

# Contracts for Difference Individual Account Application

Base Currency for CFD: AUD / HKD / SGD / USD / MYR (Please circle)

## PERSONAL INFORMATION OF APPLICANT

Salutation	<input type="checkbox"/> Mr. <input type="checkbox"/> Mrs. <input type="checkbox"/> Ms.	
Name as in NRIC/Passport		
NRIC / Passport No		
Passport Expiry Date		
Nationality		
Singapore PR	<input type="checkbox"/> No <input type="checkbox"/> Yes	
Fin No.		
Country of Birth		
Date of Birth		
Contact No.	(Country Code) (Area code/No.)	
Email Address		
Residential Address	Country	
	Postal Code	
Mailing Address (If different from above)	Country	
	Postal Code	

## EMPLOYMENT INFORMATION

<input type="checkbox"/> Retired	<input type="checkbox"/> Employed <input type="checkbox"/> Self-Employed	
<input type="checkbox"/> Private Investor	<input type="checkbox"/> Armed Forces Personnel	
<input type="checkbox"/> Homemaker	Name of Company	
<input type="checkbox"/> Unemployed	Job Title (Only applicable for Employed Status)	
<input type="checkbox"/> Student	Country of Employment	
	Annual Income (S\$)	

## U.S. PERSON DECLARATION

I am a U.S. Citizen / Green Card holder  No  Yes  
 I am residing in U.S.  No  Yes

## COMMON REPORTING STANDARD

If you are resident of tax purpose in more than one country/jurisdiction, please request for a separate CRS Individual Self Certification Form.

Country/Jurisdiction of Tax Residence <sup>(2)</sup>	
Tax Identification Number (TIN) or equivalent <sup>(3)</sup>	
If TIN or equivalent is unavailable, please state reason (A, B or C)	
Explanation if Reason B is selected	

**Reason A** – The country/jurisdiction where Account Holder is liable to pay tax does not issue TIN to its residents  
**Reason B** – The Account Holder is otherwise unable to obtain a TIN or equivalent number  
**Reason C** – No TIN is required (note: only select this reason if the authorities of the country of residence for tax purposes entered below do not require the TIN to be disclosed)

## DECLARATION ON SOURCE OF FUNDS / WEALTH

Source of Funds / Wealth	<input type="checkbox"/> Banks	<input type="checkbox"/> Savings	<input type="checkbox"/> Rental Income	<input type="checkbox"/> Investment Income
	<input type="checkbox"/> Salary	<input type="checkbox"/> Directorship	<input type="checkbox"/> Inherited Wealth	
	<input type="checkbox"/> Business Income	<input type="checkbox"/> Others:		

I declare, in my capacity as a **Proposed Client** of **CGS-CIMB SECURITIES (SINGAPORE) Pte Ltd** ("CGS-CIMB Securities") that the funds and / or assets (the "Assets") transferred or to be transferred to me are from my legitimate assets and/or from benefits of transactions due to me, as applicable, all of which are known to me.

I confirm that the funds or assets transferred now or at any time in the future to CGS-CIMB Securities are not / will not be derived from or otherwise be connected with any activity which is illegal or unlawful, either in their country of origin or in the location in which I am residing in.

I further confirm that the transfer of funds to me is not in breach of any local money laundering regulations and laws, **including but not limited to** the Guidelines to MAS NOTICE SFA04-02 On Prevention of Money Laundering and Countering The Financing Of Terrorism, and any other laws as applicable.

## CONSENT FOR MARKETING MESSAGES<sup>(3)</sup>

Would you like to receive marketing materials and information relating to services and/or products ("Marketing Messages") offered or distributed by the Marketing Entities which the Marketing Entities believe may be of interest or benefit to you ("Marketing Purpose") via all forms of mobile messaging (including SMS or MMS), telephone calls, fax, email and/or post?

Yes  No

**NO PROVISION OF FINANCIAL ADVICE (FOR CONTRACTS FOR DIFFERENCE (“CFD”) ACCOUNT ONLY)**

**WARNING:** Trading in CFDs may not be suitable for customers whose investment objective is preservation of capital or whose risk tolerance is low. Before selecting the option for Contracts for Differences (“CFD”) Account on page 1 of this application, please read and understand the CFD Warning Statement set out below.

