

TR/Client Code: _____

TERM SHEET FOR CASH COLLATERALISED TRADING
(Applicable only to **Individual** Online Trading Accounts)

MARKETS	
SINGAPORE EXCHANGE SECURITIES TRADING (SGX-ST)	SHANGHAI-HONG KONG CONNECT (SH-HK)
1. WHO IS ELIGIBLE TO TRADE?	
Account holders who are 18 years and above.	Account holders who are 21 years and above.
2. TRADING LIMIT	
Subject to approved credit limit and based on the amount of cash placed in the SGD trust account.	Subject to approved credit limit and based on the amount of cash placed in the multi-currency trust account.
3. SETTLEMENT	
<p>Contra/set-off is allowed.</p> <p>For non contra trades, payment for purchases are deducted from the funds in your trust account on Due Date + 1 (D+1). Similarly, sales proceeds will be credited to your trust account on D+1.</p>	<p>Contra trading is not allowed for both intra-day and inter-day.</p> <p>Shares bought on T-day can only be sold on and after T+1 day. Payment for your purchases will be deducted from the funds in your trust account on Trade Date + 1 (T+1). Similarly, sales proceeds will be credited to your trust account on T+1. Default settlement currency is SGD but you have the option to change to CNY before you submit your order.</p>
4. COMMISSION	
Flat rate of 0.18% subject to a minimum of S\$18/- per contract	Flat rate of 0.25% subject to minimum of CNY 88 per contract
5. CUSTODY	
Shares purchased shall be custodised in Lim & Tan Securities [LTS] Sub-Account. Only custodised shares may be sold in the account.	Shares purchased shall be custodised in Lim & Tan Securities account with the foreign broker. Only custodised shares may be sold in the account.
6. INTEREST ON CASH PLACED IN TRUST ACCOUNT	
Interest payable for SGD cash in the trust account is based on LTS prevailing rate. Please refer to the LTS website for the latest rate.	Interest payable for SGD cash in the trust account is based on LTS prevailing rate. Please refer to the LTS website for the latest rate. Interest is not payable on CNY cash in trust account.
7. FEES*	
i) CDP Sub Account Maintenance Fees are waived.	
ii) Foreign custody fee is not applicable.	ii) Monthly foreign custody fee of S\$2 per counter. For clients who conduct at least 6 trades in one quarter in any markets, the monthly fee of S\$2 per counter will be waived in any month of that quarter. For clients who conduct at least 2 trades in a month, the monthly fee of S\$2 per counter will be waived in that month.

iii) Handling fees for Dividend are waived.	iii) Handling fees for dividend as follows: <table border="0"> <thead> <tr> <th><u>Dividend Amount</u></th> <th><u>Dividend Charges</u></th> </tr> </thead> <tbody> <tr> <td>Below S\$10</td> <td>S\$3.00 + GST</td> </tr> <tr> <td>S\$10 to S\$500</td> <td>S\$5.00 + GST</td> </tr> <tr> <td>Above S\$500</td> <td>1% subject to max. of S\$100 + GST</td> </tr> </tbody> </table> Note: Dividends are subject to withholding tax of 30%	<u>Dividend Amount</u>	<u>Dividend Charges</u>	Below S\$10	S\$3.00 + GST	S\$10 to S\$500	S\$5.00 + GST	Above S\$500	1% subject to max. of S\$100 + GST
<u>Dividend Amount</u>	<u>Dividend Charges</u>								
Below S\$10	S\$3.00 + GST								
S\$10 to S\$500	S\$5.00 + GST								
Above S\$500	1% subject to max. of S\$100 + GST								
	iv) Service charge on cash offer / expiry of warrants / rights application is S\$10 per counter + GST. Additional fees (Foreign Fees Paid ("FFP")) Stamp Duty: 0.1% of the consideration of a transaction on the seller (SAT) Handling fee: 0.00487% of the consideration of a transaction per side (SSE) Securities Management fee: 0.002% of the consideration of the transaction per side (CSRC) Transfer fee (i) 0.002% of the consideration of the transaction per side (ChinaClear) (ii) 0.002% of the consideration of the transaction per side (HKSCC)								
8. RETURN OF TRUST MONIES									
Trust monies placed with LTS upon commencement of trading account will be returned to client should there be no trades up till the end of the following calendar quarter from account opening date.									

*Subject to prevailing GST

DECLARATION

I agree to the above terms and understand that these are in addition to the Terms and Conditions governing Securities Trading (Ref: 12/21), which I have earlier acknowledged when I signed the account opening form.

