

E. OTHER RELEVANT INFORMATION

- ☐ No other information is relevant to determining the suitability of any specific advice or recommendation to be made to the Company.
- ☐ In addition to the above answers, you will need to take note of the following information as set out in the separate attachment to this Corporate Client Investment Profile and marked as Appendix 1 in determining the suitability of any specific advice or recommendation to be provided to the Company.

Declaration and Acknowledgement by the Company

The Company confirms that the information furnished above is materially correct and may be relied upon by you and any and all of your representatives and officers in making any specific investment recommendation. If any of the questions above have not been answered or all the information requested by you above or by way of supplementary questions and requests by you are not duly provided, you and each of your representatives and officers are relieved of your respective obligation to consider such information in determination of the suitability of any advice or recommendation for the Company and the Company acknowledges that any advice or recommendation provided in respect to its account with you by any of you, your duly authorized representatives or officers shall be treated as at best only as general advice or recommendation and the Company acknowledges and agrees that such advice does not take into account and may not be suitable for the Company's investment objectives, financial situation and particular needs.

The Company also agrees to notify UOB Kay Hian Pte Ltd of any material change in its financial, business and/or investment profile, and further acknowledges and understands that any statements of financial goals or objectives as provided above or further in this regard from time to time by the Company does not make or imply any undertaking, agreement or guarantee by you as to the attainment or the feasibility of attainment of such goals or objectives.

\_\_\_\_\_  
Authorised Signatory  
(Please Affix Company's Stamp)

Name :

Designation :

NRIC/Passport No:

\_\_\_\_\_  
Authorised Signatory  
(Please Affix Company's Stamp)

Name :

Designation :

NRIC/Passport No:

Declaration and Acknowledgement by Trading Representative

I, \_\_\_\_\_[Name of TR], confirm being fully aware of the terms and conditions governing the account of the above-named client. I therefore accept and acknowledge that I am primarily responsible for taking and executing the instructions of the above-named client and as such am the person who is directly responsible for ensuring that any and all execution related advice that I may provide are, where relevant, suitable for such client taking into account the information in the client's Corporate Client Investment Profile (as updated from time to time). Notwithstanding the foregoing, I acknowledge and accept that the relationship between UOB Kay Hian Pte Ltd and the client is one of execution only and that I am not generally authorised to give any advice/recommendation to the said client on behalf of UOB Kay Hian Pte Ltd. I therefore also accept that unless I secure the express authority and consent to give advice or recommendation to the said client on UOB Kay Hian Pte Ltd's behalf that I do so without their authority and purely on my own behalf and at risk of disciplinary and other actions by UOB Kay Hian Pte Ltd against me.

I also undertake to ensure that any other trading representative who I allow or request to service the above-named client is aware of my acknowledgement above and will be bound by the same acknowledgement as if he had given the same to UOB Kay Hian Pte Ltd with respects his dealings with the client.

I will indemnify and keep UOB Kay Hian Pte Ltd harmless against any and all breach of my acknowledgement and undertaking above

\_\_\_\_\_  
Name of Trading Representative

\_\_\_\_\_  
TR Code

\_\_\_\_\_  
Signature of Trading Representative

\_\_\_\_\_  
Date

For Office Use

\_\_\_\_\_  
Date Received

\_\_\_\_\_  
Checked By/Date

\_\_\_\_\_  
Date Sent

\_\_\_\_\_  
Input By/Date

\_\_\_\_\_  
Approved By/Date

Corporate CIP – 1 July 2004

UOBKayHian

CORPORATE CLIENT INVESTMENT PROFILE

Name of Corporation : \_\_\_\_\_

Trading Account No : \_\_\_\_\_ / \_\_\_\_\_

We are required to ensure, but only if: -

- (i) \_\_\_\_\_(the "**Company**") is a person in relation to whom we have a duty to ensure suitability pursuant to either Section 27 of the Financial Advisers Act or Section 121 of the Securities and Futures Act 2001<sup>1</sup>; **and**
- (ii) we provide the Company with specific and not general advice or recommendation

that the suitability of such specific advice or recommendation provided by us has been determined based on the Company's investment objectives, financial situation and particular needs as formally and properly notified to us.

