the client investment profile (CIP) questionnaire

➤ You need not complete this section if you are an accredited investor or if your answer to Section 3c "Investor Type" is "Yes".

These series of questions seek to determine, in the context of the Factual Risk Summary, whether your risk profile and trading objective reasonably match your decision to trade in FLF contracts.

#### Q1. What is your purpose of opening this trading account?

Please tick one

- ☐ Buy something that will preserve its present day value against erosion through inflation. Capital growth and / or income are secondary.
- ☐ To buy and hold something that will both appreciate in value and pay a stable & consistent income and long term capital growth but with focus / bias in favour of holding what is bought long term for it to grow in value.
- ☐ To engage in short term transactions hoping to secure profits from short term price movements of the underlying subject matter.

#### Q2. Will you or are you dependent on the funds that you will be using for the trading through us to meet any current or anticipated payment requirements?

Please tick one

- ☐ Yes ☐ No

#### Q3. In answering the question (2) above, are you also aware that leveraged nature of forex and futures contracts allows you to take a larger position relative to your deposited funds? As such, a relatively small negative market movement will have a magnified and therefore potentially a significant adverse impact on your deposited funds to the extent even of extinguishing such funds entirely and leaving you with a shortfall that you will have to separately pay for; you therefore risk losing more than just your initial or other deposits by way of margins or collateral for your obligations.

Please tick one

- ☐ Yes ☐ No

#### Q4. Regardless of how much you can actually afford to lose, please tell us how much price fluctuation you generally willing to accept in your trading?

Please tick one

- ☐ I do not want to experience any short term price fluctuations.
- ☐ I am willing to accept short term market price movements against me but will wish to limit my capital loss up to only 2%, and I am not willing to tolerate the loss of my entire trading capital.
- ☐ I am willing to accept that as market price movement are unpredictable, the funds that I can lose may be more than my entire trading capital due to market's extreme volatility, compounded by the leveraged nature of forex and futures.

#### Q5. In order to achieve my investment objective as stated above, I am willing to take

Please tick one

- ☐ Low risk. I do not want to risk my capital in trading.
- ☐ Medium risk. I am generally willing to accept capital loss of up to 2% in trading by placing risk-reducing orders.
- ☐ High risk. I understand and am willing to take the speculative and therefore generally high risk in trading futures contracts and leveraged foreign exchange transactions.

#### Q6. If your answer to the question (5) above is Medium risk, do you understand and accept that the placing of certain orders (e.g. stop-loss 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, and at times, it is also difficult or impossible to liquidate a position without incurring substantial losses?

Please tick one

- ☐ Yes ☐ No



## 4 Notice and confirmation of Non-Relevance of Certain Information

### Explanatory Note

Pursuant to the Notice issued by the MAS (FAA-N16), we are required to take reasonable steps to secure certain specific information in order to be able to make any recommendation with respect to the trading of SIP that takes into account your investment objectives, financial situation and particular needs.

Where we believe that an item of information is materially relevant for us to have in order for us to be able to determine whether trading in futures and/or leveraged forex (as relevant) are generic products suitable for you to deal in, this has been incorporated into our Client Investment Profile Questionnaire (the "CIP") to which this Notice and Confirmation is an annexure.

Correspondingly, where we believe that an item of information is not materially relevant for us to have in order for us to be able to determine whether trading in futures and/or leveraged forex (as relevant) are generic products suitable for you to deal in, we have not asked for that information in the CIP.

This Notice and Confirmation sets out the items of information set out in FAA-N16 that we have not include in CIP and our summary reasons for believing them to be irrelevant.

### Items of Information Not Specifically Requested

There are three specific items of information from the list of items in FAA-N16 that we did not ask for and our reasons for not asking for them are as follows:

- i. Your financial situation, including assets, liabilities, cash flow and income because our question as to whether you are or will be dependent on the funds that you will be using for the trading through us to meet any current or anticipated payment requirements would already give us the relevant knowledge of your financial situation for our determination of the suitability of trading in futures and/or leveraged forex contract for you;
- ii. The source and amount of your regular income again because our question as to whether you are or will be dependent on the funds that you will be using for the trading through us to meet any current or anticipated payment requirements would already give us the relevant knowledge of the funds you will be using for meeting your obligations and making your trading for our determination of the suitability of trading in futures and/or leveraged forex contract for you; and
- iii. Your current investment portfolio, including any life policy, and whether the amount to be invested is a substantial portion of your assets because trading in futures and/or leveraged forex contract is not a medium or long term investment activity (which provides for your medium and long term objectives) but essentially a trading activity for short term gains.

### Actions Required of You

If you agree with our conclusion, please confirm your agreement by signing off on this Notice and Confirmation.

If you disagree, please then provide both the information we did not ask for but you believe to be relevant for us to have, together with the reasons for your belief, so that we can take both the information and reasons into account in making our assessment on whether trading in futures and/or leveraged forex contracts (as relevant) are generic products suitable for you to deal in.

#### *Please tick one*

- ☐ **We agree** that the items of information you did not ask for from us are not relevant for your assessment on whether trading in FLF contracts (as relevant) are generic products suitable for us to deal in.
- ☐ **We disagree.** We believe that the items of information we provide below that you did not ask for from us are relevant for your assessment on whether trading in futures and/or leveraged forex contracts (as relevant) are generic products suitable for us to deal in:
- a. Our financial situation, including assets, liabilities, cash flow and income are set out in the document that we are attaching to this document and labelled as [ ].  
We believe you need the information because : .....
  - b. The source and amount of our regular income are set out in the document that we are attaching to this document and labelled as [ ].  
We believe you need the information because : .....
  - c. Our current investment portfolio, including any life policy, and whether the amount to be invested is a substantial portion of our assets are set out in the document that we are attaching in this document and labelled as [ ].  
We believe you need the information because : .....

## 5 Your acknowledgement and agreement

1. In making this application for the opening of account(s) with OSPL, we confirm that we have read, understood and agree to:-
  - (a) all the contents in the Guide and Cautionary Notes;
  - (b) the Declaration and Agreement, and we agree that the terms and conditions therein form part of our application for opening of account(s) with you;
  - (c) the terms and conditions as follows:
    - I. OSPL Standard Trading Terms and Conditions ("STC") (A copy of the STC is available upon request or by going to iOCBC website > Support > Policies - See more > Standard Terms and Conditions); and
    - II. OSPL Terms and Conditions governing Futures Margin and Options Trading and OTC Transactions ("OTC") (A copy of the OTC is available upon request or from iOCBC website);
  - (d) the Risk Disclosure Statements in the STC and OTC;
  - (e) the Electronic Trading – Third Party Software or Technology Provider terms and conditions; and
  - (f) the SGX FTSE/XINHUA indices 5400 Intellectual Property Rights and Disclaimers.
2. We declare that any funds and assets we place with OSPL, and any profits that they make, will comply with the tax laws of the countries where we live or which we are citizen of, and any other laws that apply.
3. We confirm that we are opening the account for ourselves AND OUR SOLE BENEFIT and not on behalf of any other person or entity.

## 6 Your data protection and marketing consent

I/We consent to the collection, use, and disclosure of my/our personal data by OCBC Securities and its related corporations (collectively, "OCBC Group"), their agents, and their authorised service providers in accordance with OCBC Securities' Data Protection Policy available at [www.iocbc.com/security-privacy#data-protection-policy](http://www.iocbc.com/security-privacy#data-protection-policy).

I/We acknowledge that my/our consent herein supersedes any previous consents withdrawn.

Please send me/us information about OCBC Group's and its business partners' goods and services, regardless of my/our registration(s) with the Do Not Call registry, via:

For 1<sup>st</sup>  
applicant

- ☐ Emails and other electronic channels  
☐ Phone number-based messages  
☐ Phone calls  
☐ Post

For 2<sup>nd</sup>  
applicant

- ☐ Emails and other electronic channels  
☐ Phone number-based messages  
☐ Phone calls  
☐ Post

► Please tick, if you are agreeable

I/We may withdraw such consent at any time by completing the Withdrawal of Consent form. This form may be obtained from my/our Trading Representative or OCBC Securities Customer Service Officers.

### Important Notes

1. Trading in investment products can be very risky, and you may lose all or more than the amount invested or deposited.
2. You can, if you are a Retail Customer (as described in the Guide and Cautionary Notes) with an Account with OSPL, at any time request for advice concerning a Specified Investment Product offered by OSPL. Unless you had been assessed as not passing the CKA/ CAR assessment (as relevant) and for the duration that you cannot be deemed to have passed the same, advice will be provided for free. Otherwise advice will have to be paid for and subject to a distinct agreement setting out relevant terms for the giving of such Paid Advice. Please contact your Trading Representative if you wish to request for such advice.
3. If you have any feedback or complaint, please contact us at [askocbcsec@ocbc.com](mailto:askocbcsec@ocbc.com) or refer to iOCBC website > Support > Policies - See more > Providing Feedback.

Signature of Customer (for 1<sup>st</sup> applicant)

SIGN HERE

Date: (dd) / (mm) / (yyyy)

Signature of Customer (for 2<sup>nd</sup> applicant)

SIGN HERE

Date: (dd) / (mm) / (yyyy)

Signature of Verifying Officer  
( OTC / SV / PV ) / date

All information is required unless otherwise stated

OCBC Securities Private Limited ("OSPL") does not and cannot provide any tax advice.  
Please consult a professional tax adviser on your tax residency relating to CRS and/or FATCA.

Name of Account holder ▶ *As in our records*

NRIC/Malaysian IC/Passport no.

Nationality

Date of Birth ▶ DD/MM/YYYY

Residential address

☐ Please tick if it is the same as per OSPL's records. If so, you do not need to fill in your address.

Country

Postal code

## 1 Tax Residency<sup>1</sup> Declaration

What is/are your Country(ies) of Tax Residence?

☐ Singapore

▶ Refer to NRIC for Taxpayer Identification Number ("TIN").

If NRIC is not your TIN, please specify:

If you were born in the U.S. but are no longer a U.S. Tax Resident, please provide the following documents:

- Certificate of loss of nationality of the U.S
- Form I-407

☐ United States of America<sup>2</sup>

▶ Social Security No. ("SSN")

 -  - 
☐ Other Countries

▶ Please provide information of other tax residency(ies) in the table below.

Country	TIN	If TIN is not available, select a reason
		<input type="checkbox"/> TIN is not issued by country <input type="checkbox"/> TIN is not required by country <input type="checkbox"/> Unable to obtain a TIN ▶ Provide reason

Country	TIN	If TIN is not available, select a reason
		<input type="checkbox"/> TIN is not issued by country <input type="checkbox"/> TIN is not required by country <input type="checkbox"/> Unable to obtain a TIN ▶ Provide reason

Country	TIN	If TIN is not available, select a reason
		<input type="checkbox"/> TIN is not issued by country <input type="checkbox"/> TIN is not required by country <input type="checkbox"/> Unable to obtain a TIN ▶ Provide reason

Country	TIN	If TIN is not available, select a reason
		<input type="checkbox"/> TIN is not issued by country <input type="checkbox"/> TIN is not required by country <input type="checkbox"/> Unable to obtain a TIN ▶ Provide reason

If you have more than four countries/jurisdictions, please complete an additional form.

## 2 Country of address outside Tax Residency

► Please explain why the country of your **residential address** differs from the Tax Residency(ies) declared.

- ☐ This is one of my many addresses
- ☐ This is the address of a trusted person (e.g. family member, relative, personal assistant)
- ☐ This is a temporary address (e.g. for studies, work)
- ☐ Others \_\_\_\_\_

► Please explain why the country of your **mailing address** differs from the Tax Residency(ies) declared.

- ☐ This is one of my many addresses
- ☐ This is the address of a trusted person (e.g. family member, relative, personal assistant)
- ☐ This is a temporary address (e.g. for studies, work)
- ☐ Others \_\_\_\_\_

Please provide one of the following documents from **ALL** of the countries which you are a tax resident of:

- Passport
- National identity card
- Government issued identity document<sup>3</sup>

## 3 Declaration and Authorisation

1. I declare that the information provided in this Certification Form is true, complete and correct to the best of my knowledge and belief. I authorise OSPL to update its records within the information provided by me in this Certification Form. I also undertake to keep OSPL informed in writing within 30 days of any changes in circumstances that may cause any of the information in this Certification Form to become incorrect or incomplete and also undertake to provide any other additional information as may be required by OSPL and/or applicable law.
2. I agree and consent to the terms of OSPL's (i) Data Protection Policy, (ii) FATCA Policy and (iii) CRS Policy, available upon request or from iOCBC website, which may require the reporting of information supplied by me to relevant tax authorities.

**Signature of Account holder** (As per OSPL's signing record)  
or individual authorised to sign for the Account holder

Date:

x-1st applicant

SIGN HERE

Complete this section only if you are an individual authorised to sign for the Account holder.

Name of Authorised Individual ► Please provide a certified copy of power of attorney and NRIC/Malaysian IC/Passport of the authorised individual

NRIC/Malaysian IC/Passport number

### Notes:

1. Tax residency is defined by each country's local tax laws. This may be dependent on factors including, but not limited to, nationality, physical presence, employment and place of abode.  
Guidance on tax residency is also available at OECD Web site > CRS IMPLEMENTATION AND ASSISTANCE > TAX RESIDENCY
2. Definition of 'U.S. Tax Resident'
  - A citizen or permanent resident of the United States (e.g. US Green Card holder or someone who meets the requirements to be considered a resident under the 'substantial presence test'); or
  - Any other person that is not a foreign person (as defined under US federal tax law).
3. Government issued document may include any documents issued by the local law for the purposes of identification and may vary for different jurisdictions. This may include driving license, employment/residence pass and birth certificate.

For OSPL's use only				
CS	Multiple Account(s)	U.S. person? <input type="checkbox"/> N <input type="checkbox"/> Y	If no, any US indicia? U.S. Nationality Y / N U.S. Place of birth Y / N U.S. contact / add Y / N	OTC / SV & checked by & date:
ASD	Processed By/Date:	Checked By/Date:	Remarks(s):	

All information is required unless otherwise stated

OCBC Securities Private Limited ("OSPL") does not and cannot provide any tax advice.  
Please consult a professional tax adviser on your tax residency relating to CRS and/or FATCA.

Name of Account holder ▶ *As in our records*

NRIC/Malaysian IC/Passport no.

Nationality

Date of Birth ▶ DD/MM/YYYY

Residential address

☐ Please tick if it is the same as per OSPL's records. If so, you do not need to fill in your address.

Country

Postal code

## 1 Tax Residency<sup>1</sup> Declaration

What is/are your Country(ies) of Tax Residence?

☐ Singapore

▶ Refer to NRIC for Taxpayer Identification Number ("TIN").  
If NRIC is not your TIN, please specify:

If you were born in the U.S. but are no longer a U.S. Tax Resident, please provide the following documents:

- Certificate of loss of nationality of the U.S
- Form I-407

☐ United States of America<sup>2</sup>

▶ Social Security No. ("SSN")

☐ Other Countries

▶ Please provide information of other tax residency(ies) in the table below.

Country	TIN	If TIN is not available, select a reason
		<input type="checkbox"/> TIN is not issued by country <input type="checkbox"/> TIN is not required by country <input type="checkbox"/> Unable to obtain a TIN ▶ Provide reason

Country	TIN	If TIN is not available, select a reason
		<input type="checkbox"/> TIN is not issued by country <input type="checkbox"/> TIN is not required by country <input type="checkbox"/> Unable to obtain a TIN ▶ Provide reason

Country	TIN	If TIN is not available, select a reason
		<input type="checkbox"/> TIN is not issued by country <input type="checkbox"/> TIN is not required by country <input type="checkbox"/> Unable to obtain a TIN ▶ Provide reason

Country	TIN	If TIN is not available, select a reason
		<input type="checkbox"/> TIN is not issued by country <input type="checkbox"/> TIN is not required by country <input type="checkbox"/> Unable to obtain a TIN ▶ Provide reason

If you have more than four countries/jurisdictions, please complete an additional form.

## 2 Country of address outside Tax Residency

► Please explain why the country of your **residential address** differs from the Tax Residency(ies) declared.

- ☐ This is one of my many addresses
- ☐ This is the address of a trusted person (e.g. family member, relative, personal assistant)
- ☐ This is a temporary address (e.g. for studies, work)
- ☐ Others \_\_\_\_\_

► Please explain why the country of your **mailing address** differs from the Tax Residency(ies) declared.