I agree and understand that I am transacting on an execution-only basis. I further agree, acknowledge and understand that no product/ financial advice will be provided by CGS-CIMB Securities to me in respect of CFD transactions. Notwithstanding the foregoing, I further agree, acknowledge and understand that I wish to proceed to transact accordingly, and therefore will not be able to rely on section 36 of the Financial Advisers Act 2001 to file a civil claim in the event of a loss suffered. I am responsible for ensuring that the product(s) selected is suitable to me.

**CONTRACTS FOR DIFFERENCE (“CFD”) WARNING STATEMENT**

**WARNING:** Contracts for Difference (“CFDs”) are speculative derivative products that are highly leveraged and carry significantly greater risk than other investments or products (whether geared or otherwise) such as share trading. They may not be suitable for everyone. You should consider carefully and determine whether CFDs are suitable for you, before deciding whether to open a CFD Account with CGS-CIMB Securities IN PARTICULAR, IF YOU CONSIDER YOURSELF TO BE A CONSERVATIVE, RISK-AVERSE INVESTOR, THEN CFDs ARE NOT FOR YOU. You should obtain your own investment, financial, legal, taxation and other professional advice as to whether CFDs are appropriate investment or products for you. You should ensure you read and understand the product features and in particular the risks and determine whether these products are suitable for you, before deciding whether to open a CFD Account with CGS-CIMB Securities and invest in CFDs.

To apply for a CFD Account, you need to be an accredited Investor or expert investor or you need to have passed the Customer Knowledge Assessment. Please complete the Investor Status or Client Profile Form.

**DECLARATION BY CLIENT****Section A – Tax and other serious offences**

- I declare and confirm that:
  - I remain fully responsible for my own tax affairs and ensuring that both I and my accounts maintained with CGS-CIMB Securities are in compliance with the tax laws of the relevant jurisdiction within which I reside, am domiciled in or tax citizen of;
  - to the best of my knowledge, information and belief, I have neither wilfully committed nor been convicted of any serious tax crimes;
  - I acknowledge and agree that I remain fully responsible for taking advice from a tax expert in the jurisdiction of my tax residence or any other similarly qualified adviser or person, and acknowledge that CGS-CIMB Securities shall neither be responsible for nor provide any tax advice to me; and
  - I agree to notify CGS-CIMB Securities (within 30 calendar days), or provide information if requested by CGS-CIMB Securities, if there is any change in my personal information or circumstances including, without limitation, any material adverse change in my financial condition or any change in the ultimate beneficial ownership of my account, citizenship, residence, address of record and any additional information which affects my tax position.
- Subject to applicable local laws, I hereby consent for CGS-CIMB Securities, its parent or ultimate holding company or any of its affiliates (including branches) (collectively, “CGS-CIMB”) to share my information with domestic or overseas regulators or tax authorities where necessary to establish my tax liability in any relevant jurisdiction.
- Where required by domestic or overseas regulators or tax authorities, I also understand and agree that CGS-CIMB may be required to obtain additional documents and/or forms, which I will sign, if I am subject to the relevant jurisdiction’s requirements. Where required by domestic or overseas regulators or tax authorities, I understand and agree that CGS-CIMB may withhold and pay out, from my account(s) such amounts as may be required according to applicable laws, regulations, guidelines and/or agreements with regulators or authorities and directives.

**DECLARATION BY CLIENT****Section B – Common Reporting Standard**

Please read this Section B in conjunction with the explanatory notes and summaries of defined terms used in set out in the CRS Individual Self-Certification Form available at (<https://www.itradecimb.com.sg/app/download/CRSIndividual.pdf>)

- I understand that the information supplied by me is subject to the terms and conditions governing my relationship with CGS-CIMB Securities setting out how CGS-CIMB Securities may use and share the information supplied by me.
- I acknowledge that the information provided by me in the relevant section of my application and information regarding the Account Holder and any Reportable Account(s) may be provided directly or indirectly to any relevant tax authority, including of the country / jurisdiction in which my account is maintained and exchanged with tax authorities of another country / jurisdiction or countries / jurisdictions in which the Account Holder may be resident for tax purposes pursuant to agreements between competent authorities to exchange financial account information.
- I certify that I am the Account Holder or am authorised to act on behalf of the Account Holder for the account to which my application relates and I declare that all statements made above are to the best of my knowledge and belief, correct and complete. I agree that I will provide evidence of my authorisation to act on behalf of the Account Holder by providing a Power of Attorney or equivalent recognised document.
- If there is a change in circumstances that affects the tax residence of the Account Holder or causes the information provided by me to become incorrect or incomplete, I understand that I am obliged to inform CGS-CIMB Securities of the change in circumstances within 30 days of its occurrence and to provide a suitably updated self-certification.