**The completion (and where relevant, amplification) and updating of this Corporate Client Investment Profile is the only way by which we will accept the communication of the Company's investment objectives, financial situation and particular needs.** Any other method is administratively and operationally unmanageable and not workable and will not be accepted by us. Our acceptance of the Company as a client of ours and allowing the Company to open or continue to maintain an account with us is conditioned on the Company's accepting the preceding.

Please also note that the Company will need to complete this Corporate Client Investment Profile in full **and return the same to us**. Where a question is not applicable, the Company must expressly state this to be the case. This is because while every answer is relevant, no single answer can be or will be determinative of the Company's investment profile. Full answers to all the questions are necessary for a proper and holistic determination of the Company's investment profile. **Where the Company believes that the specific questions asked and information requested may not provide us with sufficient or appropriate information for us to know the Company's investment objectives, financial situation and particular needs, we expect the Company on its own initiative to provide us with the relevant and necessary information for such determination by filling in as appropriate Part E of this Corporate Client Information Profile.**

Please take care in answering the questions asked and in providing the information requested. Please take particular care to ensure that the answers and the information provided are complete and accurate. Where the answers and/or information is/are ambiguous or contradictory, the Company hereby acknowledges and accepts that the ambiguity will be resolved against it. For example, if the answers indicate differing levels of risk tolerance for the Company, the Company will be deemed to have communicated to us the highest of such risk tolerance as its preferred risk tolerance for us to assume in making our suitability determination.

**The Company is also reminded (as is provided for in the terms and conditions for its account with us) that should it fail or refuse to provide us with any information or answers as requested then it will also be taken as having acknowledged (and we will be regarding and materially relying on its having acknowledged) that:**

- we cannot identify with any certainty its investment objectives, financial circumstances and particular needs;**
- any advice or recommendation provided in respect to the Company's account with us by any of ourselves, our duly authorised representatives or officers shall be treated at best as only general advice or recommendation; and**
- any recommendation made to the Company does not take into account its investment objectives, financial situation and particular needs and the Company is aware and accepts that the suitability of such advice and/or recommendation has not been determined by us.**

**Without prejudice to any of the preceding, please also specifically note that until and unless the Company returns to us this Corporate Client Investment Profile completed in full together with all other requested information and supporting documents that we are in no position to properly make any suitability determination and thus any recommendation made to the Company in the interim will not and does not take into account its investment objectives, financial situation and particular needs and the Company is aware and accepts that the suitability of such advice and/or recommendation has not been determined by us.**

A. CORPORATE INFORMATION

Name of Corporation: \_\_\_\_\_

Date of Incorporation: \_\_\_\_\_ Place of Incorporation: \_\_\_\_\_

RCB Registration No./Company Registration No. \_\_\_\_\_

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

\_\_\_\_\_  
Postal Code: \_\_\_\_\_

Authorised Share Capital: \_\_\_\_\_ Issued and Fully Paid Up Share Capital: \_\_\_\_\_

<sup>1</sup> Presently this will mean that the Company is not an accredited investor within the meaning of either legislation. In this connection, an "accredited investor" is defined as a corporation whose net assets (based on its most recent audited balance sheet) exceed S\$10 million.

Business Profile:

a. Brief description of Company's Principal Business(es) carried on in Singapore in preceding three year period:

b. Principal Reason(s) / Objective(s) in Opening Account:

B. COMPANY'S FINANCIAL SITUATION

1. Is the Company an accredited investor or otherwise a person to whom we owe no duty under Section 27 of the Financial Advisers Act or Section 121 of the Securities and Futures Act 2001 (collectively 'Professional Investor')?