- ☐ This is one of my many addresses
- ☐ This is the address of a trusted person (e.g. family member, relative, personal assistant)
- ☐ This is a temporary address (e.g. for studies, work)
- ☐ Others \_\_\_\_\_

Please provide one of the following documents from **ALL** of the countries which you are a tax resident of:

- Passport
- National identity card
- Government issued identity document<sup>3</sup>

## 3 Declaration and Authorisation

1. I declare that the information provided in this Certification Form is true, complete and correct to the best of my knowledge and belief. I authorise OSPL to update its records within the information provided by me in this Certification Form. I also undertake to keep OSPL informed in writing within 30 days of any changes in circumstances that may cause any of the information in this Certification Form to become incorrect or incomplete and also undertake to provide any other additional information as may be required by OSPL and/or applicable law.
2. I agree and consent to the terms of OSPL's (i) Data Protection Policy, (ii) FATCA Policy and (iii) CRS Policy, available upon request or from iOCBC website, which may require the reporting of information supplied by me to relevant tax authorities.

**Signature of Account holder** (As per OSPL's signing record)  
or individual authorised to sign for the Account holder

Date:

x-2nd applicant

SIGN HERE

Complete this section only if you are an individual authorised to sign for the Account holder.

Name of Authorised Individual ► Please provide a certified copy of power of attorney and NRIC/Malaysian IC/Passport of the authorised individual

NRIC/Malaysian IC/Passport number

### Notes:

1. Tax residency is defined by each country's local tax laws. This may be dependent on factors including, but not limited to, nationality, physical presence, employment and place of abode.  
Guidance on tax residency is also available at OECD Web site > CRS IMPLEMENTATION AND ASSISTANCE > TAX RESIDENCY
2. Definition of 'U.S. Tax Resident'
  - A citizen or permanent resident of the United States (e.g. US Green Card holder or someone who meets the requirements to be considered a resident under the 'substantial presence test'); or
  - Any other person that is not a foreign person (as defined under US federal tax law).
3. Government issued document may include any documents issued by the local law for the purposes of identification and may vary for different jurisdictions. This may include driving license, employment/residence pass and birth certificate.

For OSPL's use only				
CS	Multiple Account(s)	U.S. person? <input type="checkbox"/> N <input type="checkbox"/> Y	If no, any US indicia? U.S. Nationality Y / N U.S. Place of birth Y / N U.S. contact / add Y / N	OTC / SV & checked by & date:
ASD	Processed By/Date:	Checked By/Date:	Remarks(s):	

## Introduction to Common Reporting Standard (CRS)

- CRS is a new information gathering and reporting standard implemented by participating countries globally.
- Under CRS, we are required to determine your tax residence. This information will be passed to Singapore's tax authority. If your tax residence(s) is/are outside of Singapore, the information in this form may be reported, along with information relating to your accounts, to that country or countries' national tax authority.
- This form will remain valid unless there is a change in circumstances causing this form's information to become incorrect. In such events, please notify us in writing within 30 days and subsequently provide any other additional information as may be required by OSPL and/or applicable law.
- This form is intended to request information consistent with local law requirements.

### Please fill in this form only if you are an individual account holder.

- For joint-account holders, use a separate form for each individual.
- Where you need to self-certify on behalf of an entity account holder, do not use this form. Instead, fill in a "*Tax Residency Self-Certification (Entity)*" form. Similarly, if you are a controlling person of an entity, please fill in a "*Tax Residency Self-Certification (Controlling Person)*" form instead. The forms are located in iOCBC Website.

### If you are filling in this form on behalf of someone else:

- Please complete your particulars after signing in Part 3. You may be only completing the form under a power of attorney.

### We are unable to offer tax advice.

Your tax adviser may be able to assist you in answering specific questions on this form. Your domestic tax authority can provide guidance regarding how to determine your tax residence.

You can also find out more, including a list of countries that have signed agreements to automatically exchange information, along with details about the information being requested, on the OECD automatic exchange of information portal. The website link can be found in the appendix.

## Appendix – Summary Descriptions of Select Defined Terms

**Note:** These are selected summaries of defined terms provided to assist you with the completion of this form. Further details can be found within the OECD *“Common Reporting Standard for Automatic Exchange of Financial Account Information”* (the “CRS”), the associated *“Commentary”* to the CRS, and domestic guidance.

This can be found at the [OECD automatic exchange of information portal](#).

The selected summaries are derived from OECD’s definitions. Individual countries may have different or additional definitions for each term. Please refer to the respective country’s definition of each term if in doubt.

### **“Account Holder”**

The “Account Holder” is the person listed or identified as the holder of a Financial Account by the Financial Institution that maintains the account. For example, if John is acting through power of attorney for Alan’s account, Alan is the Account Holder. A person, other than a Financial Institution, holding a Financial Account for the benefit or account of another person as agent, custodian, nominee, signatory, investment advisor, or intermediary, is not treated as holding the account, and such other person is treated as holding the account. For joint accounts, both persons are Account Holders.

### **“Reportable Account”**

The term “Reportable Account” means an account held by one or more Reportable Persons.

### **“Participating Jurisdiction”**

A jurisdiction (i) with which an agreement is in place pursuant to which it will provide the information set out in the Common Reporting Standard and required for the automatic exchange of financial account information, and (ii) which is identified in a published list.

### **“Reportable Jurisdiction”**

A jurisdiction (i) with which an agreement is in place pursuant to which there is an obligation to provide financial account information set forth in the Common Reporting Standard, and (ii) which is identified in a published list.

### **“Reportable Person”**

An individual who is tax resident in a Reportable Jurisdiction under the laws of that country.

### **“TIN” (including “functional equivalent”)**

The term “TIN” means Taxpayer Identification Number or a functional equivalent in the absence of a TIN. A TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual used to identify the individual for the purposes of administering the tax laws of such jurisdiction. Examples of TINs include the NRIC / FIN number for Singapore tax resident individuals. Further details of acceptable TINs can be found at the OECD automatic exchange of information portal.

Some jurisdictions do not issue a TIN. However, these jurisdictions often utilise some other high integrity number with an equivalent level of identification (a “functional equivalent”). Examples of that type of number include, for Entities, a Business/company registration code/number.



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**Disclosure Obligations in relation to trading in Dairy Contracts pursuant to SGX Futures Trading Rules - Regulatory Notice 3.3.3**

Before OCBC Securities Private Limited accepts the first order from a Customer who is a New Zealand Client<sup>1</sup> to trade in any Dairy Contract<sup>2</sup> on the Exchange<sup>3</sup>, the Customer who is a New Zealand Client should be aware of the significant differences between trading derivatives on the Exchange and trading derivatives on a New Zealand-based market. These include, but are not limited to, the following:

- (a) the Exchange's principal place of business is located in Singapore;
- (b) the Exchange is regulated primarily under the regulatory regime of Singapore;
- (c) the rights and remedies of, and compensation arrangements for, investors who acquire products offered on the Exchange may differ from the rights and remedies of, and compensation arrangements for, investors who acquire products offered on a New Zealand-based market; and
- (d) New Zealand investors who acquire products offered on the Exchange may be subject to the effects of changes in currency exchange rates.

<sup>1</sup> "New Zealand Client" refers to any Person, who is resident, incorporated or domiciled in New Zealand.

<sup>2</sup> "Dairy Contracts" refers to Contracts in relation to dairy products which are listed and traded on the SGX-DT Market.

<sup>3</sup> The "Exchange" refers to Singapore Exchange Derivatives Trading Limited.

---

**Acknowledgment Of Receipt Of This Disclosure Statement**

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

Name of customer(s): \_\_\_\_\_

Signature of Customer (for 1<sup>st</sup> applicant) / Date

SIGN HERE

Signature of Customer (for 2<sup>nd</sup> applicant) / Date

SIGN HERE

**Schedule 1 - to the Terms and Conditions Governing Futures Margin Trading and Options Trading and OTC Transaction**

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 DEAL IN CAPITAL MARKETS PRODUCTS IN RESPECT OF FUTURES AND CERTAIN OVER-THE-COUNTER DERIVATIVES 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 purpose 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, OTCD currency contracts and Spot LFX trading contracts

(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 contracts or Spot LFX trading contracts 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 contracts or Spot LFX trading contracts, the purchaser will have to acquire a position in the futures contract, OTCD currency contract or Spot LFX trading contracts, as the case may be, with associated liabilities for margin (see the section on Futures and Leveraged Foreign Exchange Trading 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 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 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 transaction 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.

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 transaction in a futures contract, OTCD currency contract or Spot LFX trading contract to ensure performance of the terms of the transaction in the futures contract, OTCD currency contract or Spot LFX trading contract.

**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 customer(s)

SIGN HERE

Name of customer(s)

Designation\*

Corporation name\*

Signature of witness

Name of witness

Date

\*For corporations only.

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**SCHEDULE 3 TO THE TERMS AND CONDITIONS GOVERNING FUTURES MARGIN TRADING  
DISCLAIMER FOR MSCI CONTRACTS**

This statement is provided to you as required by the SGX-DT and is in addition to and not in derogation of any other disclosure statement. The SGX-DT has entered into a licence agreement with Morgan Stanley & Co. Incorporated to be permitted to use certain stock indexes to which Morgan Stanley & Co. Incorporated owns rights in and to (the "MSCI Indexes") and the proprietary data contained therein in connection with the listing, trading, marketing and clearing of derivative securities linked to such indexes.

In relation to the Transactions based on the MSCI Indexes, please note:-

Morgan Stanley & Co. Incorporated and Capital International Perspective, S.A. assume no liability or obligations in connection with the trading of any contract based on the MSCI Indexes. Neither Morgan Stanley & Co. Incorporated nor Capital International Perspective, S.A. shall be responsible for any losses, expenses or damages arising in connection with the trading of any contract linked to the MSCI Indexes, provided that nothing herein shall affect either party's obligations as a party trading in any contract linked to the MSCI Indexes. The SGX-DT, Morgan Stanley & Co. Incorporated and Capital International Perspective, S.A. does not guarantee the accuracy or completeness of any of the MSCI Indexes or any data included therein.

THE SGX-DT, MORGAN STANLEY & CO. INCORPORATED AND CAPITAL INTERNATIONAL PERSPECTIVE, S.A. MAKE NO WARRANTY, EXPRESS OR IMPLIED, AS TO THE ACCURACY OR COMPLETENESS OF, OR THE RESULTS TO BE OBTAINED BY ANY PERSON OR ANY ENTITY FROM THE USE OF, THE MSCI INDEXES, ANY INTRA-DAY PROXY RELATED THERETO OR ANY DATA INCLUDED THEREIN IN CONNECTION WITH THE TRADING OF ANY CONTRACTS, OR FOR ANY OTHER USE. THE EXCHANGE, MORGAN STANLEY & CO. INCORPORATED AND CAPITAL INTERNATIONAL PERSPECTIVE, S.A. MAKE NO EXPRESS OR IMPLIED WARRANTIES OF MERCHANTABILITY OR FITNESS FOR ANY PARTICULAR PURPOSE WITH RESPECT TO THE MSCI INDEXES, ANY INTRA-DAY PROXY RELATED THERETO OR ANY DATA INCLUDED THEREIN.

**ACKNOWLEDGEMENT OF RECEIPT OF THIS DISCLAIMER FOR MSCI CONTRACTS**

This acknowledges that I/we have received a copy of the **DISCLAIMER FOR MSCI CONTRACTS** and understand, accept and agree to its contents.

Name of customer(s): \_\_\_\_\_

Signature of Customer (for 1<sup>st</sup> applicant) / Date

SIGN HERE

Signature of Customer (for 2<sup>nd</sup> applicant) / Date

SIGN HERE



All information is required unless stated

### DECLARATION FORM FOR GOODS AND SERVICES TAX STATUS

In accordance with Inland Revenue Authority of Singapore's guidelines, GST on services rendered by us to you can only be zero-rated if **ALL** the following conditions are fulfilled:

- your usual place of residence is not in Singapore, ie, you do not have a Singapore residential address;
- you do not have a place of business/employment/study in Singapore;
- you are outside of Singapore at the time of supply.

**To :** **OCBC SECURITIES PRIVATE LIMITED**  
18 Church Street  
#01-00 OCBC Centre South  
Singapore 049479

1. I/ We, \_\_\_\_\_, ID / Passport / Business No \_\_\_\_\_, hereby declare that (please tick whichever applicable):

☐

I/ We **do** have a place of business / employment / study in Singapore

☐

I/ We **do not** have a place of business / employment / study in Singapore, and having read the above conditions, hereby declare that my/our usual place of residence is/are:

**Residential address of 1<sup>st</sup> applicant**

\_\_\_\_\_ Postal code \_\_\_\_\_

\_\_\_\_\_

**Residential address of 2<sup>nd</sup> applicant ➤ if different from 1<sup>st</sup> applicant**

\_\_\_\_\_ Postal code \_\_\_\_\_

\_\_\_\_\_

- I/ We undertake to inform you as soon as there are changes to the information given above.
- I/ We will be liable for all GST charges should there be a delay in informing the company of the change in my / our GST status.

Signature of Customer (for 1<sup>st</sup> applicant)

**SIGN HERE**

Signature of Customer (for 2<sup>nd</sup> applicant)

**SIGN HERE**

For official use			
GST	OTC / SV / date	Done by / date	Checked by / date
<input type="checkbox"/> Yes			
<input type="checkbox"/> No			
CS use	CS use	ASD use	ASD use

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**RISK FACT SHEET FOR CONTRACTS FOR DIFFERENCES**

1. This Risk Fact Sheet is provided to you in accordance with Notice SFA N04-N15. It highlights the common risks of trading in Contracts for Differences (“**CFDs**”) and complements the associated risk disclosures furnished by OCBC Securities Private Limited (“**OSPL**”).
2. This Risk Fact Sheet does not disclose all the risks of trading in CFDs. It is important to read the associated risk disclosures before deciding whether to trade in CFDs. You should also carefully consider whether trading in CFDs is appropriate for you in the light of your experience, objectives, financial resources and other relevant circumstances. If you do not have a copy of the associated risk disclosures, please contact OSPL to request for a copy. You should not trade in CFDs if you do not understand the product or are not comfortable with the accompanying risks.

**Q1. What is my potential loss when I trade on margin in CFDs?**

When you enter into a CFD transaction, you need to pay an initial margin, which is based on a percentage of the value of the trade. When you trade on margin, you should be prepared to lose more than or all of your initial investment amount that you have paid as margin to OSPL.

Illustration 1:

The price of XAUUSD is quoted at S\$1800 per ounce and you are buying 10 ounces of XAUUSD as a CFD at S\$1800 per CFD. OSPL sets the margin at 20% so you have to put up an initial margin of  $20\% \times S\$1800 \times 10 = S\$3600$ .

- The price of XAUUSD then falls from S\$1800 to S\$1700. As such, your unrealised marked-to-market loss is S\$1000  $[(S\$1700 - S\$1800) \times 10]$ .
- Due to adverse market information on XAUUSD, the price falls further to S\$1400. Your unrealised marked-to-market loss is now S\$4000  $[(S\$1400 - S\$1800) \times 10]$ . If you were to liquidate your position, your realised loss would be \$4000, which is S\$400 more than your initial margin of S\$3600.
- In the worst case, the price of XAUUSD becomes worthless. You lose the full contract value of S\$18000  $[(S\$0 - S\$1800) \times 10]$ , which is 5 times the initial margin of \$3600 you have put up. This is similar to the situation where you bought 10 ounces at S\$1800 per ounce and lost your entire investment. You may also be liable for additional charges, costs and fees incurred.

**Q2. What will happen if I do not have enough margin to cover my losses?**

If your account margin ratio falls below 100%, you are required to pay the margin shortfall by the next business day. If you fail to meet the margin call, OSPL has the right to close out of your CFD positions immediately and without notifying you, as stated in the Futures Margin and Options Trading and OTC Transactions Supplementary Terms and Conditions section of your trading account application form with us. Therefore, you will need to monitor your account closely to ensure that you deal with any margin calls promptly.

