Logo

Description automatically generated

GTN Asia Financial Services (Pte.) Ltd. (“GTN Asia”)

Individual Account

Application Form

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| **For GTN Asia use only** | |
| Type: | Check the box, where applicable |
| New client onboarding |  |
| Periodic review of existing client |  |
| Review upon occurrence of a trigger event (To indicate trigger event): |  |

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| **Explanatory Notes:** |
| All information requested in this form is required to be provided in full for client acceptance. If a question or field is not applicable, please mark “N.A.” in the space provided. Please use the “+” function in the tables to add rows where relevant. The “+” function can be viewed by clicking on a row in a table to be filled.  All information declared must be true and correct. Documents to verify the information will be requested. |

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| **Section A: Products and Services** |

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| Please select the products you wish to transact in and/or services you wish to engage in with GTN Asia. | | |
| Trading in securities (e.g., shares, debentures (including bonds) and units in a business trust) | Trading in exchange traded-derivatives contracts (e.g., Listed options referencing a share index) | Trading in units in a Collective Investment Schemes (e.g., exchange-traded funds) |

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| Please indicate the stock exchanges that you wish to trade through GTN Asia |
| Click or tap here to enter text. |

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| Please indicate the mode of settlement for the markets that you wish to trade through GTN Asia (Please check all the boxes that are applicable) | | |
| Trade Settlement with GTN Asia’ appointed execution brokers directly | Trade Settlement via third party custodian appointed by myself | Trade settlement by funds transfer to GTN Asia |

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| Please select the mode of trading that you prefer to engage with GTN Asia | | |
| Omnibus (Custody is with GTN Asia) | Fully disclosed cash settled | Fully disclosed direct settlement using custodian |

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| **Section B: Personal Details** |

Dr  Mr  Mrs  Ms

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| Full name (as in NRIC/ Passport): | Click or tap here to enter text. |

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| Aliases, if any: | Click or tap here to enter text. |

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| Date of Birth: | Click or tap to enter a date. |  | Nationality: | Click or tap here to enter text. |

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| NRIC/  Passport Number: | Click or tap here to enter text. |  | Are you a Singapore PR?  (For foreign Applicant): Yes  No |

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| Residential Address: | Click or tap here to enter text. |

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| Mailing Address  (if different from residential address, please provide reason below): | Click or tap here to enter text. |

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| Reason: | Click or tap here to enter text. |

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| Home No.: | Click or tap here to enter text. |  | Mobile No.: | Click or tap here to enter text. |

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| Email address: | Click or tap here to enter text. |

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| Employment Status: | | |
| Salaried employee | Self-employed (Business owner/Commission earner) | Unemployed (please specify, e.g., Homemaker, Student, Retiree); If retired, please provide name of previous employer, last position held and period of employment with previous employer:  Click or tap here to enter text. |

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| Name of Employer: | Click or tap here to enter text. |

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| Address of employer: | Click or tap here to enter text. |

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| Position Held: | Click or tap here to enter text. |  | Office No.: | Click or tap here to enter text. |

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| Bank Account Details for Settlement | | | | |
| Bank Name: | Click or tap here to enter text. | City: | Click or tap here to enter text. |
| Account Type: | Click or tap here to enter text. | Country: | Click or tap here to enter text. |

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| **Section C: Financial Details** |

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| |  |  |  |  |  | | --- | --- | --- | --- | --- | | Source of funds(1) that will be used for trading (Please check as appropriate): | | | | | | Savings | Business | Rental Income | Investment | | Salary | Inherited Wealth | Sale of Property | Others (please specify activity that generated the funds): | |  |  |  | Click or tap here to enter text. | | Source of wealth(2) (Please check as appropriate): | | | | | Savings | Business | Rental Income | Investment | | Salary | Inherited Wealth | Sale of Property | Others (please specify): | |  |  |  | Click or tap here to enter text. | |  | | | | | Please state the country(ies) of origin for source(s) of wealth declared | | | | | Singapore | Other countries | Click or tap here to enter text. | | |

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| Annual Income: | | | | | |
| <S$100,000 | S$100,001 – S$300,000 | S$300,001 – S$400,000 | S$400,001 – S$500,000 | Above S$500,000 |
| Net Worth (Shareholdings, assets, properties etc): | | | | |
| Less than S$1m | S$1,000,001 to S$2m | S$2,000,001 to S$3m | S$3,000,001 to S$4m | Above S$4m |

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| **Section D: Relationship and Trading Objectives** |