**Section C – Other applicable terms**

“I” or “my” means the applicant. Words importing only the singular number include the plural number and vice versa. All capitalised terms used in the application shall (unless otherwise defined) be ascribed the same meanings as those terms which are defined in CGS-CIMB Securities’ General Terms and Conditions (the “General Terms and Conditions”) available at (<https://www.itradecimb.com.sg/app/download/TermsAndConditions.pdf>)

I declare, warrant and agree that:

- all information submitted in my application or otherwise in connection with my application are true, accurate and complete in all respects and I will, as soon as possible, provide CGS-CIMB Securities with notice in writing of any change in particulars given in my application together with all relevant documents;
- I have read and understood, and agree that my application shall be construed and governed in accordance with the General Terms and Conditions (as may be amended from time to time);
- CGS-CIMB Securities has the right not to approve my application at its sole and absolute discretion without any obligation to render any reason or explanation;
- I am the ultimate beneficial owner of my account and that no person has or will have any interest in, influence or control over my account whatsoever and all monies which will be paid to CGS-CIMB Securities originate from a legitimate source;
- I am not under 21 years of age;
- I am not an undischarged bankrupt or of unsound mind;
- (For applicants who are Malaysia residents): I am fully aware of the exchange control regulations imposed by Bank Negara Malaysia (“BNM”) and agree that it is my responsibility to ensure that my investments outside of Malaysia at all times shall be within the limit(s) imposed by BNM from time to time;
- I agree to hold harmless, release and indemnify CGS-CIMB, China Galaxy International Financial Holdings Limited (“CGI”), CIMB Group Sdn. Bhd. (“CIMBG”) and their respective related corporations and affiliates (including CGS-CIMB Securities Sdn. Bhd. and its related corporations and affiliates) and their respective officers, owners, directors, employees, successors, heirs and assignees from any and all liability arising from CGS-CIMB’s reliance on this declaration made by me.
- I have read, understood and accepted the terms set out in the following documents (such terms are deemed to have been incorporated herein by reference):

**DECLARATION BY CLIENT**

- (a) Part N of the General Terms and Conditions (as may be amended from time to time) and the CGS-CIMB Securities' Data Protection Policy available at (<https://www.itradecimb.com.sg/app/pdpa.z>) relating to the collection, processing, use and disclosure of personal data;
- (b) The "Terms relating to CFD Account"
- (1) Where I have requested, whether by indicating on my application or otherwise, to transact in CFDs with CGS-CIMB Securities, I confirm that I have received, read, understood and fully accepted the following:
- (i) the terms set out in Part H of the General Terms and Conditions;
- (ii) the relevant fees, charges and other remuneration relating to the products as set out in the CFD Commission and Charges Schedule; and
- (iii) the risks associated with transacting in CFDs as set out in Part 2 of the Risk Disclosure Statement contained in Schedule I of the General Terms and Conditions.
- (2) Further, I understand that in accordance with MAS Notice on the Sale of Investment Products, CGS-CIMB Securities shall perform a Client Knowledge Assessment on me to determine whether I have the relevant educational qualifications, investment experience or working experience to invest / trade in unlisted Specified Investment Products.
- (3) I also confirm that I am not relying in any way whatsoever on CGS-CIMB Securities or on any representation (whether written or oral) made by CGS-CIMB Securities on the suitability of any CFD. I have independently assessed the suitability of any such CFD and have the knowledge and sophistication to independently appraise and understand the financial and legal aspects of a CFD and to assume the attendant economic consequences and risks.
- (4) I am aware that gains and losses on CFD can depend on various factors, and that CGS-CIMB Securities assumes me to be familiar with and to be able to evaluate such factors.
- (5) I consent to and permit CGS-CIMB Securities, its officers, employees and agents, to disclose to any third party or counter party with which or with whom CGS-CIMB Securities may have entered into any contract or arrangement, all information relating to my CFD Account.