Illustration 2: Referring to Illustration 1, the price of XAUUSD falls from S\$1800 to S\$1700 and the notional value of the contract is now \$17000  $(10 \times S\$1700)$ . The margin requirements (assuming 20% margin rate) to maintain the contract is now S\$3400  $(S\$17000 \times 20\%)$ . With an unrealized loss of S\$1000  $[(S\$1800 - S\$1700) \times 10]$  and margin of S\$400, your net equity is now S\$2600  $(S\$3600 - S\$1000)$ . OSPL issues you a margin call of S\$800 to top up your margin to S\$3400 (assuming that the margin requirement is S\$3400). If you fail to pay the margin call by the

stipulated business day, OSPL can close out your position. If the price of XAUUSD continues to fall and your loss exceeds S\$X (i.e. X% of the margin requirement), OSPL may close out your position. In addition, you may be liable for additional charges, costs and fees incurred.

**Q3. How is the CFD quoted?**

OSPL determines and quotes its own prices which are referenced to, but may differ, from the actual prices in the underlying exchange or market. In particular, when the underlying exchange or market is not open or has insufficient liquidity, the CFD price quoted by OSPL may deviate significantly from the underlying or at the last available reference price, or OSPL may charge additional spreads to its prices.

**Q4. Can my order be executed at a price that is less favourable than the price quoted on the trading system, or the price that I have submitted?**

Your order can be executed at a price that is less favourable than the price quoted on the trading system. Quotes for prices for dealing in OSPL's products are indicative only, and not guaranteed. This can happen when there is a change in the quoted price between the time your order is placed and the time your order is received or executed by OSPL's trading system (e.g. delay in the internet transmission of your order, or rapid price fluctuations in the financial markets during that period). In particular, for stop-loss orders that are triggered for execution at the stop price level that you have indicated, it may be difficult or not possible to liquidate your position at your stop price level, due to rapid price fluctuations or lack of liquidity in the markets. If any of the foregoing events happens, you may incur unexpected losses.

**Q5. Will my order be manually executed? If so, under what circumstances does OSPL rely on manual execution?**

OSPL's trading system executes your orders on an automated basis and does not rely on any manual intervention or dealing, unless your orders do not pass the pre-execution checks carried out by OSPL's trading system. This can happen if there is insufficient or unavailable liquidity in the underlying market for OSPL to hedge its own risk exposure. In this regard, OSPL has the discretion to determine the price of the CFD.

**Q6. Where are my margins kept and maintained? Can OSPL use my margin for its own purposes?**

Your moneys or other assets that you placed with OSPL are required by regulations to be maintained in segregated accounts with certain specific entities. Your moneys or other assets are segregated from OSPL's own moneys or assets but may be kept in the same omnibus account with other customers of OSPL. OSPL is not permitted to use your money or other assets in the segregated account for its own purposes, including for settling its own dealings with its hedge counterparty.

**Q7. What will happen to my margin if OSPL becomes insolvent? Will I be able to get back my moneys or other assets?**

OSPL is your contractual counterparty and is obliged to honour your CFD trades and any profits made. Therefore, if in an unlikely and unfortunate event that OSPL becomes insolvent, you face the risk that OSPL will not be able to honour any profits that you made. As for your moneys or other assets that are held in the segregated account, these should be protected from the claims of OSPL's creditors. Nonetheless, the recovery and return of your moneys or other assets will take

time, as this is subject to due process of OSPL's liquidation, including the reconciliation of all its customers' positions and moneys.

**Q8. Under what circumstances can OSPL close my position or void my order?**

OSPL may close out your position or void your trade when:

- (i) you are unable to meet the margin calls within the required timeframe.
- (ii) when net equity of your account is equal to 30% (or such other percentage as OSPL may from time to time determine) of the amount deemed necessary to support open positions of the portfolio.

**Q9. What are the commissions, fees and other charges that I have or may have to pay?**

OSPL's commission, fees and other charges may include, but are not limited to, the following items:

Commission: There may be a commission applicable for CFDs. All commission charges are subject to the Goods and Services Tax (GST).

Finance Charge: A financing fee is charged on any CFD positions that are held overnight on a daily basis. This finance charge is applied in the form of a funding transaction where the position of the CFD is rolled to the next applicable value date. This finance charge may differ from day to day.

Illustration 3: The price of XAUUSD is quoted at S\$1800 per ounce and you are buying 10 ounces of XAUUSD as a CFD at S\$1800 per CFD. A commission may be charged of 0.5%. In this case commission will be  $S\$1800 \times 10 \times 0.5\% = S\$90$ . In addition, GST of S\$6.30 is levied (7% of S\$90). If you hold the 10 ounces as a CFD overnight, you may incur a daily financing charge. The daily charge could be  $(S\$18000 \times 2\%/365 \text{ days}) = S\$0.99$ .

**Q10. What happens when trading in the underlying asset is suspended or halted? How can I exit my position, and will I suffer losses?**

In event of a suspension where the price of the underlying asset is unavailable, OSPL may allow you to exit your CFD position at a price determined by OSPL. During the period of suspension, holders of CFD positions will continue to incur finance charges if the positions are held overnight. In the event of a prolonged period of suspension, OSPL may require you to increase the margins, pay up the contract value in full, or close off your positions at an appropriate price determined by OSPL. In the worst case, you could lose 100% of the contract value. You may also be liable to pay additional charges, costs and fees incurred.

**Acknowledgement of Receipt of the Risk Fact Sheet**

I/we hereby acknowledge that I/we have received a copy of this Risk Fact Sheet For Contracts for Differences, and fully understand its contents.

Name of customer : \_\_\_\_\_

Signature of customer : \_\_\_\_\_

Designation\* : \_\_\_\_\_

Corporation Name\* : \_\_\_\_\_

\*For corporations only

**RISK DISCLOSURE STATEMENT FOR TRADING IN CFDS**

The Risk Disclosure Statement shall apply where you trade in contracts for differences (“CFDs”) and is furnished to you pursuant to Regulation 47DA(1) of the Securities and Futures (Licensing and Conduct of Business) Regulations.

OSPL will act as principal in all transactions involving the sale and purchase of CFDs.

The objective of this statement is to explain to you the nature of trading in CFDs prior to your undertaking of such transactions in CFDs. This statement may not be sufficient to explain all the risks of trading in CFDs. You should therefore fully understand the nature of the transactions, how they actually work, the extent of their exposure to risks and the potential losses that could be incurred. You should carefully consider whether trading in CFDs is suitable for you in the light of your financial resources, experience, objectives for engaging in the transactions, ability to bear risks and other relevant circumstances. You should fully understand and be aware that except where we are obliged either contractually or under the provisions of relevant regulations to pro-actively provide you with suitability advice (which is not generally the case), it is your sole responsibility to make your own independent appraisal and investigation into the risks associated with the desired transaction or product. You should, therefore, consult with your own legal, tax, financial and other relevant professional advisers prior to entering into any particular transaction. You must also ensure that you have sufficient knowledge, experience, sophistication and professional advice to make your own evaluation of the merits and risks of entering into such transactions.

In this statement, “company” includes OSPL.

**TRADING IN CFDS**

In considering whether to trade in CFDs or enter into any such transaction, you should be aware of the following:

- (a) Trading in CFDs can be extremely risky. You should be prepared to lose all of the funds used for trading in CFDs. You should not fund your CFDs trading activities with retirement savings, emergency funds or funds set aside for purposes such as education or home ownership.
- (b) You should be cautious of claims of large profits from trading in CFDs. You need to be wary of advertisements or other statements that emphasise the potential for large profits in trading in CFDs. Trading in CFDs can also lead to large and immediate financial losses.
- (c) Trading in CFDs requires knowledge of the markets in the underlying product. Trading in CFDs require in-depth knowledge of markets and trading techniques and strategies relating to the underlying product. In attempting to profit through trading in CFDs, you should have the appropriate experience before engaging in the trading of CFDs.
- (d) It is very important that you reconcile your account on a daily basis. Your review should include confirmations and monthly statements. You must always know your buying power and positions held in your account. Any suspected errors should immediately be brought to the attention of OSPL. All losses are your responsibility. The sole responsibility of OSPL shall be limited to loss of funds caused solely by the fraudulent or dishonest acts of its employees.

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**Trading in Commodity CFDs**

The risk of loss in trading in commodity CFDs can be substantial and your losses can exceed your deposits. You should therefore carefully consider whether such trading is suitable for you in light of your financial condition and you should only trade after knowing and accepting the risks associated with such trading.

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. 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 especially in rapidly moving markets.
- d. “Spread” position: Certain strategies such as 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 CFDs because of the small margin requirements can work against you as well as for you. Leverage magnifies trading risk and losses can exceed your deposit.
- f. Foreign markets transactions: If applicable, funds placed with a commodity broker for the purpose of participating in foreign markets may not enjoy the same level of protection as funds placed in commodity markets located in Singapore.

The market for and trading in Commodities is speculative and may be **highly volatile**. Prices for Commodities are affected by a variety of factors, including changes in supply and demand relationships, governmental programmes and policies, national and international political and economic events, wars and acts of terror, changes in interest and exchange rates, trading activities in Commodities and related contracts, weather and agricultural harvest, trade, fiscal, monetary and exchange control policies.

The price volatility of each Commodity also affects the value of the CFDs related to that Commodity and therefore its price at any such time. The volatility of Commodity prices is significant and often higher than for equity portfolios. The Commodity markets are in most cases less liquid as compared to the markets for equities, interest or currency-related products.

CFDs with Commodities as an underlyer carry a high degree of risk and may not be suitable for you. The extent of loss due to market movements can be substantial or even result in a total loss.

#### ACKNOWLEDGEMENT OF RECEIPT OF THIS RISK DISCLOSURE STATEMENT

By completing and returning this acknowledgement letter to OCBC Securities Private Limited (“OSPL”), I/we, as a customer of OCBC Securities Private Limited (“OSPL”) confirm the following in accordance with in accordance with regulation 47DA(1) of the Securities and Futures (Licensing and Conduct of Business) Regulations I/we understood the nature and contents of the above Risk Disclosure Document.

Name of customer(s):

Signature of Customer (for  
1<sup>st</sup> applicant) / Date

Signature of Customer (for  
2<sup>nd</sup> applicant) / Date

SIGN HERE

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Name of Account Holder ▶ as in NRIC/Passport

NRIC / Malaysian IC / Passport no.

**OVERSEAS-LISTED INVESTMENT PRODUCTS**
**RISK WARNING**

An overseas-listed investment product\* is subject to the laws and regulations of the jurisdiction it is listed in. Before you trade in an overseas-listed investment product or authorise someone else to trade for you, you should be aware of:

- The level of investor protection and safeguards that you are afforded in the relevant foreign jurisdiction as the overseas-listed investment product would operate under a different regulatory regime.
- The differences between the legal systems in the foreign jurisdiction and Singapore that may affect your ability to recover your funds.
- The tax implications, currency risks, and additional transaction costs that you may have to incur.
- The counterparty and correspondent broker risks that you are exposed to.
- The political, economic and social developments that influence the overseas markets you are investing in.

These and other risks may affect the value of your investment. You should not invest in the product if you do not understand or are not comfortable with such risks.

\* An "overseas-listed investment product" in this statement refers to a capital markets products that is approved in-principle for listing and quotation only on, or listed for quotation or quoted only on, one or more overseas exchanges.

1. This statement is provided to you in accordance with paragraph 29D of the Notice on the Sale of Investment Products [SFA04-N12].
2. This statement does not disclose all the risks and other significant aspects of trading in an overseas-listed investment product. You should undertake such transactions only if you understand and are comfortable with the extent of your exposure to the risks.
3. You should carefully consider whether such trading is suitable for you in light of your experience, objectives, risk appetite, financial resources and other relevant circumstances. In considering whether to trade or to authorise someone else to trade for you, you should be aware of the following:

**Differences in Regulatory Regimes**

- a) Overseas markets may be subject to different regulations, and may operate differently from approved exchanges in Singapore. For example, there may be different rules providing for the safekeeping of securities and monies held by custodian banks or depositories. This may affect the level of safeguards in place to ensure proper segregation and safekeeping of your investment products or monies held overseas. There is also the risk of your investment products or monies not being protected if the custodian has credit problems or fails. Overseas markets may also have different periods for clearing and settling transactions. These may affect the information available to you regarding transaction prices and the time you have to settle your trade on such overseas markets.
- b) Overseas markets may be subject to rules which may offer different investor protection as compared to Singapore. Before you start to trade, you should be fully aware of the types of redress available to you in Singapore and other relevant jurisdictions, if any.
- c) Overseas-listed investment products may not be subject to the same disclosure standards that apply to investment products listed for quotation or quoted on an approved exchange in Singapore. Where disclosure is made, differences in accounting, auditing and financial reporting standards may also affect the quality and comparability of information provided. It may also be more difficult to locate up-to-date information, and the information published may only be available in a foreign language.

**Differences in legal systems**

- d) In some countries, legal concepts which are practiced in mature legal systems may not be in place or may have yet to be tested in courts. This would make it more difficult to predict with a degree of certainty the outcome of judicial proceedings or even the quantum of damages which may be awarded following a successful claim.
- e) The Monetary Authority of Singapore will be unable to compel the enforcement of the rules of the regulatory authorities or markets in other jurisdictions where your transactions will be effected.
- f) The laws of some jurisdictions may prohibit or restrict the repatriation of funds from such jurisdictions including capital, divestment proceeds, profits, dividends and interest arising from investment in such countries. Therefore, there is no guarantee that the funds you have invested and the funds arising from your investment will be capable of being remitted.
- g) Some jurisdictions may also restrict the amount or type of investment products that foreign investors may trade. This can affect the liquidity and prices of the overseas-listed investment products that you invest in.

**Different costs involved**

- h) There may be tax implications of investing in an overseas-listed investment product. For example, sale proceeds or the receipt of any dividends and other income may be subject to tax levies, duties or charges in the foreign country, in Singapore, or in both countries.
- i) Your investment return on foreign currency-denominated investment products will be affected by exchange rate fluctuations where there is a need to convert from the currency of denomination of the investment products to another currency, or may be affected by exchange controls.
- j) You may have to pay additional costs such as fees and broker's commissions for transactions in overseas exchanges. In some jurisdictions, you may also have to pay a premium to trade certain listed investment products. Therefore, 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.

**Counterparty and correspondent broker risks**

- k) Transactions on overseas exchanges or overseas markets are generally effected by your Singapore broker through the use of foreign brokers who have trading and/or clearing rights on those exchanges. All transactions that are executed upon your instructions with such counterparties and correspondent brokers are dependent on their respective due performance of their obligations. The insolvency or default of such counterparties and correspondent brokers may lead to positions being liquidated or closed out without your consent and/or may result in difficulties in recovering your monies and assets held overseas.

**Political, Economic and Social Developments**

- l) Overseas markets are influenced by the political, economic and social developments in the foreign jurisdiction, which may be uncertain and may increase the risk of investing in overseas-listed investment products.

**ACKNOWLEDGEMENT OF RECEIPT OF THIS RISK WARNING STATEMENT**

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

Signature of Account Holder / date

Signature of verifying officer

SIGN HERE

For OSPL's use only	CS	Done by:	ASD	Remark(s)
	Multiple Account(s)		Checked by:	

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Name of Account Holder ▶ as in NRIC/Passport

NRIC / Malaysian IC / Passport no.

**OVERSEAS-LISTED INVESTMENT PRODUCTS**
**RISK WARNING**

An overseas-listed investment product\* is subject to the laws and regulations of the jurisdiction it is listed in. Before you trade in an overseas-listed investment product or authorise someone else to trade for you, you should be aware of:

- The level of investor protection and safeguards that you are afforded in the relevant foreign jurisdiction as the overseas-listed investment product would operate under a different regulatory regime.
- The differences between the legal systems in the foreign jurisdiction and Singapore that may affect your ability to recover your funds.
- The tax implications, currency risks, and additional transaction costs that you may have to incur.
- The counterparty and correspondent broker risks that you are exposed to.
- The political, economic and social developments that influence the overseas markets you are investing in.

These and other risks may affect the value of your investment. You should not invest in the product if you do not understand or are not comfortable with such risks.

\* An "overseas-listed investment product" in this statement refers to a capital markets products that is approved in-principle for listing and quotation only on, or listed for quotation or quoted only on, one or more overseas exchanges.

