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Description automatically generated

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

Institutional 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. |
| **Client Contact Details for Onboarding and Ongoing Client Due Diligence** |

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| Contact Person Name: | Click or tap here to enter text. |

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| Designation: | Click or tap here to enter text. | Email Address: | Click or tap here to enter text. |

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| Contact No: | Click or tap here to enter text. |

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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 | Trading in exchange traded derivatives contracts | Trading in units in a Collective Investment Schemes |

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| Please indicate the stock exchanges that you wish to trade with 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 with 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 the company | 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 | Fully disclosed cash settled | Fully disclosed direct settlement using custodian |

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| **Section B: General Information of Company** |

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| Full registered name: | Click or tap here to enter text. |

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| Former name(s), if any: | Click or tap here to enter text. |

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| Trading name(s), if any: | Click or tap here to enter text. |

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| Incorporation / registration Number: | Click or tap here to enter text. |  | Date of Incorporation / registration: | Click or tap to enter a date. |

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| Country of incorporation / registration: | Click or tap here to enter text. |

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

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| Address of principal place of business, i.e., where management is located (if different from registered address): |
| Click or tap here to enter text. |

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| Email address: | Click or tap here to enter text. |  | Phone No.: | Click or tap here to enter text. |

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| Fax No.: | Click or tap here to enter text. |  | Corporate website, if any: | Click or tap here to enter text. |

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| Name of business group to which company belongs, if any: | Click or tap here to enter text. |

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| Name of regulatory authority (for regulated financial institution): | Click or tap here to enter text. |

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| License Number (for regulated financial institution): | Click or tap here to enter text. |

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| If there was any money laundering or terrorism financing investigation or regulatory action in the past 3 years, please provide the details, if any (for regulated financial institution): | Click or tap here to enter text. |

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| Name of exchange (for listed Company): | Click or tap here to enter text. |

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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 the Company is not a tax resident in any jurisdiction, please check this box: |

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| **FATCA Status** | | |
| Trading on behalf of Company’s clients ([FATCA – W-8IMY](https://www.irs.gov/pub/irs-pdf/fw8imy.pdf) Form to be provided) | | |
|  | Chapter 3 Status (entity type) *(Please refer the* [*FATCA – W-8IMY*](https://www.irs.gov/pub/irs-pdf/fw8imy.pdf) *Form for the options)*: | *Please Enter Your Chapter 3 Status* |
|  | Chapter 4 Status (FATCA status) *(Please refer the* [*FATCA – W-8IMY*](https://www.irs.gov/pub/irs-pdf/fw8imy.pdf) *Form for the options)*: | *Please Enter Your Chapter 4 Status.* |
| Proprietary Trading ([FATCA – W8-BEN—E Form](https://www.irs.gov/pub/irs-pdf/fw8bene.pdf) to be provided) | | |
|  | Chapter 3 Status (entity type) *(Please refer the (*[*FATCA – W8-BEN—E Form*](https://www.irs.gov/pub/irs-pdf/fw8bene.pdf) *for the options):* | *Please Enter Your Chapter 3 Status* |
|  | Chapter 4 Status (FATCA status) *(Please refer the (*[*FATCA – W8-BEN—E Form*](https://www.irs.gov/pub/irs-pdf/fw8bene.pdf) *for the options):* | *Please Enter Your Chapter 4 Status.* |

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| Does your Company has Business Establishment (“BE”) in Singapore?(13) | Yes  No |
| Does your Company has a Fixed Establishment (“FE”) in Singapore? (14) | Yes  No |
| Is your Company or affiliates The Goods or Services Tax (“GST”) - registered in Singapore? (15) | Yes  No |
| If yes, please enter the GST registration number: | Click or tap here to enter text. |

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| Please provide details of the industry and business (e.g., products/ services) | Click or tap here to enter text. |
| Click or tap here to enter text. |

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| Target customer markets (e.g. local, international): | Click or tap here to enter text. |

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| Types of customers of the company (e.g. institutional, retail): | Click or tap here to enter text. |

Is there any client categorised as high risk by the company: Yes No

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| Which high risk countries or jurisdictions(12) is the company exposed to through its customers, either through place of incorporation/ place of business for non-individual clients or their nationality/ place of domicile for individual clients: | Click or tap here to enter text. |

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| Please provide the primary countries in which the company has dealings with or operations in? | Click or tap here to enter text. |
| Click or tap here to enter text. |

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| Please provide the countries or jurisdictions in which subsidiaries and branches of the group are located, if applicable | Click or tap here to enter text. |

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| Please provide the purpose of applying for an account with GTN Asia | | |
| Trading on behalf of Company’s clients | Proprietary Trading | Other (please specify):  Click or tap here to enter text. |

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| Source of funds(1) used for trading or custody with GTN Asia | | |
| Clients’ monies | Income from ongoing operations | Other (please specify activity that generated the funds):  Click or tap here to enter text. |

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| Is there any potential use of account by other respondent financial institutions(9) (FIs) in a “nested” correspondent account relationship(10)?  Yes  No |
| |  | | --- | |  |   Please provide an estimated number of transactions that the company intends 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 the company intends to trade via GTN Asia over the next three months | |
|  | Click or tap here to enter text. |

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| Company’s investable assets in SGD | Click or tap here to enter text. |

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| Bank Account Details | | | |
| 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: Board of Directors** |

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| Please provide the identity documentation (i.e., Identity card or passport) or website link with the full name, including any aliases and unique identification number of all the Board of Directors: | |
| 1. Click or tap here to enter text. | 1. Click or tap here to enter text. |
| 1. Click or tap here to enter text. | 1. Click or tap here to enter text. |
| 1. Click or tap here to enter text. | 1. Click or tap here to enter text. |
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| **Section D: Person(s) having Executive Authority** |