Signature of Applicant

Name:

NRIC:

Date:

Verified by Trading Representative

Date:



Existing Clients Opening Additional Account(s)

(Please provide a copy of your NRIC/Passport)

Name of Client: _____ Existing Trading Account No: _____

Contact Number: _____ Email Address: _____

Mother's Maiden Name (for Security Identification) _____

Additional account to be opened (please tick as appropriate)

Cash Collateralised Trading (CCT) Account

Contract for Difference (CFD) Account (SGX)

Contract for Difference (CFD) Account (Foreign)

Cash Trading Account

Margin Trading Account

Online

Online

Broker Assisted

Broker Assisted

PLEASE COMPLETE THE BELOW SECTIONS & SIGN THE DECLARATION

1. Politically Exposed Person ("PEP")#

Are you a close associate of a PEP or do you or your immediate family Members hold or are being considered for a prominent public position? Yes No

If Yes, please provide details: Name/ NRIC: _____ Relationship to Applicant: _____

Position Held/ Position being considered or sought: _____

#PEP (As per MAS Notice SFA04-N02):-

(a) a natural person who is or has been entrusted with prominent public functions whether in Singapore or in a foreign country;

(b) immediate family members of such person; or

(c) close associates of such person.

"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 and senior management of international organizations.

2. Tax Residency

I am a tax resident of Singapore and my Tax Identification No is _____ (If it differs from your NRIC)

Other country _____ and my Tax Identification No is _____

I have no Tax Identification No / Reason: _____

(Please complete W-9 Form if you are a US Tax resident)

3. Employment / Finance Details

Position Held/ Last Held _____ Name of Employer _____

Address of Employer _____ Postal code _____

Source of Funding for this trading account(s) Please tick as appropriate

Savings Salary CPF/Pension Inheritance Rental Income Business Income

Others: _____

Annual Income

Up to \$30,000 \$30,000 to \$50,000 \$50,000 to \$100,000 \$100,000 to \$300,000 Above \$300,000

Net Worth (Shareholdings, assets, properties etc)

Less than \$100,000 Up to \$500,000 \$500,000 to \$1M \$1M to \$2M Above \$2M

Private Property(ies) owned _____

I have been a bankrupt / discharged bankrupt

Yes / No (Please delete accordingly)

I have delinquent records with stockbroking firm(s)

Yes / No (Please delete accordingly)



4. Settlement of Account

Electronic Payment of Shares (EPS) or GIRO (Separate form to be filled and signed for GIRO application)

(OCBC / DBS / UOB / CITI / MAYBANK) Bank Account No. _____

Declaration by Applicant

I represent and warrant to Lim & Tan Securities Pte Ltd that the information furnished is true, accurate and complete.

I confirm that I have received, read and understood the contents of "The Guide And Cautionary Notes for maintaining/continuing a Trading Account with Lim & Tan Securities Pte Ltd" and the Terms And Conditions Governing Securities Trading Accounts (Ref: 12/21) and all other documents annexed hereto all of which together with this Account Opening Form shall be construed as containing the terms agreed between Lim & Tan Securities Pte Ltd and myself.

I will at all times remain in full compliance with all laws to which I am subject including, without limitation, all tax laws and regulations, exchange control requirements and registration requirements with regards to my funds and assets.

In consideration of Lim & Tan Securities Pte Ltd accepting my application herein, I hereby agree to be bound by the aforesaid terms and as may be amended from time to time in accordance with the Terms And Conditions Governing Securities Trading Accounts.

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

Signature of Client / Date

**Signature of Witness
Name
NRIC**

TO BE COMPLETED BY TRADING REPRESENTATIVE

Name of TR _____ TR Code ()

Proposed Trading Limit for: (a) Broker-Assisted Trading \$ _____; (b) Online Trading \$ _____;

(c) CFD Trading (SGX) (\$) _____; (d) CFD Trading (Foreign) (\$) _____;

(e) Cash Collateralised Trading \$ _____;

(f) Margin \$ _____; (g) Margin Interest Free Period Yes No

Recommendation supporting this application _____

In consideration of you opening the account for my client, I undertake to be held liable for any losses or such other amount incurred by my client that is due and payable to you. You are entitled to the right of set-off against my deposits, guarantees or any monies held by you.

Signature of Trading Representative / Date

For Office Use

Verified by: _____ NRIC/PP Signature of existing account in our records

New Account Number: _____

Checked by: _____ Date: _____

Keyed by : _____ Date: _____

Approved by: _____ Date: _____

Declaration by Securities Sub-Account Applicant

1. I declare that I am not under 21 years of age or an undischarged bankrupt.
2. I hereby request you to open and maintain a Securities Sub-Account and to act as my depository in relation to the securities that may be deposited in my Securities Sub-Account from time to time.
3. I have received a copy of the Terms & Conditions for operation of the Securities Sub-Account (Conditions) and have read and understood the Conditions. I agree that the Securities Sub-Account will be operated in accordance with the Conditions in force from time to time and to agree to abide by the same.
4. I hereby authorise you to accept delivery of the securities that may be delivered to you from time to time for deposit into the Securities Sub-Account. I hereby represent and warrant that I have good title to such securities and that the party making such deposit is lawfully entitled and duly authorised to do so.
5. I undertake to personally submit documentary proof of you for any change of the particulars given overleaf immediately upon such change taking place. Until such proof is given to you, I authorise you to treat all the said particulars as correct in all respects, and I undertake not to hold you responsible or liable for anything which you do or omit to do in reliance on such particulars

FOR OFFICE USE ONLY

A/C opened/
Activated by : _____

Remarks : _____

Approved by : _____

Date : _____