1. This statement is provided to you in accordance with paragraph 29D of the Notice on the Sale of Investment Products [SFA04-N12].
2. This statement does not disclose all the risks and other significant aspects of trading in an overseas-listed investment product. You should undertake such transactions only if you understand and are comfortable with the extent of your exposure to the risks.
3. You should carefully consider whether such trading is suitable for you in light of your experience, objectives, risk appetite, financial resources and other relevant circumstances. In considering whether to trade or to authorise someone else to trade for you, you should be aware of the following:

**Differences in Regulatory Regimes**

- a) Overseas markets may be subject to different regulations, and may operate differently from approved exchanges in Singapore. For example, there may be different rules providing for the safekeeping of securities and monies held by custodian banks or depositories. This may affect the level of safeguards in place to ensure proper segregation and safekeeping of your investment products or monies held overseas. There is also the risk of your investment products or monies not being protected if the custodian has credit problems or fails. Overseas markets may also have different periods for clearing and settling transactions. These may affect the information available to you regarding transaction prices and the time you have to settle your trade on such overseas markets.
- b) Overseas markets may be subject to rules which may offer different investor protection as compared to Singapore. Before you start to trade, you should be fully aware of the types of redress available to you in Singapore and other relevant jurisdictions, if any.
- c) Overseas-listed investment products may not be subject to the same disclosure standards that apply to investment products listed for quotation or quoted on an approved exchange in Singapore. Where disclosure is made, differences in accounting, auditing and financial reporting standards may also affect the quality and comparability of information provided. It may also be more difficult to locate up-to-date information, and the information published may only be available in a foreign language.

**Differences in legal systems**

- d) In some countries, legal concepts which are practiced in mature legal systems may not be in place or may have yet to be tested in courts. This would make it more difficult to predict with a degree of certainty the outcome of judicial proceedings or even the quantum of damages which may be awarded following a successful claim.
- e) The Monetary Authority of Singapore will be unable to compel the enforcement of the rules of the regulatory authorities or markets in other jurisdictions where your transactions will be effected.
- f) The laws of some jurisdictions may prohibit or restrict the repatriation of funds from such jurisdictions including capital, divestment proceeds, profits, dividends and interest arising from investment in such countries. Therefore, there is no guarantee that the funds you have invested and the funds arising from your investment will be capable of being remitted.
- g) Some jurisdictions may also restrict the amount or type of investment products that foreign investors may trade. This can affect the liquidity and prices of the overseas-listed investment products that you invest in.

**Different costs involved**

- h) There may be tax implications of investing in an overseas-listed investment product. For example, sale proceeds or the receipt of any dividends and other income may be subject to tax levies, duties or charges in the foreign country, in Singapore, or in both countries.
- i) Your investment return on foreign currency-denominated investment products will be affected by exchange rate fluctuations where there is a need to convert from the currency of denomination of the investment products to another currency, or may be affected by exchange controls.
- j) You may have to pay additional costs such as fees and broker's commissions for transactions in overseas exchanges. In some jurisdictions, you may also have to pay a premium to trade certain listed investment products. Therefore, 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.

**Counterparty and correspondent broker risks**

- k) Transactions on overseas exchanges or overseas markets are generally effected by your Singapore broker through the use of foreign brokers who have trading and/or clearing rights on those exchanges. All transactions that are executed upon your instructions with such counterparties and correspondent brokers are dependent on their respective due performance of their obligations. The insolvency or default of such counterparties and correspondent brokers may lead to positions being liquidated or closed out without your consent and/or may result in difficulties in recovering your monies and assets held overseas.

**Political, Economic and Social Developments**

- l) Overseas markets are influenced by the political, economic and social developments in the foreign jurisdiction, which may be uncertain and may increase the risk of investing in overseas-listed investment products.

**ACKNOWLEDGEMENT OF RECEIPT OF THIS RISK WARNING STATEMENT**

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

Signature of Account Holder / date

Signature of verifying officer

SIGN HERE

For OSPL's use only	CS	Done by:	ASD	Remark(s)
	Multiple Account(s)		Checked by:	

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To : OCBC Securities Private Limited  
18 Church Street  
#01-00 OCBC Centre South  
Singapore 049479

Dear Sir / Madam

Pursuant to SGX DC Rule 7.30 and the corresponding Practice Note 7.30, a customer may opt for 'Enhanced Customer Collateral Protection' (ECCP) in respect of non-relevant market transactions\* and/or OTCF\*\* contracts, by requesting that its Clearing Member designate any of the customer's customer accounts as an 'Applicable Customer Account'.

Please note the following information:

- a. OCBC Securities Private Limited will commence ECCP offerings from 1<sup>st</sup> June 2015 or such other date as may be determined by OCBC Securities Private Limited.
- b. No netting of margins between the Applicable Customer's Account and any other customer accounts of the customer apart from the Applicable Customer's Account (the "Non-Applicable Customer's account") are allowed.
- c. On top of the SGX-imposed margin add-on of 10%, OCBC Securities Private Limited will impose an additional 30-50% margin on the Applicable Customer's Account.
- d. OCBC Securities Private Limited will impose an administrative fee on customers who opt-in for the ECCP.

The detailed costs and benefits as documented in paragraphs 4.2 and 4.3 of the Practice Note are replicated below for your reference.

**4.2 ECCP provides the following key benefits:**

**a. Protection from fellow-customer risk**

*Non-Applicable Customers are technically exposed to a degree of risk in the default of another non-Applicable Customer. Section 60(1)(b) of the SFA and Regulation 24(1) of the Securities and Futures (Clearing Facilities) Regulations 2013 ("SFR (Clearing Facilities)") provide that the Clearing House may use Customer Collateral of non-Applicable Customers to meet obligations of a Clearing Member that arise from other non-Applicable Customers' contracts where certain conditions are met.*

*In contrast, Applicable Customers are protected from fellow-customer risk because SFR (Clearing Facilities) Regulation 24(2) provides that in the event of a default of a Clearing Member caused by a Customer, Collateral of a non-defaulting Applicable Customer will not be used to satisfy the obligations arising from the Contracts of such defaulting Customer. In the event of a default of a Clearing Member caused by an Applicable Customer, only the Collateral of such defaulting Applicable Customer will be used. Other Customers' Collateral will not be used.*

**b. Ease of porting**

*Clear identification of positions and associated Collateral in respect of each Applicable Customer Account enables Clearing House to accurately determine the minimum amount of Collateral each Applicable Customer has to deposit and will potentially expedite the porting of positions and associated Collateral in an event of default.*

**4.3 In consideration of the additional protection against fellow-customer risk that Applicable Customers receive, a margin add-on of 10% will be imposed on positions held in respect of Applicable Customer Accounts as compared to non-Applicable Customer Accounts. The differentiation in margining is required due to an Applicable Customer, as a corollary of obtaining protection from fellow-customer risk, no longer having the benefit of non-defaulting Customers sharing in the fulfilment of its obligations if it defaults. Higher margin is therefore required in respect of each Applicable Customer Account to maintain the existing level of safety in the clearing system.**

Without prejudice to any other agreement or document accepted or agreed by or between me with OCBC Securities Private Limited, I agree that OCBC Securities Private Limited reserves its right from time to time, to vary or modify the prevailing margin or fees without notice. Where I continue to remain opted-in for the ECCP, I shall be deemed to have agreed to such revised margin or fees without reservation.

My Selection as to whether to Opt-In for the Enhanced Customer Collateral Protection (the "Selection")

- ☐ **I wish to opt-in for the Enhanced Customer Collateral Protection**
- ☐ **I do not wish to opt-in for the Enhanced Customer Collateral Protection**

I understand that if I wish to change the Selection above, I am required to give OCBC Securities Private Ltd at least 60 days' prior written notice of my intention to change the Selection. A change of Selection will take effect no earlier than 60 days after the date I notify OCBC Securities Private Limited of my intention to change the Selection.

Name of Account Holder(s) : \_\_\_\_\_

NRIC / Passport no(s). : \_\_\_\_\_

Signature of account holder (For 1<sup>st</sup> applicant)/ Date

**SIGN HERE**

*\* Refers to a contract or transaction that is not listed or quoted for trading on the Exchange or any Relevant Market but shall not include any OTCF Contract or OTCF Transaction*

*\*\* Refers to a contract or transaction that is not listed or quoted for trading on the Exchange or any Relevant Market and relates to a financial derivative*

For official use (ASD)		
Done by:	Checked by:	Remark(s):

To : OCBC Securities Private Limited  
18 Church Street  
#01-00 OCBC Centre South  
Singapore 049479

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Name of Account Holder(s) : \_\_\_\_\_

NRIC / Passport no(s). : \_\_\_\_\_

Signature of account holder (For 2<sup>nd</sup> applicant)/ Date

SIGN HERE

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*\*\* Refers to a contract or transaction that is not listed or quoted for trading on the Exchange or any Relevant Market and relates to a financial derivative*

For official use (ASD)		
Done by:	Checked by:	Remark(s):



## **CME Non Professional Self Certification Form**

Based on the Subscriber's qualifications, Subscribers may be charged reduced Fees for Information. To qualify for the reduction in Subscriber Fees, Subscriber must be considered a "Non-Professional." **Non-Professional** shall mean and include either (i) an individual, natural person Subscriber(s) who, or (ii) certain small business entities (limited liability companies, partnerships, trusts or corporations) that, receive and use Information (excluding any pit traded data), in each case subject to the following restrictions:

### **The Non-Professional Subscriber**

- a) the Subscriber must have an active futures trading account;
- b) the Subscriber must not be a member (or hold or lease any type membership) of any exchange;
- c) the Subscriber does not have a primary business purpose that involves trading;
- d) the Subscriber must not be registered or qualified as a professional trader or investment adviser with any stock, commodities or futures exchange or contract market, or with any regulatory authority, professional association or recognized professional body; and
- e) the Subscriber must not be affiliated with any entity that is or may be considered a Professional User; and

### **The Non-Professional Subscriber's Use of Information**

- f) the Subscriber's use of Information must be solely for the Subscriber's personal, non-business use;
- g) the Subscriber's use of Information must be limited to managing the Subscriber's own property and, for the avoidance of doubt, not in connection with the management of any property of any third party(ies) in any capacity, whether as a principal, officer, partner, employee or agent of any business or on behalf of any other individual, and whether or not the Subscriber receives any remuneration therefor; and
- h) the Subscriber must not be acting on behalf of an institution that engages in brokerage, banking, investment, or financial activities; and

### **The Non-Professional Subscriber's Access to Information**

- i) the Subscriber has no more than two (2) means for accessing Information from each Distributor; and
- j) the Subscriber must view the Information only on a device that is capable of routing orders to the CME Globex Platform (an "Order Routing Device").

Any Subscriber who does not meet the qualifications of a Non-Professional or falls under the categories described below shall be considered a Professional. Notwithstanding anything else herein, Professionals shall include, without limitation:

- Any person or entity that provides financial or similar services to any third party.
- Any person that is registered or qualified as a professional trader or investment adviser with any stock, commodities or futures exchange or contract market, or with any regulatory authority, professional association or recognized professional body.
- Any person or entity that acts on behalf of an institution that engages in brokerage, banking, investment or financial activities.

- Any person or employee of an entity that holds any form of membership at any of the CME Group Designated Contract Markets (“DCM”) or any other exchange.

Notwithstanding anything herein, CME reserves the right in all cases to make a final determination as to whether a Subscriber is a Non Professional or a Professional. CME reserves the right to amend this policy or terminate reduced for fees for Non-Professionals at any time.

Subscribers who qualify as Non-Professionals should sign below and return this Self-Certification form to Distributor. Please note that this form may be subject to Distributor’s review and approval. Subscriber must notify Distributor as soon as is reasonably practicable in the event that Subscriber no longer qualifies as a Non- Professional.

I hereby certify that I qualify as a Non-Professional pursuant to the definition described herein:

**SUBSCRIBER**

Signature : \_\_\_\_\_

**SIGN HERE**

Name : \_\_\_\_\_

Date : \_\_\_\_\_

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- b) the Subscriber must not be a member (or hold or lease any type membership) of any exchange;
- c) the Subscriber does not have a primary business purpose that involves trading;
- d) the Subscriber must not be registered or qualified as a professional trader or investment adviser with any stock, commodities or futures exchange or contract market, or with any regulatory authority, professional association or recognized professional body; and
- e) the Subscriber must not be affiliated with any entity that is or may be considered a Professional User; and

### **The Non-Professional Subscriber's Use of Information**

- f) the Subscriber's use of Information must be solely for the Subscriber's personal, non-business use;
- g) the Subscriber's use of Information must be limited to managing the Subscriber's own property and, for the avoidance of doubt, not in connection with the management of any property of any third party(ies) in any capacity, whether as a principal, officer, partner, employee or agent of any business or on behalf of any other individual, and whether or not the Subscriber receives any remuneration therefor; and
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- Any person that is registered or qualified as a professional trader or investment adviser with any stock, commodities or futures exchange or contract market, or with any regulatory authority, professional association or recognized professional body.
- Any person or entity that acts on behalf of an institution that engages in brokerage, banking, investment or financial activities.

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I hereby certify that I qualify as a Non-Professional pursuant to the definition described herein:

**SUBSCRIBER**

Signature : \_\_\_\_\_

**SIGN HERE**

Name : \_\_\_\_\_

Date : \_\_\_\_\_

## SCHEDULE G – SERVICE AGREEMENT SUPPLEMENT BETWEEN CQG AND CUSTOMER

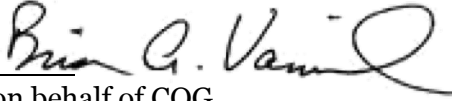
This agreement ("Agreement") is made between CQG, Inc. and its affiliates ("CQG") and the customer ("Customer") who completes the registration process to use CQG's electronic order routing service and related software (collectively, "Services") made available to Customer by or through OCBC Securities Pte Ltd ("OSPL") (the "Facilitator"). Services may include obtaining market data from financial markets, exchanges and other data providers (collectively, "Exchanges") as well as order routing. Exchanges, Brokers, Facilitator(s) and Service Providers are beneficiaries of this Agreement.

S/N	Fields	Input by Customer
1.	Customer name	
2.	Customer address (to include street address, region/state/country)	
3.	Customer Professional versus Non-Professional status	
4.	Customer account number	
5.	Customer email address	
6.	Exchange Enablements (including quantity enabled, where applicable)	

1. The following definition apply to this Agreement.
  - a. **"Market Data"** means information and data pertaining to futures contracts and options contracts or other instruments traded on the Exchanges as well as associated index data, that includes, without limitation, opening and closing range prices, high-low prices, settlement prices, current bid and ask prices, last sale prices, price limits, requests for quotations, estimated and actual contract volume data, text messages pertaining to market activity, contract specifications, fast or late messages and, as determined by each of the Exchanges, may include information respecting exchange-for-physical (EFP) or against actuals (AA) transactions. Market Data includes information, data and materials that are derived from the foregoing and that convey information to Customer that is substantially equivalent to Market Data.
  - b. **"ORS"** means the order routing system maintained by CQG that contains a suite of electronic order/trade routing services that can be used by OSPL and the Customers.
2. Customer agrees and gives its consent that CQG may collect, use, and disclose the data below only for the purposes of giving effect to this Agreement, which include facilitating support, the specific CQG Services contemplated in the CQG Service Agreement, and reporting to appropriate governing bodies, as required.
  - a. In circumstances where Customers obtain Market Data, the data will include:
    - i. Customer Name;
    - ii. Customer Address (to include region/state/country);

- iii. Customer Professional versus Non-Professional status; and iv. Subject to disclosure by the Customer, the data may include Customer phone number and Customer email address.
- b. In circumstances where Customers use ORS, the data will include:
  - i. Customer account number; and ii. Customer email address, where Customer uses CQG API.
- 3. Customer acknowledges and agrees to CQG's Privacy Policy, which is available at the CQG website
- 4. Customer's consent under Clause 2 may not be revoked where there are unsettled trades / orders between Customer and CQG.
- 5. If Customer gives notice revoking Customer's consent under Clause 2, but continues to place trades / orders, Customer agrees that Customer is deemed to have withdrawn the revocation and Customer's consent under Clause 2 shall remain valid.

WE, CQG, HEREBY AGREES TO BE BOUND BY ALL TERMS OF THIS AGREEMENT UPON THE CUSTOMER EXECUTING THIS AGREEMENT BELOW.