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| Please provide the identity documentation (i.e., Identity card or passport) or website link with the full name, including any aliases and unique identification number of all the person(s) with executive authority(2): |
| 1. Click or tap here to enter text. |
| 1. Click or tap here to enter text. |
| 1. Click or tap here to enter text. |
| 1. Click or tap here to enter text. |
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| **Section E: Authorised Person(s) acting on behalf of Company** |

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| Please provide the following details for all authorised person(s) appointed to act on behalf of the Company(3):   |  |  |  | | --- | --- | --- | | **No.** | **Full Name** | **Position in or relationship with the Company** | |  | Click or tap here to enter text. | Click or tap here to enter text. | |  | Click or tap here to enter text. | Click or tap here to enter text. | |  | Click or tap here to enter text. | Click or tap here to enter text. | |  | Click or tap here to enter text. | Click or tap here to enter text. | |  | Click or tap here to enter text. | Click or tap here to enter text. | |  | Click or tap here to enter text. | Click or tap here to enter text. | |  | Click or tap here to enter text. | Click or tap here to enter text. | |  | Click or tap here to enter text. | Click or tap here to enter text. | |  | Click or tap here to enter text. | Click or tap here to enter text. | |  | Click or tap here to enter text. | Click or tap here to enter text. | |  | Click or tap here to enter text. | Click or tap here to enter text. | |  | Click or tap here to enter text. | Click or tap here to enter text. | |  | Click or tap here to enter text. | Click or tap here to enter text. | |  | Click or tap here to enter text. | Click or tap here to enter text. |   If the above list is longer than 10, please also indicate who will deal directly with GTN Asia. |
| Originals or certified copies of the following will be requested and retained by GTN Asia:   * Proof of identification and proof of address documents (i.e., Identity card or passport, utility or landline telephone bill, bank statement or correspondence from a government agency in the past 3 months) for each authorised person; and * Board resolution or other document verifying the authority of the person(s) appointed to act on behalf of the Company, including specimen signature(s) of such authorised person(s). |

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

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| 1. Is there any director, person having executive authority or authorised person appointed to act on behalf of company who is a PEP (4) that has a prominent public function (5), in Singapore or overseas? | Yes  No |

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| 1. Is there any director, person having executive authority or authorised person appointed to act on behalf of company who is a family member (6) of someone with a prominent public function? | Yes  No |

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| 1. Is there any director, person having executive authority or authorised person appointed to act on behalf of company who is a close associate (7) 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 an Annexure A for each and every relevant director, person having executive authority or authorised person appointed to act on behalf of the Company.** |

**Declaration by Authorised Person(s) Acting on Behalf of Company**

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.

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

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| Name of person acting on behalf of company | Click or tap here to enter text. |  | Click or tap here to enter text. |

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| --- | --- | --- | --- |
| Position in or relationship with the company | Click or tap here to enter text. |  | Click or tap here to enter text. |

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

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. Examples of persons having executive authority in a company include the Chairman and the Chief Executive Officer.
3. A natural person appointed to act on behalf of the company may be an officer of the company who enters into the business relationship with GTN Asia or who signs the agreement with GTN Asia on behalf of the company. This person may also be an agent appointed by the company to act on its behalf.
4. A PEP in Singapore will include all Government Ministers, Members of Parliament, Nominated Members of Parliament and Non-Constituency Members of Parliament.
5. “Prominent public functions” 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](#International_organisation) (8) such as directors, deputy directors and members of the board or equivalent functions
6. “Family member” means a parent, step-parent, child, step-child, adopted child, spouse, sibling, step-sibling and adopted sibling of the PEP.
7. “Close associate” means a natural person who is closely connected to a PEP, either socially or professionally.
8. “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” include 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.
9. “Respondent financial institution” means a financial institution, outside Singapore to which correspondent account services(11) are provided.
10. “Nested correspondent account services” refer to the use of a GTN Asia’s correspondent account relationship by a number of respondent FIs through their relationships with GTN Asia’s direct respondent FI, to conduct transactions and obtain access to other financial services.
11. “Correspondent account services” means the provision of regulated trade execution or custodial services under a cross-border relationship between GTN Asia and a respondent financial institution, whether for that respondent financial institution as principal or for that respondent financial institution’s customers. An example of a correspondent account service is where a securities firm outside Singapore opens a securities trading account with GTN Asia in Singapore, to trade on its own behalf or for its customers.
12. “High risk countries or jurisdictions” mean countries or jurisdictions which have relatively higher levels of corruption, organised crime or inadequate anti-money laundering and countering the financing of terrorism measures, as identified by the Financial Action Task Force or countries identified by credible bodies (e.g. reputable international bodies such as Transparency International) as having significant levels of corruption, terrorism financing or other criminal activity.
13. The applicant is regarded to have a “BE” in Singapore if:-

* Its main seat of economic activity is in Singapore;
* It carries on a business through a branch in Singapore; or
* It carries on its business through an agency in Singapore.

The main seat of economic activity refers to the place where the essential decisions concerning the general management of the company are made and where the functions of its central administration are carried out. It usually refers to the head office, headquarters or principal place of business.

1. “FE” is an establishment, other than the business establishment, that has both the technical and human resources necessary to provide or receive services on a permanent basis.
2. “GST” is a broad-based consumption tax levied on relevant supplies of goods and services in Singapore by the Inland Revenue of Singapore. You are encouraged to seek professional advice from your own tax advisors on any Singapore tax matters, including GST.