☐ **Yes** Please note that if the answer is yes or the Company is in fact a Professional Investor or forthwith on its becoming a Professional Investor that we will have no duty and will accept no duty to determine the suitability of any recommendation or advice provided to the Company. Professional Investors should be able to, and we are assuming will, make their own respective determination on the suitability for themselves of any and all investment advice or recommendation.

**Therefore if the Company is a Professional Investor, it need only to answer 'Yes' and need not complete any of the following questions below. Please sign and return this form.**

☐ **No** If the Company is not a Professional Investor now but does become one subsequently, it is obliged to let us know forthwith and thereafter and so long as the Company remains a Professional Investor it need not provide us with any update of the information that it has provided us through this Corporate Client Investment Profile. For as long as the Company is a Professional Investor or until we are formally notified otherwise together with a duly completed Corporate Client Investment Profile, the Company is solely responsible for determining the suitability of any advice or recommendation provided to it. We do not and will not accept the responsibility for such determination.

2. Returns / Capitalisation and Dividend Policy

**If the Company is not a Professional Investor (including an accredited investor), please provide us with a certified true copy of the Company's latest audited financial statement.**

3. Percentage of Investable / Liquid Assets

**What percentage of the Company's investable/liquid assets will be invested using our services as securities dealer?**

☐ Less than 25% ☐ 25% to 49% ☐ 50% to 75% ☐ Greater than 75%

**Note: The percentage should represent only the Company's risk capital. In this regard risk capital means funds and assets which the Company has set aside for investment purposes and, if lost, will not materially affect its day to day operations or its status as a going concern.**

4. Is the Company dependent on the assets/cash that it will be using for investments or trading with or through us to meet any current or anticipated payment requirements?

☐ **Yes** **If the answer is yes, then our services are probably not suitable for the Company at all, and the Company should not even proceed with submitting its application for an account with us. Where the Company already has an account with us it should take steps to close the account.**

☐ **No**

C. THE COMPANY'S INVESTMENT EXPERIENCE

1. Investment History

**Has the Company ever invested in the following?**

	Experienced	No Experience
- Shares	<input type="checkbox"/>	<input type="checkbox"/>
- Bonds	<input type="checkbox"/>	<input type="checkbox"/>
- Unit Trusts	<input type="checkbox"/>	<input type="checkbox"/>
- Equity Derivatives	<input type="checkbox"/>	<input type="checkbox"/>
- Futures, options, commodities etc	<input type="checkbox"/>	<input type="checkbox"/>
- Leveraged foreign exchange	<input type="checkbox"/>	<input type="checkbox"/>
- Borrowed money or used margin for the purpose of or to take advantage of an investment opportunity	<input type="checkbox"/>	<input type="checkbox"/>
- Real Estate	<input type="checkbox"/>	<input type="checkbox"/>
- Precious Metals/Collectibles	<input type="checkbox"/>	<input type="checkbox"/>
- Others	<input type="checkbox"/>	<input type="checkbox"/>

2. How long has the Company been trading in the stock market?

☐ Less than 1 year ☐ 1-3 years ☐ More than 3 years

3. How frequently does the Company trade in securities?

☐ Infrequent(1 or less transaction a year) ☐ Moderate (2 to 12 transactions a year) ☐ Frequent(more than 12 transactions a year)

4. Has the Company ever:

Applied for IPO shares? ☐ Yes ☐ No ☐ No but would like to  
Applied for placement issues? ☐ Yes ☐ No ☐ No but would like to  
Engaged in contra trades? ☐ Yes ☐ No ☐ No but would like to

5. Describe the Company's settlement history? (Please tick one box which most accurately describes your settlement history)

☐ The Company always pays for its purchases as it is a long-term investor.  
☐ The Company seldom pays for its purchases as its trades are mainly contra trades.  
☐ The Company will pay for its purchases unless opportunity arises for it to make a quick contra profit.