Brian Vancil, Vice-President   
Name of authorized signatory, on behalf of CQG

April 27, 2017  
Date

I, CUSTOMER, UNDERSTAND THIS AGREEMENT AND AGREE TO AND CONSENT TO BE BOUND BY ALL TERMS OF THIS AGREEMENT AND TO THIS TRANSACTION BEING CONDUCTED BY ELECTRONIC MEANS. CQG IS ALLOWING USE OF THE SERVICES IN CONSIDERATION OF CUSTOMER'S AGREEMENT TO THESE TERMS. IF CUSTOMER DOES NOT AGREE TO ALL TERMS OF THIS AGREEMENT, CUSTOMER MAY NOT ACCESS, USE OR INSTALL ANY OF THE SERVICES.

\_\_\_\_\_  
Name of Customer

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date

## SCHEDULE G – SERVICE AGREEMENT SUPPLEMENT BETWEEN CQG AND CUSTOMER

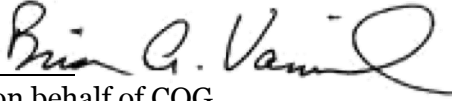
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S/N	Fields	Input by Customer
1.	Customer name	
2.	Customer address (to include street address, region/state/country)	
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Name of authorized signatory, on behalf of CQG

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\_\_\_\_\_  
Name of Customer

\_\_\_\_\_  
Signature

\_\_\_\_\_  
Date



All information is required unless stated

Subscriber:

Name/ Registered Name  
➤ as in our records

Trading Account No.  
➤ if any

Professional Status  
➤ tick your option  
☐ Professional  
☐ Non-Professional

1 Select Electronic Trading Platform please tick your option(s)

Trading Platforms		Add	Remove
Bloomberg	EMSX	<input type="checkbox"/>	<input type="checkbox"/>
CQG	CQG Desktop	<input type="checkbox"/>	<input type="checkbox"/>
	CQG QTrader	<input type="checkbox"/>	<input type="checkbox"/>
	CQG Mobile	<input type="checkbox"/>	<input type="checkbox"/>
Trading Technologies(TT)	TT Xtrader®	<input type="checkbox"/>	<input type="checkbox"/>
	TT Xtrader® Pro	<input type="checkbox"/>	<input type="checkbox"/>
Others		<input type="checkbox"/>	<input type="checkbox"/>

Note: By default, only **Futures contract** will be enable. Options to be available upon request .  
Subscription fees apply. Please refer to the Terms and Conditions.

2 Select the Market Data you are subscribing please circle your option(s)

Asia Pacific					
Exchange	Action	Exchange	Action	Exchange	Action
SGX	Add / Remove	BMD	Add / Remove	HKEX	Add / Remove
TOCOM	Add / Remove	OSE/TSE	Add / Remove	SFE	Add / Remove
				Others:	
US					
Exchange	Action	Exchange	Action	Exchange	Action
CME	Add / Remove	CBOT	Add / Remove	COMEX	Add / Remove
NYMEX	Add / Remove	ICE U.S.	Add / Remove	Others:	
Europe					
Exchange	Action	Exchange	Action	Exchange	Action
EUREX	Add / Remove	ICE EUROPE (COMMODITIES)	Add / Remove	ICE EUROPE (FINANCIAL)	Add / Remove
				Others:	

Note: Monthly subscription fee to be provided upon request and the fee may be applicable to certain exchanges and is subject to change from time to time.

3 Your acknowledgement and agreement

I/we have read, understood and agree to abide by all terms and conditions, including without limitation, the clauses governing Electronic Trading Services and the risk disclosure statements, as follows:

All information is required unless stated

- (a) OSPL Standard Trading Terms and Conditions ("STC") (A copy of the STC is available upon request or from iOCBC Website);
- (b) Terms and Conditions Governing Futures Margin and Options Trading and OTC Transactions (A copy of these terms is available upon request or from iOCBC Website);
- (c) Risk Disclosure Statement for Futures & Derivatives Trading ; and
- (d) General Terms and Conditions (Applicable to All Electronic Trading Platforms) ("GTC") (attached. A copy of these terms is also available upon request or from iOCBC Website), (collectively the "Agreements").

I/we acknowledge and accept the terms of the Agreements, to pay any applicable charges and that OSPL may at any time revise any of the Agreements.

I/we agree and consent to the collection, use and disclosure of personal data by OSPL, its subsidiaries, related corporations, associated companies, affiliates and business units, including all OCBC Group companies, as well as OSPL appointed service providers, agents, counterparty brokers, execution partners and exchanges in the manner and for the purposes as per the:

- (a) STC;
- (b) Terms and Conditions Governing Futures Margin and Options Trading and OTC Transactions
- (c) Futures and Derivatives Trading Supplementary Terms and Conditions;
- (d) GTC; and
- (e) The OCBC Data Protection Policy (A copy of this data protection policy is available at upon request or from iOCBC Website).

Signature of authorized :  
Signatories (as per "STC")

Date:

---

---

All information is required unless stated

## Subscriber:

Name/ Registered Name

➤ as in our records

Trading Account No.

➤ if any

Professional Status

➤ tick your option

☐ Professional☐ Non-Professional**1** Select Electronic Trading Platform *please tick your option(s)*

Trading Platforms		Add	Remove
Bloomberg	EMSX	<input type="checkbox"/>	<input type="checkbox"/>
CQG	CQG Desktop	<input type="checkbox"/>	<input type="checkbox"/>
	CQG QTrader	<input type="checkbox"/>	<input type="checkbox"/>
	CQG Mobile	<input type="checkbox"/>	<input type="checkbox"/>
Trading Technologies(TT)	TT Xtrader®	<input type="checkbox"/>	<input type="checkbox"/>
	TT Xtrader® Pro	<input type="checkbox"/>	<input type="checkbox"/>
Others		<input type="checkbox"/>	<input type="checkbox"/>

Note: By default, only **Futures contract** will be enable. Options to be available upon request .  
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**2** Select the Market Data you are subscribing *please circle your option(s)*

Asia Pacific					
Exchange	Action	Exchange	Action	Exchange	Action
SGX	Add / Remove	BMD	Add / Remove	HKEX	Add / Remove
TOCOM	Add / Remove	OSE/TSE	Add / Remove	SFE	Add / Remove
				Others:	
US					
Exchange	Action	Exchange	Action	Exchange	Action
CME	Add / Remove	CBOT	Add / Remove	COMEX	Add / Remove
NYMEX	Add / Remove	ICE U.S.	Add / Remove	Others:	
Europe					
Exchange	Action	Exchange	Action	Exchange	Action
EUREX	Add / Remove	ICE EUROPE (COMMODITIES)	Add / Remove	ICE EUROPE (FINANCIAL)	Add / Remove
				Others:	

Note: Monthly subscription fee to be provided upon request and the fee may be applicable to certain exchanges and is subject to change from time to time.

**3** Your acknowledgement and agreement

I/we have read, understood and agree to abide by all terms and conditions, including without limitation, the clauses governing Electronic Trading Services and the risk disclosure statements, as follows:

All information is required unless stated

- (a) OSPL Standard Trading Terms and Conditions ("STC") (A copy of the STC is available upon request or from iOCBC Website);
- (b) Terms and Conditions Governing Futures Margin and Options Trading and OTC Transactions (A copy of these terms is available upon request or from iOCBC website);
- (c) Risk Disclosure Statement for Futures & Derivatives Trading ; and
- (d) General Terms and Conditions (Applicable to All Electronic Trading Platforms) ("GTC") (attached. A copy of these terms is also available upon request or from iOCBC website), (collectively the "Agreements").

I/we acknowledge and accept the terms of the Agreements, to pay any applicable charges and that OSPL may at any time revise any of the Agreements.

I/we agree and consent to the collection, use and disclosure of personal data by OSPL, its subsidiaries, related corporations, associated companies, affiliates and business units, including all OCBC Group companies, as well as OSPL appointed service providers, agents, counterparty brokers, execution partners and exchanges in the manner and for the purposes as per the:

- (a) STC;
- (b) Terms and Conditions Governing Futures Margin and Options Trading and OTC Transactions
- (c) Futures and Derivatives Trading Supplementary Terms and Conditions;
- (d) GTC; and
- (e) The OCBC Data Protection Policy (A copy of this data protection policy is available at upon request or from iOCBC Website).

Signature of authorized :  
Signatories (as per "STC")

Date:

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## **General Terms and Conditions (Applicable to All Electronic Trading Platforms)**

1. These terms and conditions have been designed to be consistent with and not to supersede or otherwise alter any previous conditions, understandings, commitments or obligations between OSPL and you in the Agreements (defined below). Nevertheless, in the event of any conflict or inconsistency which relates to your access to and use of the Electronic Trading Facilities (defined in clause 2 below), the order of precedence shall be:
  - i. These terms and conditions;
  - ii. OSPL Standard Trading Terms and Conditions;
  - iii. The Terms and Conditions Governing Futures Margin and Options Trading and OTC Transactions;
  - iv. Futures and Derivatives Trading Supplementary Terms and Conditions;
  - v. Risk Disclosure Statement for Futures & Derivatives Trading; then
  - vi. The relevant Customer Trading Agreement (if any),  
(Collectively, the “Agreements”).

If any part of these terms and conditions become invalid, illegal or unenforceable in any respect under any law, the legality, validity and enforceability of the remaining provisions shall not in any way be affected or impaired.

2. All electronic trading platforms ("Electronic Trading Platforms") are supplied on an “as is”, “as available” basis. Except to the extent required by law, OCBC Securities Pte Ltd (“OSPL”) does not make any representation or warranty, expressed or implied, with respect to the Electronic Trading Platforms, the content therein and/or any relevant documentation (collectively the “Electronic Trading Facilities”), including without limitation:
  - i. warranties regarding the merchantability or fitness for any particular purpose;
  - ii. warranties as to accuracy, timeliness, adequacy or reliability of the Electronic Trading Facilities;
  - iii. that it will be compatible with any hardware or software, or the files on your browser and/or operating system;
  - iv. that is free of viruses, errors, defects or other harmful components, or that defects will be corrected or that it will operate without interruption;
  - v. that you will be able to access and/or use the Electronic Trading Facilities at any and all times and from any location; and
  - vi. That OSPL and/or the third party providing the relevant Electronic Trading Facilities (each a “Vendor”) will have adequate capacity for the relevant Electronic Trading Facility as a whole or in any geographic location.

All information is required unless stated

3. Without prejudice to any rights you may have at law which cannot legally be excluded or restricted, in no event will OSPL or the relevant Vendors be liable for any damages, whether in contract, in tort (including negligence) or otherwise (including, without limitation, damages for loss of business profits, business interruptions, loss of business information or data, loss of goodwill, special, indirect or consequential or other pecuniary loss or a third party claim), which arise directly or indirectly for any reason whatsoever in connection with the Electronic Trading Facilities, including any losses, damages or costs incurred as a result of:
- i. the use or inability to use (including prohibitions, restrictions, interruptions and delays in the use of) the Electronic Trading Facilities;
  - ii. actions taken in reliance of the Electronic Trading Facilities, including all content therein howsoever transmitted; and
  - iii. any system, hardware, software, telecommunications, server or connection failure, error, fault, inaccuracies, defect, omission, interruption, corruption, interception, delay in transmission, bug, computer virus, and other malicious, invasive, destructive or corrupting code, program or macros,

Even if OSPL has been advised of the possibility of such damages.

4. OSPL will not be liable for claims arising from the use of all order types, including in the execution or performance of any transaction which it is authorized to do pursuant to the conditions herein or otherwise requested by you, and/or any loss occurred from system outages. You are reminded and acknowledge that if you undertake transactions on an Electronic Trading Platform, you will be exposed to risks associated with the Electronic Trading Platform(s) and/or any other relevant system including without limitation the failure of hardware and software. The result of any system failure may be that your order is not executed according to your instructions or is not executed at all, or that you are delayed or prevented from entering or cancelling an order or receiving information through the Electronic Trading Facilities. OSPL shall not be liable for any losses arising out of any form of system failure or other unforeseen circumstances (e.g. power failure, terrorist acts, bombs, virus attacks, system bugs, etc) that causes any relevant server to malfunction, or for any losses arising from any inaccuracies or omissions of the Electronic Trading Platform(s) and/or any other relevant system.
5. In the event that you call in to cancel, amend or check your order, no claims arising from the cancellation / amendment of orders via call-in shall be entertained.
6. You acknowledge that you understand the risk associated with using the server based price triggered STOP orders. You are strongly advised to check the status of such orders after the close of the respective market(s), and you assume the responsibility of checking that the order is properly entered and triggered.
7. Unless otherwise agreed between OSPL and Customer, OSPL or the Customer may only terminate the access and use of any of the Electronic Trading Facilities by giving 60 days written notice to the other party.
8. You may not alter, modify or support, copy or otherwise reproduce, reverse engineer, decompile or disassemble the Electronic Trading Facilities.
9. The Electronic Trading Facilities made available to you directly or indirectly by OSPL remains exclusively owned by OSPL and/or the Vendors and may be protected by copyright laws, international treaty

provisions or other intellectual property laws. You are permitted to use the Electronic Trading Facilities strictly as set out herein.

10. Market conditions or operations of the rules of certain markets may increase risk of loss by market conditions making it difficult or impossible to effect transactions or liquidate or offset positions. If you have positions, this may increase the risk of loss.
11. OSPL reserves the rights to deactivate, suspend, limit, revoke and/or terminate access to or use of the relevant Electronic Trading Platform(s) (or part thereof), or disable exchange access (or part thereof) without notice or liability if there is no trading activity, or if there is an abuse of such Electronic Trading Platform(s), as determined solely by OSPL.
12. OSPL reserves the rights to impose or vary any fees, costs and charges from time to time for the access to and use of the Electronic Trading Facilities, or to any exchanges, and OSPL shall notify you of such fees or variation thereof by email or such other method of notification as OSPL may designate. You agree that your continued access to and use of the Electronic Trading Facilities after such variation constitutes an affirmative acknowledgement and agreement by you to pay such fees, costs and/or charges as imposed or varied by OSPL.
13. You acknowledge that the executed price from "Market Order" function may differ from your point of entry price due to liquidity depth and volatility of market at the instance of execution.
14. You acknowledge that the status for all working orders could be unknown when the relevant Electronic Trading Platform experiences any outage and that you should contact the Dealing Desk for confirmation regarding the status of your working orders.
15. Access to exchanges may be deactivated from your Electronic Trading Platform if there is no trading activity for that particular exchange for the previous 2 calendar months.
16. All working orders have to be cancelled for switching of Electronic Trading Platforms.
17. Accessing or using the Electronic Trading Facilities via a mobile connection (including via the Mobile trading app) may incur data fees from your mobile service provider. A suitable mobile data package plan is strongly recommended to minimise unnecessary cost from your service provider. You may experience price latencies due to the mobile networks (e.g. 3G / 4G) or other factors and shall not hold OSPL liable for any delay or price errors caused to your trade execution. Trading in mobile devices subject to network connectivity in the vicinity. You are advised to check with the Dealing Desk/respective platform service vendors where applicable for the status of order should there be uncertainties.
18. Notwithstanding the generality of clause 2 above, OSPL does not warrant that any access to the Electronic Trading Facilities via the internet and/or mobile connections (including via the Mobile trading app) will be free of malfunction. Notwithstanding the generality of clauses 3 and 4 above, you agree that by using the Mobile trading app, you will bear all risks and limitations associated with the internet and/or mobile connections, including overloads, delays, disconnections, conflicts, interruptions, disruptions, reduced speed and reduced functionality (including a malfunction of the Mobile trading app), and that OSPL will not be responsible for any errors in transmission, electronic or mechanical failure or corruption, computer viruses, bugs and/or other harmful or malicious software of any kind whatsoever that may be attributable to services provided by any relevant telecommunications carrier, network service provider, internet service provider or information service provider.