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| Are you related to any employee/ representative of GTN Asia?  Yes  No | | |
| If yes, please specify: | |
| Click or tap here to enter text. |

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| Do you have any prior experience in trading of capital markets products (CMPs)?  Yes  No | | | | |
| If yes, please indicate the type of CMPs that you have prior trading experience (Please check as appropriate): | | | |
| Trading in securities | Trading in exchange-traded derivatives contracts | Trading in units in a Collective Investment Schemes |

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| |  |  |  |  | | --- | --- | --- | --- | | Please indicate your investment objectives (Please check as appropriate) | | | | | Long Term Investment | Short Term Trading Profits | Passive Income / Dividend Yield | | Hedging | Others (please specify): | Click or tap here to enter text. | | | | |
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| Please provide an estimated number of transactions that you intend to trade via GTN Asia over the next three months | | |
| Click or tap here to enter text. |

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| Please provide an estimated value of transactions (in SGD) that you intend to trade via GTN Asia over the next three months | |
| Click or tap here to enter text. |

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| **Section E: Foreign Account Tax Compliance Act (FATCA)/ Common Reporting Standard (CRS)** |

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| Country of tax residency: | Click or tap here to enter text. | Tax identification number: | Click or tap here to enter text. |

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| If country of tax residency differs from the country of your residential address, please specify reason: | Click or tap here to enter text. |

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| If you are not a tax resident in any jurisdiction, please check this box: |
| Note: If you wish to trade in U.S. shares and you are not a U.S. tax resident, please complete the W-8BEN Form. U.S. tax residents are not allowed to open account with GTN Asia to trade U.S. shares. |

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| **Section F: Politically Exposed Person (PEP)** |

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| 1. Are you a PEP (3) that has a Prominent public function (4), in Singapore or overseas? | Yes  No |

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| 1. Are you a Family member (5) of someone with a Prominent public function? | Yes  No |

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| 1. Are you a Close associate (6) of someone with a Prominent public function? | Yes  No |

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| **If your response is “Yes” to any of the above questions, please complete Annexure A.** |

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| **Section G: Declaration by applicant** |

I declare that the information provided in this form is true and correct. I am aware that I may be subject to prosecution and criminal sanctions under written law if I am found to have made any false statement which I know to be false or which I do not believe to be true, or if I have intentionally suppressed any material fact.

The application herein is on the basis that I shall be the legal and the beneficial owner of the account applied for.

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| Signature | Click or tap here to enter text. |

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| Date | Click or tap to enter a date. |

Please note that all information provided is kept confidential in accordance with the Personal Data Protection Act 2012 (No. 26 of 2012) of Singapore.

**Definitions and Explanations**

1. Source of funds refers to the origin of the particular funds or other assets which are the subject of the establishment of business relations with GTN Asia (e.g. the amounts being invested, deposited, or wired as part of the business relations).
2. Source of wealth generally refers to the origin of your entire body of wealth (i.e. total assets). This relates to how you have acquired the wealth which is distinct from identifying the assets that you own.
3. A PEP means (a) a natural person who is or has been entrusted with prominent public functions whether in Singapore, in a foreign country or in an international organisation; (b) Family member of such person; or (c) Close Associate of such person. A PEP in Singapore will include all Government Ministers, Members of Parliament, Nominated Members of Parliament and Non-Constituency Members of Parliament.
4. “Prominent public function” includes the roles held by:
   * + a head of state;
     + a head of government;
     + government ministers;
     + senior civil or public servants;
     + senior judicial or military officials;
     + senior executives of state-owned corporations;
     + senior political party officials;
     + members of the legislature; or
     + senior management of International organisations(7) such as directors, deputy directors and members of the board or equivalent functions.
5. “Family member” means a parent, step-parent, child, step-child, adopted child, spouse, sibling, step-sibling and adopted sibling.
6. “Close associate” means a natural person who is closely connected to, either socially or professionally.
7. “International organisation” means an entity established by formal political agreements between member countries that have the status of international treaties, whose existence is recognised by law in member countries, and which is not treated as a resident institutional unit of the country in which it is located. Examples of an “international organisation” may include but not be limited to the United Nations and affiliated agencies such as the International Maritime Organisation and the International Monetary Fund; regional international organisations such as the Asian Development Bank, Association of Southeast Asian Nations Secretariat, institutions of the European Union, the Organisation for Security and Cooperation in Europe; military international organisations such as the North Atlantic Treaty Organisation; and economic organisations such as the World Trade Organisation or the Asia-Pacific Economic Cooperation Secretariat.