Signature of Applicant

Date

**IMPORTANT NOTES**

- Please include all the countries / jurisdictions in which you may be resident for tax purposes. For example, a Tax Resident in Singapore as defined by Income Tax Act 1947, Section 2 in relation to an individual, means a person, who in the year preceding the year of assessment, resides in Singapore except for such temporary absences therefrom as may be reasonable and not inconsistent with a claim by such person to be resident in Singapore, and includes a person who is physically present or who exercises an employment (other than as a director of a company) in Singapore for 183 days or more during the year preceding the year of assessment.
- (a) Regulations based on OECD Common Reporting Standard ("CRS") require CGS-CIMB Securities to collect and report certain information about an account holder's tax residence status, and if applicable, the tax residence status of each natural person that is a Controlling Person. Please note that CGS-CIMB Securities may be legally obliged to report information provided by and other financial information about your financial account(s) to the tax authorities in which your account(s) are maintained. In turn, the local tax authorities may exchange the reported information with the tax authorities in the country or countries in which you are a tax resident.

(b) As a financial institution, CGS-CIMB Securities does not provide tax advice to its customers. If you have any questions about determining your tax residency status, please contact a professional Tax Adviser or visit the OECD website: <http://www.oecd.org/tax/automaticexchange/crsimplementationandassistance/tax-residency/>.

**IMPORTANT NOTES**

- questions about determining your tax residency status, please contact a professional Tax Adviser or visit the OECD website: <http://www.oecd.org/tax/automaticexchange/crsimplementationandassistance/tax-residency/>.
- (c) You can find summaries of defined terms and other terms in the CRS Individual Self-Certification Form available at (<https://www.itradecimb.com.sg/app/download/CRSIndividual.pdf>)
- (a) All references to "Marketing Entities", "we" and "us" refer to CGS-CIMB Securities and the affiliates, business partners and related companies of CGS-CIMB Securities; all references to "you" or "your" refer to the applicant.

(b) You have the right to opt out of receiving Marketing Messages. Please refer to <https://www.itradecimb.com.sg/app/pdpa.z> for further details on how you may do so.

(c) If you choose "Yes", you AGREE AND CONSENT to the Marketing Entities processing your personal data for the Marketing Purpose and contacting you as described herein and you will receive faxes, mobile messages or calls from us even if your number is on the National Do-Not-Call Register.

(d) Even if you choose "No", we reserve our right to send a specified fax message (as defined in the Personal Data Protection (Exemption from Section 43) Order 2013) (the "Exemption Order") and/or a specified text message (as defined in the Exemption Order) (i.e. a marketing fax message or marketing text message) to your Singapore telephone number, if there is an ongoing relationship between CGS-CIMB Securities and you and the purpose of the message is related to the subject of the ongoing relationship, pursuant to the requirements and conditions of the Exemption Order.

**FOR OFFICIAL USE ONLY**
**TRADING REPRESENTATIVE DECLARATION**

I hereby declare that I have witnessed the applicant's signature and/or explained to the applicant the risks relating to CFD trading as stipulated in the Part 2 of the Risk Disclosure Statement contained in Schedule I of the General Terms and Conditions.

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

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

**VERIFYING OFFICER**

MC65

Language: \_\_\_\_\_

Accompanied: \_\_\_\_\_

Third Party: \_\_\_\_\_

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

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

 MyInfo

**CLIENT SERVICES**

TR Code: \_\_\_\_\_ CTA: \_\_\_\_\_ MTA: \_\_\_\_\_

CFD: \_\_\_\_\_ CUT: \_\_\_\_\_

**CGS-CIMB Securities (Singapore) Pte. Ltd.**

(Company Number: 198701621D)

Member of Singapore Exchange Securities Trading Limited

10 Marina Boulevard #09-01

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Singapore 018983

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 Website: [www.cgs-cimb.com](http://www.cgs-cimb.com)