19. By using any of the Electronic Trading Platforms, you acknowledge and agree that OSPL does not and is not willing to assume any advisory, fiduciary or similar or other duties or act as investment adviser to you. You should make your own independent appraisal and investigation of all transactions and, where appropriate, consult your own independent legal, tax, and financial and other advisers before entering into any transaction. You should only enter into a transaction if you have fully understood its nature, the contractual relationship into which you are entering, and all relevant terms and conditions. You agree to enter into all transactions on the basis of your independent review and determination that the transactions are consistent with your objectives and are suitable investments for you in light of your financial position, investment objectives, investment experience and knowledge, and on the basis that you have fully understood the economic risks, merits and the legal, tax and accounting characteristics and consequences of the transactions, and that you are able to assume all risks.
20. By accessing and/or using any of the Electronic Trading Platforms, you acknowledge that OSPL will assist the relevant Vendor in carrying out and executing your orders, and you consent and authorise OSPL to debit from the trading account associated with you (as identified and provided to us in this application form) (the "Account") all fees, costs and charges incurred by you or on your behalf which are payable to the relevant Vendor in connection with your access to and use of the Electronic Trading Facilities provided by that Vendor. Such fees, costs and charges may include a monthly fee for each Electronic Trading Platform as well as the applicable Market Data Subscription Fee provided to you as notified to you from time to time by email or such other method of notification as OSPL may designate. Once deducted pursuant to an invoice received from OSPL or the relevant Vendor/Exchanges in respect of your access and/or use of the Electronic Trading Facilities, such fees, costs and charges will not be refundable notwithstanding that any such access or use of the Electronic Trading Facilities may be unauthorised or fraudulent. You undertake at all times to ensure that the Account contains sufficient funds for the purposes of fulfilling such payments due to the relevant Vendor(s). If at any time there are, in the reasonable opinion of OSPL (having regard to other payments debited or due to be debited), insufficient funds for such purposes, OSPL may, in its sole and absolute discretion and without notice or liability, suspend, limit, revoke, terminate and/or disable your access and/or use of the Electronic Trading Facilities (or part thereof).
21. OSPL may at any time revise any of the Agreements, including these terms and conditions, and OSPL shall notify you of such revision by email or such other method of notification as OSPL may designate. You agree that if you continue to access and/or use the Electronic Trading Facilities after such revision, you are deemed to have accepted the variation. If you do not accept the variation, you must terminate your access and use of the Electronic Trading Facilities in accordance with clause 7 above.
22. You acknowledge and agree that OSPL, and/or its subsidiaries, related corporations, associated companies, affiliates and business units, including all OCBC Group companies, as well as OSPL appointed service providers, agents, counterparty brokers, execution partners and exchanges (collectively "**OSPL Affiliates**") shall collect, use and disclose the information provided in this application form for the following purposes: to administer, facilitate and/or provide the Electronic Trading Facilities; for the daily operations of the Electronic Trading Facilities; to process, facilitate, carry out, fulfill, complete, confirm and/or execute orders, transactions or any other dealing effected through the Electronic Trading Platforms; to monitor the access to and use of the Electronic Trading Facilities; to carry out, process or respond to requests, instructions or inquiries; to authenticate and verify authorised use of the Electronic Trading Facilities, including verifying the identity of any individual validly authorised to access and/or use the Electronic Trading Facilities; to address or investigate any complaints, claims or disputes; for internal analytic purposes of OSPL and the relevant Vendors; for internal purposes or otherwise complying with policies and procedures that may be required by law or that may have been put in place by OSPL and/or the OSPL Affiliates from time to



time; to allow OSPL and/or the OSPL Affiliates, to meet their respective obligations to the relevant exchanges and other execution/clearing broker complying with any applicable rules, laws or regulations, regulatory policies, industry codes of practice or guidelines, judgments, orders, directions or requests issued by any court, legal, regulatory or self-regulatory bodies (including regulatory entities which govern the distribution of market data and order execution), exchanges and/or authorities, including but not limited to rules and regulations relating to anti-money laundering and countering the financing of terrorism and the carrying out of audit checks, surveillance and investigation; all purposes as set out in the OCBC Data Protection Policy (available upon request or from iOCBC Website) as updated, amended, revised or supplemented from time to time; and for any purpose which directly relates to any of the foregoing (collectively, the "Authorised Purposes").

23. You acknowledge and consent to OSPL disclosing the information provided in this application form, and any other information (including personal data as defined in the Personal Data Protection Act 2012 (No. 26 of 2012) of Singapore) which relates to you or your authorised representatives, directors, officers and/or agents to any relevant Vendor upon demand, provided that such disclosure is necessary for the provision of or to facilitate your access to and/or use of the relevant Electronic Trading Facility or for any of the Authorised Purposes.
24. Where CQGTrader or QTrader trading platforms are selected, you are required to enter into separate agreement(s) with CQG, which will set out separate terms and conditions (each such agreement a "Customer Trading Agreement"). You acknowledge that in such instances, you will have a direct contractual relationship with CQG, and you are advised to seek the appropriate legal advice prior to the entering into of the separate agreement(s) with CQG. OSPL does not warrant, represent, or undertake the performance of any obligations owing from CQG to you pursuant to the said separate agreement(s).

*Applicable for CME Market data subscriber*

## CME Non Professional Self Certification Form

Based on the Subscriber's qualifications, Subscribers may be charged reduced Fees for Information. To qualify for the reduction in Subscriber Fees, Subscriber must be considered a "Non-Professional." **Non-Professional** shall mean and include either (i) an individual, natural person Subscriber(s) who, or (ii) certain small business entities (limited liability companies, partnerships, trusts or corporations) that, receive and use Information (excluding any pit traded data), in each case subject to the following restrictions:

### The Non-Professional Subscriber

- a) the Subscriber must have an active futures trading account;
- b) the Subscriber must not be a member (or hold or lease any type of membership) of any exchange;
- c) the Subscriber does not have a primary business purpose that involves trading;
- d) the Subscriber must not be registered or qualified as a professional trader or investment adviser with any stock, commodities or futures exchange or contract market, or with any regulatory authority, professional association or recognized professional body; and
- e) the Subscriber must not be affiliated with any entity that is or may be considered a Professional User; and

### The Non-Professional Subscriber's Use of Information

- f) the Subscriber's use of Information must be solely for the Subscriber's personal, non-business use;
- g) the Subscriber's use of Information must be limited to managing the Subscriber's own property and, for the avoidance of doubt, not in connection with the management of any property of any third party(ies) in any capacity, whether as a principal, officer, partner, employee or agent of any business or on behalf of any other individual, and whether or not the Subscriber receives any remuneration therefor; and
- h) the Subscriber must not be acting on behalf of an institution that engages in brokerage, banking, investment, or financial activities; and

### The Non-Professional Subscriber's Access to Information

- i) the Subscriber has no more than two (2) means for accessing Information from each Distributor; and
- j) the Subscriber must view the Information only on a device that is capable of routing orders to the CME Globex Platform (an "Order Routing Device").

Any Subscriber who does not meet the qualifications of a Non-Professional or falls under the categories described below shall be considered a Professional. Notwithstanding anything else herein, Professionals shall include, without limitation:

- Any person or entity that provides financial or similar services to any third party.
- Any person that is registered or qualified as a professional trader or investment adviser with any stock, commodities or futures exchange or contract market, or with any regulatory authority, professional association or recognized professional body.
- Any person or entity that acts on behalf of an institution that engages in brokerage, banking, investment or financial activities.
- Any person or employee of an entity that holds any form of membership at any of the CME Group Designated Contract Markets ("DCM") or any other exchange.

All information is required unless stated

- Notwithstanding anything herein, CME reserves the right in all cases to make a final determination as to whether a Subscriber is a Non Professional or a Professional. CME reserves the right to amend this policy or terminate reduced for fees for Non-Professionals at any time.

Subscribers who qualify as Non-Professionals should sign below and return this Self-Certification form to Distributor. Please note that this form may be subject to Distributor's review and approval. Subscriber must notify Distributor as soon as is reasonably practicable in the event that Subscriber no longer qualifies as a Non-Professional.

I hereby certify that I qualify as a Non-Professional pursuant to the definition described herein: **SUBSCRIBER**

Name of Account Holder(s) : \_\_\_\_\_

NRIC / Passport no(s). : \_\_\_\_\_

Signature of Account Holder / Date

Sign Here

*Applicable for CME Market data subscriber*

## CME Non Professional Self Certification Form

Based on the Subscriber's qualifications, Subscribers may be charged reduced Fees for Information. To qualify for the reduction in Subscriber Fees, Subscriber must be considered a "Non-Professional." **Non-Professional** shall mean and include either (i) an individual, natural person Subscriber(s) who, or (ii) certain small business entities (limited liability companies, partnerships, trusts or corporations) that, receive and use Information (excluding any pit traded data), in each case subject to the following restrictions:

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- b) the Subscriber must not be a member (or hold or lease any type of membership) of any exchange;
- c) the Subscriber does not have a primary business purpose that involves trading;
- d) the Subscriber must not be registered or qualified as a professional trader or investment adviser with any stock, commodities or futures exchange or contract market, or with any regulatory authority, professional association or recognized professional body; and
- e) the Subscriber must not be affiliated with any entity that is or may be considered a Professional User; and

### The Non-Professional Subscriber's Use of Information

- f) the Subscriber's use of Information must be solely for the Subscriber's personal, non-business use;
- g) the Subscriber's use of Information must be limited to managing the Subscriber's own property and, for the avoidance of doubt, not in connection with the management of any property of any third party(ies) in any capacity, whether as a principal, officer, partner, employee or agent of any business or on behalf of any other individual, and whether or not the Subscriber receives any remuneration therefor; and
- h) the Subscriber must not be acting on behalf of an institution that engages in brokerage, banking, investment, or financial activities; and

### The Non-Professional Subscriber's Access to Information

- i) the Subscriber has no more than two (2) means for accessing Information from each Distributor; and
- j) the Subscriber must view the Information only on a device that is capable of routing orders to the CME Globex Platform (an "Order Routing Device").

Any Subscriber who does not meet the qualifications of a Non-Professional or falls under the categories described below shall be considered a Professional. Notwithstanding anything else herein, Professionals shall include, without limitation:

- Any person or entity that provides financial or similar services to any third party.
- Any person that is registered or qualified as a professional trader or investment adviser with any stock, commodities or futures exchange or contract market, or with any regulatory authority, professional association or recognized professional body.
- Any person or entity that acts on behalf of an institution that engages in brokerage, banking, investment or financial activities.
- Any person or employee of an entity that holds any form of membership at any of the CME Group Designated Contract Markets ("DCM") or any other exchange.

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I hereby certify that I qualify as a Non-Professional pursuant to the definition described herein: SUBSCRIBER

Name of Account Holder(s) : \_\_\_\_\_

NRIC / Passport no(s). : \_\_\_\_\_

Signature of Account Holder / Date

Sign Here

## 非专业人员自我证明书

您（“订阅人”）从 CME（芝加哥商品交易所）授予的许可下的经销商（“经销商”）处获得 CME 和其他第三方的市场数据（“市场数据”）。根据订阅人的资格条件，可能会降低就 CME 和其他第三方的市场数据向订阅人收取市场数据费的标准。为了符合降低收费标准的资格条件，订阅人必须被视为“非专业人员”。

非专业人员是指并包括获得和使用市场数据（不包括任何场内交易数据）并受到下列限制的(i) 自然人订阅人，或(ii) 某些小型商业实体（有限责任公司、合伙、信托或法人）：

### 非专业订阅人

- a) 订阅人必须拥有一个活跃的期货交易账户；
- b) 订阅人不得是任何交易所的会员（亦不得拥有或租用任何交易所的任何一类会员资格）；
- c) 订阅人的主要业务经营目的并不涉及交易；
- d) 订阅人不得是在任何证券交易所、商品交易所、期货交易所、合约市场或者任何监管机构、专业协会或经认可的专业机构登记或获得资格认证的专业交易员或投资顾问；并且 e) 订阅人不得隶属于任何属于或被视为属于专业用户的实体；以及

### 非专业订阅人对市场数据的使用

- f) 订阅人仅可将市场数据用于订阅人的个人非商业用途；
- g) 订阅人使用市场数据的目的必须以管理订阅人的自有财产为限，而且，为避免疑义，其不得以任何身份将市场数据用于管理任何第三方的任何财产，而不论是以本人的身份、任何企业的高级职员、合伙人、雇员或代理人的身份还是作为任何其他个人之代表的身份行事，亦不论是否为此收取任何报酬；并且
- h) 订阅人不得代表从事经纪、银行、投资或金融活动的机构行事；以及

### 非专业订阅人对市场数据的获取

- i) 订阅人从每一经销商处获取市场数据的渠道不得超过两（2）条；并且

- j) 订阅人只能在能将订单传送到 CME Globex 平台的设备（“订单传送设备”）上浏览市场数据。

不符合非专业人员的资格条件或者属于下述类型的任何订阅人，均应被视为专业人员。

不管本文件中有何其他规定，专业人员包括但不限于：

- 向任何第三方提供金融或类似服务的任何人或实体。
- 在任何证券交易所、商品交易所、期货交易所、合约市场或者任何监管机构、专业协会或经认可的专业机构登记或获得资格认证为专业交易员或投资顾问的任何人。
- 代表从事经纪、银行、投资或金融活动的机构行事的任何人或实体。
- 在 CME 集团的任何指定合约市场（“DCM”）或任何其他交易所拥有任何形式的会员资格的任何人，或者拥有此等会员资格的某一实体的任何雇员。

不管本文件中有何规定，在各种情况下，CME 均保留对某一订阅人是否是非专业人员还是专业人员作出最终认定的权利。CME 保留随时修订本政策或者终止对非专业人员降低收费标准的做法的权利。

符合非专业人员的资格条件的订阅人应在下方签字，然后将本自我证明书交还给经销商。请注意，本证明书可能要由经销商审批。如果订阅人不再符合非专业人员的资格条件，则其必须在合理可行的范围内尽快通知经销商。

本人特此证明，按照本文件中所作的界定，本人符合非专业人员的资格条件。

订阅人

姓名

:

\_\_\_\_\_  
身份

证号码（NRIC/护照号） :

\_\_\_\_\_

账户所有者签名 / 日期

签名



## 非专业人员自我证明书

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非专业人员是指并包括获得和使用市场数据（不包括任何场内交易数据）并受到下列限制的(i) 自然人订阅人，或(ii) 某些小型商业实体（有限责任公司、合伙、信托或法人）：

### 非专业订阅人

- a) 订阅人必须拥有一个活跃的期货交易账户；
- b) 订阅人不得是任何交易所的会员（亦不得拥有或租用任何交易所的任何一类会员资格）；
- c) 订阅人的主要业务经营目的并不涉及交易；
- d) 订阅人不得是在任何证券交易所、商品交易所、期货交易所、合约市场或者任何监管机构、专业协会或经认可的专业机构登记或获得资格认证的专业交易员或投资顾问；并且 e) 订阅人不得隶属于任何属于或被视为属于专业用户的实体；以及

### 非专业订阅人对市场数据的使用

- f) 订阅人仅可将市场数据用于订阅人的个人非商业用途；
- g) 订阅人使用市场数据的目的必须以管理订阅人的自有财产为限，而且，为避免疑义，其不得以任何身份将市场数据用于管理任何第三方的任何财产，而不论是以本人的身份、任何企业的高级职员、合伙人、雇员或代理人的身份还是作为任何其他个人之代表的身份行事，亦不论是否为此收取任何报酬；并且
- h) 订阅人不得代表从事经纪、银行、投资或金融活动的机构行事；以及

### 非专业订阅人对市场数据的获取

- i) 订阅人从每一经销商处获取市场数据的渠道不得超过两（2）条；并且

- j) 订阅人只能在能将订单传送到 CME Globex 平台的设备（“订单传送设备”）上浏览市场数据。

不符合非专业人员的资格条件或者属于下述类型的任何订阅人，均应被视为专业人员。

不管本文件中有何其他规定，专业人员包括但不限于：

- 向任何第三方提供金融或类似服务的任何人或实体。
- 在任何证券交易所、商品交易所、期货交易所、合约市场或者任何监管机构、专业协会或经认可的专业机构登记或获得资格认证为专业交易员或投资顾问的任何人。
- 代表从事经纪、银行、投资或金融活动的机构行事的任何人或实体。
- 在 CME 集团的任何指定合约市场（“DCM”）或任何其他交易所拥有任何形式的会员资格的任何人，或者拥有此等会员资格的某一实体的任何雇员。

不管本文件中有何规定，在各种情况下，CME 均保留对某一订阅人是否是非专业人员还是专业人员作出最终认定的权利。CME 保留随时修订本政策或者终止对非专业人员降低收费标准的做法的权利。

符合非专业人员的资格条件的订阅人应在下方签字，然后将本自我证明书交还给经销商。请注意，本证明书可能要由经销商审批。如果订阅人不再符合非专业人员的资格条件，则其必须在合理可行的范围内尽快通知经销商。

本人特此证明，按照本文件中所作的界定，本人符合非专业人员的资格条件。

订阅人

姓名

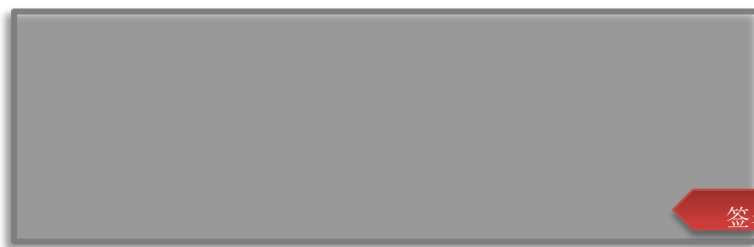
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账户所有者签名 / 日期



签名

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### Factual Risk Summary

#### INSTRUCTIONS:

Please read through this factual risk summary and make sure you understand what you have read before going on with the account application form.