6. What does the Company's current trading/investment portfolio comprise? \*(Please tick one box only)

☐ Mainly cash/time deposits/savings and low-risk debt securities.  
☐ Mainly low to moderate risk investments (such as blue chip stocks, ETFs, and principal protected products).  
☐ Mostly speculative or high risk investments (e.g. stocks other than blue chips, high risk funds, options).

*\*Please provide a copy of the Company's latest monthly Account Statement from the CDP showing its securities holdings and transaction summary.*

7. In its investment history, has the Company always taken the necessary steps to ensure that the person(s) trading on its behalf has/have been properly authorised to do so and is/are familiar with its trading history and needs, investment objectives and risk profile? Please indicate briefly the measures adopted by the Company for this purpose:

8. The Company confirms that it will continue to and/or resolve to take all necessary steps to ensure that all persons authorized to open and/or operate its accounts with us will be familiar with the Company's trading history, portfolio and investment/trading objectives and needs.

☐ **Confirmed**  
The Company should note that the confirmation will in any event be assumed by us regardless of whether the Company chooses to return a completed Corporate Client Profile so long as trading instructions are hereafter given by an authorized personnel of the Company as we will assume that the Company will have and has taken all internal consents and procedures necessary to ensure that only personnel capable to properly realizing the Company's interests and objectives will be authorized to give instructions and otherwise to operate the Company's account(s) with us.

D. THE COMPANY'S INVESTMENT OBJECTIVES & RISK PROFILE

1. Which of the following best describes the Company's investment objective and risk profile?

☐ **Conservative**  
Wishes to achieve returns of up to 2% above bank deposit rates with lower than average risk and fluctuation in value. Long-term and secure income stream.

☐ **Moderately Aggressive**  
Wishes to achieve returns of 3-10% above bank deposit rates and willingness to accept occasional periods of high volatility. Fully accepts that investment returns will vary substantially from year to year and that there is a high chance of capital loss in any one year. May engage in speculative trading from time to time.

☐ **Aggressive**  
Wishes to achieve returns of more than 10% above bank deposit rates over the short term (under 12 months) with a tolerance for a correspondingly and significantly higher degree of volatility and risk of loss. Appreciates that there is a high chance of capital loss in individual transactions. Willing to take substantial risks. Keen on contra transactions. Appetite for investing in speculative shares.

2. Risk Tolerance

Given the Company's tolerance for risk and understanding that investments fluctuate in value, which of the following statements would best describe the Company's reaction if the value of its portfolio were to decline by 5% to 10% over a short period of time?

☐ **Extremely Concerned**  
The Company is not prepared to accept even temporary loss of principal.  
**If the Company indicates no tolerance for temporary losses, our services are probably not suitable for it at all, and the Company should not even proceed with submitting its application for an account with us. If the Company already has an account, it should take steps to close the account.**

☐ **Concerned**  
The Company recognises that short term losses are a normal investment risk and it can and generally will tolerate at least one or two quarters of negative returns in hope of a market rebound but will provide liquidation orders to limit or cut my losses as it deems fit.

☐ **Somewhat Concerned**  
The Company recognises that short term losses are a normal investment risk and can tolerate even the entire loss of its investment. While the Company may normally hold its positions for more than two straight quarters of losses, it is unlikely to allow the entire loss of its investment but will provide liquidation orders to limit or cut my losses as it deems fit.

☐ **Not Concerned**  
The Company is primarily interested in achieving its long term investment goals and recognises that short term losses are a normal investment risk and it can and will tolerate the loss as a normal event. The Company is in any event able and willing to tolerate the loss of its entire investment against its expectation of the long term investment value of its investments. The Company will of course provide liquidation orders for any investment it no longer has faith in as it deems appropriate.

**Note: While the information on the Company's risk tolerance is relevant and necessary to assist us in making suitability assessments in relation to the Company, providing the information (and any other information in this questionnaire) will not of itself have any effect of limiting the Company's potential losses.**