



Lim & Tan Securities Pte Ltd
20 Cecil Street #09-00 Equity Plaza Singapore 049705
Tel: 65330595 Fax: 65332368
www.limtan.com.sg RCB Reg. No.: 197301030W

SGX-ST Member, SGX-DT (CNM)

TR Code :
Client Code (Advisory)
Client Code (Online)

ACCOUNT OPENING FORM FOR SECURITIES TRADING (INDIVIDUAL)

TYPE OF ACCOUNT Tick one or both

Securities Trading Account Online Trading Account
Name of Trading Representative

PERSONAL DATA

MR/MISS/MDM/DR/MS/MRS
Name
Alias
(As stated in your Identity Card/Passport)

NRIC/Passport No Marital Status: Married Single Others
**Photocopies of document to be submitted: For Singaporean: Identity Card (Front & Back)
• For Malaysians: Identity Card (front & back), For S'pore PR (work permit) • For Foreigners: Passport (inclusive of signature page)**

NRIC Pink Blue

Permanent Resident of Singapore (For Foreign Applicant) Yes No

Residential/
Mailing Address
(As in NRIC) Postal District

Mailing Address
in Singapore
(For Foreign Applicant) Singapore Postal District

Home Telephone No. Office Telephone No.
Handphone / Pager Fax No.
Date of Birth Nationality
D D M M Y Y Y Y

E-mail Address

Are you related to any employee of Lim & Tan Securities Pte Ltd? Yes No

If Yes, Please state the name and relationship

Have you previously opened an account with the Company? Yes No

Mother's Maiden name (for security identification)

EMPLOYMENT

Name of Company
Address

Present Position

ANNUAL INCOME

Up to \$30,000 \$30,001 to \$50,000 \$50,001 to \$100,000 Above \$100,000

NET WORTH (Shareholdings, assets, properties etc)

Up to \$500,000 \$500,001 to \$1,000,000 \$1,000,001 to \$5,000,000 Above \$5,000,000

Private Property(ies) owned

Other information

GLOBAL SECURITIES ACCOUNT (GSA)

GSA NO.: --

CPF INVESTMENT ACCOUNT (Please tick)

OCBC DBS UOB

CPF Investment Account No:

SUPPLEMENTARY RETIREMENT SCHEME ACCOUNT (Please tick)

OCBC DBS UOB

SRS Account No:

ELECTRONIC PAYMENT FOR SHARES (Please tick)

OCBC DBS UOB

EPS Account No:

Please refer to the Terms & Conditions on EPS

DECLARATION

I agree to be bound by all rules, regulations, guidelines, customs, practices, notices, directives, advice or recommendations of the Singapore Exchange Securities Trading Limited and any relevant regulatory body as are in force from time to time which govern the purchase and sale of securities.

I confirm that I have received, read and understood the Terms And Conditions for Securities Trading Accounts (Ref: T&C 01/09) annexed hereto and all other documents annexed hereto and thereto, all of which (together with this Account Opening Form for Securities Trading) shall be read with, referred to, and construed as part of the agreement between Lim & Tan Securities Pte Ltd ("L&T") and myself in respect of the Securities Trading Account (the "Agreement").

In consideration of L&T accepting my application for, and/or maintaining or providing for me, a Securities Trading Account, I hereby agree to be bound by the terms of the Agreement, as currently in effect and as amended from time to time.

I confirm that:

- a) I make the application herein for myself, and not for and on behalf of any other person or party;
- b) the application herein is on the basis that I shall be the legal and the beneficial owner of the account applied for.

Signature of Applicant

Date

Witnessed by Authorised Representative /Notary Public (Foreigners)

Date

TO BE COMPLETED BY TRADING REPRESENTATIVE

Relationship with Trading Representative Acquaintance* Friend Relative (Please specify)

* Introduced By Friend Relative Client (A/c No)

Known Applicant for Less than 6 months Up to 2 years Up to 5 years More than 5 years

(a) Proposed Securities Trading Limit \$ _____ (b) Proposed Online Trading Limit \$ _____

Comments to support the above _____

Signature of Trading Representative/Date

FOR OFFICE USE

OPERATIONS DEPT

• LETTER OF AUTHORISATION YES NO

• GST STATUS TAXABLE NON TAXABLE

KEYED BY _____ CHECKED BY _____

CDP LINKAGE CHECKED BY _____ PV BY _____

REVIEWED/APPROVED BY _____ DATE _____

ONLINE PROGRAMME _____

CREDIT DEPT

JOINT A/C _____ LIMIT _____

REVIEWED BY _____ DATE _____

APPROVED BY _____ DATE _____

APPROVED BY _____ DATE _____

IMPORTANT : Please read this information carefully. Consult an independent professional adviser if you have any queries.

1. All capitalised terms used below shall have the same meaning as defined in the Terms and Conditions for the Operation of Securities Accounts.
2. When considering whether to link your Securities Accounts held with CDP to your Trading Account held with a Clearing Member or a Trading Member, please note the following:-
 - (a) In the case where the Trading Account is maintained with a Trading Member, the following shall be the consequences of a revocation of the Linkage:-
 - (i) in the event where the Linkage is revoked as a result of a default of the Trading Member after settlement ("Settlement") has already occurred pursuant to the Clearing Rules on a Settlement Day, any debits or credits of Securities, as the case may be, in respect of a sale or purchase of Securities, to or from your Securities Account shall not be reversed by CDP.

Specifically, the application of this principle will mean that in a case where the Trading Member is insolvent, and CDP receives notice of the Trading Member's insolvency after Settlement has occurred on any Settlement Day, then, in the event that you have effected a sale which is due for Settlement on that Settlement Day, the debit of your Securities Account pursuant to the sale will not be reversed. Your Securities Account will remain debited by the amount of securities sold. CDP shall not be responsible for, or liable to ensure that payment for the Securities debited is made to you.
 - (ii) in the event where the Linkage is revoked as a result of a default of the Trading Member before Settlement is effected on a Settlement Day, no sale or purchase of Securities shall be debited or credited in your Securities Account on or after the relevant Settlement Day.
 - (b) Specifically, all application of this principle will mean that in a case where the Trading Member is insolvent, and CDP receives notice of the Trading Member's insolvency before Settlement on a relevant Settlement Day, then, in the event that you have effected a purchase which is due for Settlement on that Settlement Day, your Securities Account will not be credited with the amount of securities purchased. Likewise, in the event that you have effected a sale which is due for Settlement on that Settlement Day, your Securities Account will not be debited with the amount of securities sold.
- (b) In the case where the Trading Account is held with the Clearing Member, the following shall be consequences of the revocation of the Linkage:-
 - (i) in the event where the Linkage is revoked as a result of a default of the Clearing Member and regardless of whether the Settlement has occurred or not, your Securities Account shall continue to be debited or credited, as the case may be, by any sales or purchases of Securities. Pursuant to the Clearing Rules, CDP in its capacity as a clearing house, will be novated to the rights of the Clearing Member to make payment to you for sales, and to receive payment from you, for purchases.

Specifically, the application of this principle will mean that in a case where the Clearing Member is insolvent, thus triggering an event of default, then, in the event that you have effected a sale transaction which is due for Settlement on that Settlement Day, your Securities Account will be debited pursuant to the sale on that Settlement Day. Since the Clearing Member is insolvent, payment for the securities will instead be made by CDP directly to you in respect of the securities sold.