#### Please be reminded:

Trading in foreign exchange and futures contracts do not generally involve physical delivery. You generally either earn a profit or suffer a trading loss when the transaction you enter into is either settled or closed out.

It is also generally the case that for foreign exchange and futures contracts, losses and profits are accounted for at least on a daily basis:-

- I. Where a transaction is closed out within the same day, that profit or loss is “realised” – i.e. you actually either suffer the loss or get the profit; and
- II. When the transaction is not closed out within the same day, the “profit” or “loss” is notional and is relevant to decide whether you have or would still have enough margin to allow the transaction to be held open (if that is your decision). If the notional “loss” as a matter of arithmetic calculation reduces the margin you have with us below the required maintenance level, you will need to provide additional margin for you to keep your position open, failing which we have the right to close out your transaction and realise the “loss” to and for your account.

Both foreign exchange and futures transactions are done on a margin basis and therefore involve leverage. As noted in the risk disclosures provided to you, **leverage necessarily multiplies both the amount you can lose when a market moves against you as well as the amount of profit you can make.**

While the risk associated with futures or foreign exchange transactions can be generally gauged and there are loss limiting steps you can take, you must still note and accept:

- I. The loss limiting steps cannot guarantee that loss will indeed be limited since every such loss limiting step assumes that it is possible to close out and realise loss at a particular market price. This is not always possible – liquidity in the market can be limited or non-existent for particular futures contracts or currency pairs; and the market can move beyond your intended close out price before your position can be closed out; and
- II. The actual profit you may realise is unpredictable.

Before you trade in any foreign exchange or futures contracts, you need to determine both:

- a. how much risk appetite you actually have; and
- b. how much loss you can actually afford to suffer

because the time horizon for any specific foreign exchange or futures contract transaction is generally very short, and particularly with foreign exchange transactions, within hours if not minutes.

Unless you have need to hedge a particular exposure with respect to the underlying subject matter of a futures contract; or a particular currency risk (neither of which is generally relevant if you will be trading and closing out transactions regularly), trading in futures contracts and foreign exchange transactions will generally mean that you are trading in hope of making speculative profit based on market price movements **BUT at the risk of losses that can exceed your money and other assets placed with your broker.**

## Declaration and Agreement

### GENERAL

In consideration of OSPL processing our application to open any account and/or for any facilities or services in our name as requested in this application, We hereby declare, warrant and agree:-

- a. We confirm that all the information We have provided is true, accurate and complete and We have not withheld any information. We undertake to keep OSPL informed in writing, within 30 days, of any changes in circumstances that may cause any of the information in this application to become incorrect or incomplete and also undertake to provide any other additional information as may be required by OSPL and/or applicable law;
- b. that we have read, understood and agree to the terms and conditions set out in this application, the OSPL Standard Trading Terms and Conditions and OSPL Terms and Conditions governing Futures Margin and Options Trading and OTC Transactions (collectively, the "OSPL Terms and Conditions") (as such terms and conditions may be amended from time to time);
- c. that We have read, understood and agree to the Futures Margin & Options Trading & OTC Transactions Supplementary Terms and Conditions;
- d. to the disclosure by OSPL and/or any officer or agent of OSPL 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 OSPL to any person and for any purpose described in the clauses under paragraph 24 of the OSPL Standard Trading Terms and Conditions;
- e. (We) (where personal data relating to us are or will be collected (including by way of recorded voice calls), used or disclosed by OSPL and its related corporations (collectively, the "OCBC Group") and / or their respective business partners and agents (collectively, the "OCBC Representatives") that We further agree and consent to the terms of OSPL's Data Protection Policy, available upon request or from iOCBC Website (iOCBC Website > Support > Policies);  
(ii) (where personal data relating to any of the Individuals (as defined herein) is or will be collected (including by way of recorded voice calls), used or disclosed by the OCBC Group and / or the OCBC Representative) that We confirm that with respect to any personal data of individuals (the "Individuals") disclosed to the OCBC Group and / or the OCBC's representatives, the Individuals to whom the personal data relates to have agreed and consented to the terms of OSPL's Data Protection Policy, available upon request or from iOCBC Website (iOCBC Website > Support > Policies)
- f. We further agree and consent to the terms of OSPL's (I) FATCA Policy and (II) CRS Policy, available upon request or from iOCBC Website (iOCBC Website > Support > Policies), which may require the reporting of information supplied by us to relevant tax authorities;
- g. that We shall supply any additional information and documentary proof as OSPL 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 OSPL;
- h. that We will execute all documents and instruments (including any security documents) and do all acts and things as may be required by OSPL in connection with the processing of this application and the opening, operation and maintenance of any account or facility or service established with OSPL;
- i. (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 OSPL;
- j. that our signature(s) appearing in the application form is our specimen signature(s) which OSPL is authorized to rely upon when effecting our instructions; We further agree that such instructions bearing our signatures will be valid and effective for all intents and purposes;
- k. that We understand that OSPL has the right not to approve this application at its absolute discretion. We understand that in the event that our application is rejected, OSPL is not under any obligation whatsoever to render us any reason or explanation;
- l. 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/or the 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 OSPL is required under the prevailing SGX rules and regulations to report all delinquent and disputed accounts to SGX. We hereby authorize OSPL 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
- m. that We am fully aware of the risks involved (including without limitation the risk of unauthorized trading and the risk of our account(s) and/or moneys being lost, misappropriated or otherwise mishandled by our TR) in the event that We choose to or continue to use "care-of" address, "P.O. Box" address or TR's address as provided by us as our mailing address (the "Risks") in relation to any of our accounts opened and maintained with OSPL (whether jointly or otherwise). As such, if We choose to or continue to use "care-of" address, "P.O. Box" address or TR's address as provided by us as our mailing address, We agree and confirm that OSPL has the absolute discretion (from time to time) not to allow any documents, notes, forms or notices (including without limitation contract notes and statements) in relation to any of our accounts opened and maintained with OSPL (whether jointly or otherwise) (the "Relevant Documents") to be sent to such "care-of" address, "P.O. Box" address or TR's address and in such a case, it is our duty to promptly provide OSPL with our proper registered address as the mailing address in order for OSPL to send the Relevant Documents to us OSPL shall not be held responsible or liable for any actions, proceedings, liabilities, claims, demands, losses, damages, charges, costs and expenses incurred or suffered by us or any other parties by reason of or otherwise in connection with or arising in any way whatsoever out of our failure or delay in providing a proper registered address as our mailing address. Notwithstanding anything to the contrary, even if OSPL (in its absolute discretion) allows the Relevant Documents to be sent to the "care-of" address, "P.O. Box" address or TR's address as provided by us or if We so choose or insist to have the Relevant Documents sent to the "care-of" address, "P.O. Box" address or TR's address as provided by us, We authorize OSPL to send the Relevant Documents to such "care-of" address, "P.O. Box" address or TR's address as provided by us and We acknowledge and confirm that We am fully aware of the Risks and We shall not hold OSPL responsible or liable to us in anyway whatsoever for any actions, proceedings, liabilities, claims, demands, losses, damages, charges, costs and expenses incurred or suffered by us or any other parties by reason of or otherwise in connection with or arising in any way whatsoever out of OSPL sending any Relevant Documents to the "care-of" address, "P.O. Box" address or TR's address as provided by us Further, We irrevocably and unconditionally agree at all times to fully indemnify and save harmless OSPL from and against any and all actions, proceedings, liabilities, claims, demands, losses, damages, charges, costs and expenses (including legal expenses on full indemnity basis) of whatever nature which OSPL may at any time and from time to time sustain, incur or suffer by reason of or otherwise in connection with or arising in any way whatsoever out of OSPL sending any Relevant Documents to the "care-of" address, "P.O. Box" address or TR's address as provided by us.

## Guide And Cautionary Notes In Applying For/Continuing With A Futures & Leveraged Forex Account With OCBC Securities – "Guide"

Many thanks for your interest in opening an account with OCBC Securities for the trading of futures and/or leveraged forex contracts ("the Account"). We provide this Guide and Cautionary Notes in the interest of transparency and fair dealing with you. It is designed to assist you in with respect to the Account in:

- I. understanding the types of services we offer; and their respective limits; and
- II. with that understanding, deciding on whether to use, and if so, which of our service or services to use.

While there are common terms governing all of our services – as you will note from a study of our general terms for conduct of our businesses - the terms specific to each service will vary.

### Who Are We And What Services Can We Provide?

We are the holder of a capital markets services license ("CMS license") under the Securities and Futures Act of Singapore (the "SFA") for the carrying out of the following activities regulated under the SFA:

- Dealing in Securities
- Securities Financing
- Trading in Futures Contract
- Leveraged Forex
- Providing Custodial Services for Securities

Because we hold a CMS license for the regulated activities set out above, we are also entitled to be, and are, registered as an exempt financial adviser ("EFA") under the Financial Advisers Act of Singapore (the "FAA") for the carrying out of financial advisory services as defined under the FAA or its regulations.

### What Services Are Available To You From Us?

We provide basically three levels of service:

- I. execution only;
- II. dealing with execution related advice ("ERA"); and
- III. dealing with advice under a formal advisory agreement ("Paid Advice").

ERA is specifically defined by our regulators as advice or recommendation that we provide with no additional payment made to us apart from any fee that we may earn from your actually dealing (i.e. buying/selling) in investment products with or through us. We refer to such advice or recommendation as free advice or recommendation.

## Types of Services for Excluded Investment Product and Specified Investment Products

### 1. Excluded Investment Products ("EIPs")

#### 1.1 What are EIPs?

EIPs means any capital markets products that belong to a class of capital markets products listed in the Schedule to the Securities and Futures (Capital Markets Products) Regulations 2018.

**List of EIPs :** Shares/Fully Paid Depository Receipts representing shares/Subsorption rights pursuant to rights issues/Company warrants/Units in Business Trusts/Units in Real Estate Investment Trusts/Debentures (other than asset-backed securities & structured notes)/Exchange traded funds that are classified as EIPs.

EIPs<sup>1</sup> are less complex products which are already established in the market and are generally well understood by retail investors.

#### Please note that EIPs are not available for trading through the Account.

If you would like to trade in EIPs through us, you must distinctly open a securities trading account with us. For more information, please contact our customer service hotline at 1800 338 8688.

### 2. Specified Investment Products ("SIPs")

#### 2.1 What are SIPs?

SIPs are (for the purposes of our dealing services available to you as a CMS license holder) capital markets products that are not EIPs. SIPs include any investment products that are only listed on an overseas exchange.

SIPs are then further divided into three general types –

- a. those listed solely on a securities or futures exchange outside of Singapore;
- b. those listed on a securities or futures exchange in Singapore; and
- c. those that are not listed on any securities or futures exchange.

Futures contracts are classified as listed SIPs, and contracts for leveraged forex are classified as unlisted SIPs.

#### 2.2 What is the service available for SIPs?

For dealings in Specified Investment Products ("SIPs"), all three levels of services are (depending on your circumstances and the circumstances of your particular transacting in SIPs) available options **but only** if you are not an accredited or expert investor as defined below.

If you are an accredited or expert investor as defined below, our services are limited to execution only services only; and/or dealing with Paid Advice only.

If you are a natural person and are **not** an accredited or expert investor as defined below, then you will be regarded as a Retail Client . Please see below under the heading of "Retail Client " for the services that we will offer you.

<sup>1</sup>See MAS press release on 28 July 2011 titled MAS Requires Intermediaries to Assess Investment Knowledge and Experience of Retail Customers.

**Retail Client**

Depending on whether a Retail Client wishes to deal in listed or unlisted SIPs, he will first need to pass respectively a Customer Account Review ("CAR") and/or a Customer Knowledge Assessment ("CKA") before he may be permitted to begin or continue trading in the relevant SIP. In such a case you would also have been provided with a Client Investment Profile questionnaire (the "CIP") together with our request that you properly complete that CIP and return the properly completed CIP to us.

**CIP Response**

If you, as a Retail Client, have passed the CAR and/or CKA as applicable, you are actually regarded as competent to understand the nature and risks of the SIP products you will be dealing or continue to deal in. Despite that, it is our policy for us to secure information on your ability and willingness to accept the risks inherent in trading in leveraged forex and/or futures contracts (as relevant) and your investment objectives for our own internal satisfaction that the competence you may be regarded as having in choosing to apply for an Account is not patently at odds with your actual and declared ability and willingness to accept the risks inherent in trading in leveraged forex and/or futures contracts (as relevant) read in the context of your declared investment objectives. The information we seek from you is as set out in our CIP.

**Where you do not complete and/or return the CIP to us, as notified in the CIP provided to you, you must note that you will not be permitted to trade SIPs with us.**

Where you properly complete and return the CIP to us, then, if the information provided in the CIP is not patently at odds with the risks inherent and investment objectives consistent in trading in leveraged exchange and/or futures contracts (as relevant):

We will ensure that such free advice or recommendation that may be provided to you by us from time to time will be reasonably consistent with the information you provide in the CIP with regard to your suitability; but it remains your choice to choose whether you wish to follow or not.

Where you choose not to follow the advice or recommendation we will assume that you have made your own informed determination not to follow the advice or recommendation and **instead are accepting** sole responsibility for determining the merits or suitability of any and all transactions that you may enter into contrary to the advice or recommendation given to you.

**Generally Circulating Materials and Resources Warning**

**Please also note that you may be provided or given access to resources or materials that are intended to be for general circulation. The materials intended for general circulation will have an express notice accompanying the materials to that effect. Such resources and materials are provided with the sole aim of enabling you to manage and control your own investments and this means also that you need to be** able and willing to accept sole responsibility for ensuring the merits and suitability of any and all investments that you may make with or through us before making any investment or effecting any transaction with or through us. None of the advice or recommendation appearing in such generally-circulated materials and resources should be taken by you as intended for you specifically to rely on. They are provided expressly subject to the exemption notice and disclaimer against such effect accompanying the materials.

**Accredited And Expert Investor:**

Please be reminded as noted above that, under the FAA, we are expressly exempted from assuming and will not assume (short of an express and formal agreement otherwise) any suitability obligation or any obligation to provide product information to any person who is either an accredited investor or an expert investor.

For convenience of reference, we set out below the relevant definition of "accredited investor" and "expert investor" respectively.

**(a) "Accredited Investor" means —****(i) an individual —**

(A) whose net personal assets exceed in value \$2 million (or its equivalent in a foreign currency) or such other amount as the Authority may prescribe in place of the first amount;

(B) whose financial assets (net of any related liabilities) exceed in value \$1 million (or its equivalent in a foreign currency) or such other amount as the Authority may prescribe in place of the first amount, where "financial asset" means —

(BA) a deposit as defined in section 4B of the Banking Act;

(BB) an investment product as defined in section 2(1) of the Financial Advisers Act; or

(BC) any other asset as may be prescribed by regulations made under section 341; or

(C) whose income in the preceding 12 months is not less than \$300,000 (or its equivalent in a foreign currency) or such other amount as the Authority may prescribe in place of the first amount;

**(ii) a corporation with net assets exceeding \$10 million in value (or its equivalent in a foreign currency) or such other amount as the Authority may prescribe, in place of the first amount, as determined by —**

(A) 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;

(iii) the trustee of such trust as the Authority may prescribe, when acting in that capacity; or

(iv) such other person as the Authority may prescribe.

**(b) "Expert Investor" means —**

(i) a person whose business involves the acquisition and disposal, or the holding, of capital markets products, whether as principal or agent;

(ii) the trustee of such trust as the Authority may prescribe, when acting in that capacity; or

(iii) such other person as the Authority may prescribe.

**ELECTRONIC TRADING – THIRD PARTY SOFTWARE OR TECHNOLOGY PROVIDER**

1. In consideration of OCBC Securities Pte Ltd (“OSPL”) providing you access, at its discretion, to certain electronic services (“Services”) of the third party software and/or technology provider, whose products and services assist us in providing you the trading platform (“Third Party System”) for the purposes of conducting transactions in futures margin and options and leveraged foreign exchange including over-the-counter transactions, you agree to be bound by the following additional terms and conditions (“Terms herein”). If you do not agree with the Terms herein, you should not utilise the Third Party System and the services thereunder.
2. You agree that:
  - i. the term “Electronic Trading Service” referred to in Section A of the General Terms and Conditions shall include such services stated in the definition which are provided by any third party software and/or technology provider with whom OSPL had contracted;
  - ii. neither the third party software and/or technology provider nor any of its affiliates shall be liable or responsible to you for any inability to access the Third Party System or the Services, whether as a result of error, malfunction or breakdown of the Third Party System or for any third party resources used by you to access the Services;
  - iii. we have your approval to disclose your identity to the third party software and/or technology provider;
  - iv. the third party software and/or technology provider shall not be liable to you for, and you will not bring any legal action, whether in tort, contract or otherwise, against the third party software and/or technology provider alleging damages for, the failure by us or any counterparty to perform or otherwise settle a transaction entered by you using the Services.
  - v. Neither the third party software and/or technology provider nor any of its affiliates will have any obligation or responsibility to you (i) in respect of any transaction document to which it is not a party (ii) in respect of requiring us or any counterparty to enter into and maintain in force any transaction document to which it is not a party or (iii) to assist in any way in respect of compliance by us or any counterparty with any such transaction documentation or the interpretation or enforcement of the obligations of any party under such transaction documentation;
  - vi. the third party software and/or technology provider is a third party beneficiary of the Terms herein and this letter agreement shall, at the request of the third party software and/or technology provider, be made available for its review.



**SGX FTSE/XINHUA INDICES  
5400 INTELLECTUAL PROPERTY RIGHTS AND DISCLAIMERS**

**A. FTSE/XINHUA Index Limited Disclaimer**

The Exchange has entered into a licensing agreement with FTSE/XINHUA Index Limited ("FXI") to use the FTSE/Xinhua Indices (including but not limited to the China A50 Index) (the "FTSE/Xinhua Indices"). FXI owns rights in FTSE/Xinhua Indices and the proprietary data contained therein.

"Xinhua" and "新華" are service marks and trademarks of the Xinhua Financial Network Limited and are used by FXI under licence. "FTSE" is a trademark of the London Stock Exchange Plc and the Financial Times Limited and is used by FXI under licence.

Neither FXI nor its licensors in any way sponsor, endorse or are otherwise involved in the issuance and offering of the SGX FTSE/Xinhua Indices Futures. SGX-DT, FXI and its licensors disclaim any liability to any party for any inaccuracy in the data on which the FTSE/Xinhua Indices is based, for any mistakes, errors or omissions in the calculation and/or dissemination of the FTSE/Xinhua Indices or for the manner in which it is applied in connection with the issuance and offering of derivatives instruments derived from the FTSE/Xinhua Indices or the trading of the FTSE/Xinhua Indices.

**B. Exchange Disclaimer**

The Exchange makes no warranty, express or implied, as to the accuracy or completeness of, or the results to be obtained by any person or any entity from the use of, the FTSE/Xinhua Indices, any intra-day proxy related thereto or any data included therein in connection with the trading of any contracts, or for any other use. The Exchange makes no express or implied warranties of merchantability or fitness for a particular purpose with respect to the FTSE/Xinhua Indices or any intra-day proxy related thereto or any data included therein.

## FUTURES MARGIN & OPTIONS TRADING & OTC TRANSACTIONS SUPPLEMENTARY TERMS AND CONDITIONS

Kindly note that the terms herein shall supplement and form part of OCBC Securities Private Limited (OSPL) Standard Terms and Conditions. In the event of any inconsistency between the terms herein and the OSPL Terms and Conditions, the terms herein shall prevail.

The following list of charges and other rates is not exhaustive and OSPL may charge different charges and other rates for products and services not specifically listed herein. Please note that OSPL reserves the right to make amendments, additions or variations to the charges, rates and other terms herein from time to time in the same manner as it may amend, add to or vary the terms under the OSPL Terms and Conditions.

### ADMINISTRATION

Telegraphic Transfer	:	US\$10.00 per transaction (Inward remittance)
Telegraphic Transfer	:	minimum of US\$40.00 per transaction or whichever is higher as
(Withdrawal of Funds)	:	and when levied by the correspondence banks

For deliveries of contracts and additional handling fees on top of any other Exchange/bank charges: US\$120.00 per delivery

In the event of any Option expiration, this **may also** incur commission charges/administrative charges.

Please note that OSPL generally would not facilitate any third party remittance. All client fund transfers should be sent back to the customer's designated banking account. Should any third party remittance be undertaken (on a case by case basis) a US\$120.00 minimum would be imposed on outward remittances.

### INTEREST

If there are funds held in the Client's account which are **in excess** of OSPL's margining requirements by more than USD10,000 (if in US dollars), USD20,000 equivalent for other designated currencies, or SGD50,000 for Sing Dollar deposits, OSPL shall pay the Client interest **only** on such excess amount at the then prevailing **call** deposit interest rate for such currency or any other currency which OSPL may agree to pay for the amounts in which the Client have excess (such rate to be determined by OSPL in its sole discretion) less 2.0%.

Debit balances in the Client's account with OSPL shall carry interest at 2.0% above **prime** lending rate at OSPL's sole discretion.

### MINIMUM EQUITY

The Client must maintain a minimum Equity level of **S\$5,000** or its equivalent before the Client may place any new orders.

### GENERAL CONSENT & APPROVAL

The Customer agrees that OSPL may, in its sole and absolute discretion, act either as agent of or principal to the Customer for its own accounts, or for the accounts of Connected Persons or any other entity in which OSPL or any person within the OCBC Group has an interest, in respect of any Transaction, whether such Transaction is effected on the Order of the Customer or otherwise, and shall not be required to inform the Customer of the same. In the event that OSPL assumes the role of the counterparty to any Transaction, OSPL shall be entitled to all gains, profits and benefits derived from such Transaction. Without prejudice to the generality of the preceding, unless otherwise agreed in writing by OSPL, in respect of Transactions on an exchange, OSPL shall act as the Customer's agent, and in respect of other Transactions, OSPL shall act as principal to the Customer.

AND

### FOR OTC TRANSACTIONS

In providing a liquid market and prices for OTC Transactions, the Customer hereby acknowledges and agrees that OSPL (or any person authorised by OSPL to accept OTC Orders) may quote OTC prices from other regulated financial institutions to Customers or act as market-makers to Customers in providing bids and offers to be traded under OSPL's market-making accounts.

The Client further acknowledges that all OTC Transactions are conducted on a principal to principal basis, between OSPL and the client.

#### **MARGIN REQUIREMENTS**

Without prejudice to OSPL's rights and the Client's obligations under OSPL Terms and conditions, a copy of which will be given to the Client upon the Client's request after the latter's account has been approved. The following shall be the margin requirements with respect to the Client's account.

Below is a general listing of OSPL's initial margin requirements for certain types of contracts:

Exchange traded contracts: **Unless** otherwise stipulated by OSPL, OSPL will determine and apply the relevant Initial and Maintenance margin requirements in addition to and on top of the margins imposed by the relevant exchanges.

- **Spot Forex : *Unless otherwise stipulated by OSPL from time to time, the Initial margin requirements will generally be at 5% to 10% of the notional amount of the contract size. The Maintenance margin maybe equal to or below the Initial margin requirements and it will be stipulated by OSPL from time to time.***
- ***Initial and Maintenance margin requirement for regional currencies will be stipulated by OSPL from time to time.***

You are advised to obtain a list of all of OSPL's stipulated Initial and Maintenance margin requirements for your reference before you embark on your trading activities. Please note that owing to unexpected market volatilities OSPL may change the margin requirements of any product from time to time without informing the client. The client is advised to check with OSPL from time to time of any such changes and maintain excess funds in his/her account to avoid any sudden margin insufficiencies and margin calls liquidation situation.

#### **ADDITIONAL MARGIN REQUIREMENTS**

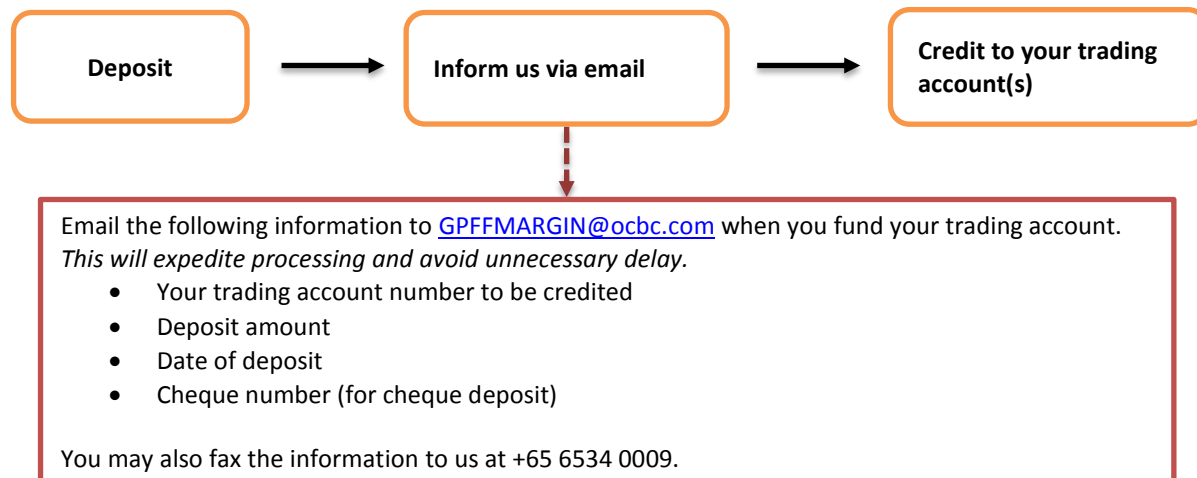
All open positions shall be backed by initial margin (a) in accordance with the amounts required above or (b) if the above requirements are not applicable, of such amount as OSPL may decide in OSPL's sole and absolute discretion.

All initial margins must be paid in cash or banker's guarantee issued by a Singapore incorporated bank in such forms as OSPL may require.

All margin calls made by OSPL must be met on the same day by telegraphic transfer of funds to our bank account or deliver of a bank guarantee.

***If margin calls are not satisfied as required by OSPL, OSPL may liquidate some or all of your open positions. Even if no margin calls are made OSPL reserves the right to liquidate some or all of your positions if the equity (as defined later) in your account falls below 30% of the initial margin requirements of all your open positions. "Equity" means the sum of (a) the value of all initial margin held in your account and (b) the unrealized profit of all your open positions less (c) the unrealized loss of all your open positions. In this regard the unrealized profit or unrealized loss of all your open positions shall be determined by OSPL at OSPL's sole discretion but by reference to the then prevailing bid, offer or last transacted price of the contract.***

## Fund Deposit Process



### A. Fund deposit by Singapore Dollar (SGD) and US Dollar (USD) Cheque

The cheque should be made payable to **OCBC Securities Pte Ltd.**

1. Write the following information at the back of the cheque:
  - Customers' segregated account number:
    - i. SGD: **501-091821-001-SGD**; or
    - ii. USD: **503-053126-301-USD**
  - Your **name**
  - Your **trading account number** to be credited (or "**New**" for new accounts)
2. Cheque may be deposited at any OCBC branch or our office at:

**OCBC Securities Private Limited**  
18 Church Street  
#01-00 OCBC Centre South  
Singapore 049479
3. Allow up to 3 business days from date of receipt for SGD cheques to be cleared and credited into your trading account. For USD cheques, please allow more time.

### B. SGD fund deposit via OCBC Internet Banking or ATM – Bill Payment

1. Add **OCBCSEC FX & FUTURES** as **Payee** from OCBC Internet Banking
2. Under **Bill Reference No.** field; input your **Trading Account Number**.
3. Once payee is added, you can transfer the funds via **Internet Banking** or **ATM**

### C. SGD fund deposit via Local Bank Transfer

If you have a Singapore-based bank account in SGD, you may transfer funds to the customers' segregated account with OCBC Bank.

1. Account name: **OCBC Securities Pte Ltd**
2. Customers' segregated account number: **501-091821-001**
3. Write your **trading account number** as initial or reference
4. Allow up to 3 business days from date of transfer for the funds to be received and credited into your trading account.

#### D. Fund deposit by Telegraphic Transfer / Bank Wire

For telegraphic transfer (T.T.) or international bank wire, please allow usual processing time of 1 to 5 business days.

##### Common information required for all T.T. remittance:

Information required	
Beneficiary Bank Name	Oversea Chinese Banking Corporation Limited
Beneficiary Bank Country	Singapore
Beneficiary Bank Swift Code	OCBCSGSG
Beneficiary Account Name	OCBC Securities Private Limited
Message to Beneficiary / Purpose of Payment	Please fill in your name & trading account number

##### Currency specific information:

SGD	
Beneficiary Account No.	501-091821-001

AUD	
Beneficiary Account No.	501-009450-201-AUD
Agent/ Correspondent/ Intermediary Bank	National Australia Bank Ltd, Melbourne
Agent/ Correspondent/ Intermediary Bank Swift Code	NATAAU33033

CAD	
Beneficiary Account No.	501-009450-201-CAD
Agent/ Correspondent/ Intermediary Bank	Toronto Dominion Bank, Toronto
Agent/ Correspondent/ Intermediary Bank Swift Code	TDOMCATTTOR

CHF	
Beneficiary Account No.	501-009450-201-CHF
Agent/ Correspondent/ Intermediary Bank	Union Bank Of Switzerland, Zurich
Agent/ Correspondent/ Intermediary Bank Swift Code	UBSWCHZH80A

GBP	
Beneficiary Account No.	501-009450-201-GBP
Agent/ Correspondent/ Intermediary Bank	National Westminster Bank Plc, London
Agent/ Correspondent/ Intermediary Bank Swift Code	NWBKGB2L

CNH	
Beneficiary Account No.	503-167827-201-CNH
Agent/ Correspondent/ Intermediary Bank	Industrial and Commercial Bank of China, Singapore
Agent/ Correspondent/ Intermediary Bank Swift Code	ICBKSGSGCLR

HKD	
Beneficiary Account No.	501-009450-201-HKD
Agent/ Correspondent/ Intermediary Bank	OCBC Bank, Hong Kong
Agent/ Correspondent/ Intermediary Bank Swift Code	OCBCHKHH

JPY	
Beneficiary Account No.	501-009450-201-JPY
Agent/ Correspondent/ Intermediary Bank	Mizuho Corporate Bank Ltd, Tokyo
Agent/ Correspondent/ Intermediary Bank Swift Code	MHCBJPJT

NZD	
Beneficiary Account No.	501-009450-201-NZD
Agent/ Correspondent/ Intermediary Bank	Bank Of New Zealand, Wellington
Agent/ Correspondent/ Intermediary Bank Swift Code	BKNZNZ22

EUR	
Beneficiary Account No.	501-009450-201-EUR
Agent/ Correspondent/ Intermediary Bank	Barclays Bank PLC, London
Agent/ Correspondent/ Intermediary Bank Swift Code	BARCGB22

USD	
Beneficiary Account No.	503-053126-301-USD
Agent/ Correspondent/ Intermediary Bank	JP Morgan Chase Bank, New York
Agent/ Correspondent/ Intermediary Bank Swift Code	CHASUS33