



海通國際
HAITONG

Haitong International Financial Services (Singapore) Pte. Ltd. ("HTIFS")
Haitong International Securities (Singapore) Pte. Ltd. ("HTISS")

NOTIFICATION OF CHANGE IN PARTICULARS - CORPORATE ACCOUNT

Client Name : _____ **Trading Account No.:** _____

If you wish to update a change in your particulars, please complete the relevant field and attach the supporting document. Please tick in the box as appropriate and *delete where applicable.

I. COMPANY PARTICULARS

Parent Company

Name of Company

Registered Address

Postal Code

Country

Mailing Address

Postal Code

Country

Please state reason if mailing address is different from registered address and provide proof of address.

Communication should be marked to the Attention of:

Email Address

Telephone no: _____ **Fax no:** _____

Nature of Business : _____

Connected Parties: Directors/CEO/Chairman**

	Name	Address	Nationality	ID / Passport No.	Date of Birth
1)					
2)					
3)					

** Please attach a separate schedule if the space provided is insufficient.

II. AUTHORISED PERSONS TO TRADE

<u>Name / Designation</u>	<u>Address</u>	<u>Nationality</u>	<u>ID / Passport No.</u>	<u>Date of Birth</u>	<u>Email / Tel no.</u>
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(1) _____

(2) _____

(3) _____

Group Email: _____ Fax No.: _____

** Please attach a separate schedule if the space provided is insufficient.

III. AUTHORISED SIGNATORIES

<u>Name / Designation</u>	<u>Address</u>	<u>Nationality</u>	<u>ID / Passport No.</u>	<u>Date of Birth</u>	<u>Email / Tel no.</u>
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(1) _____

(2) _____

(3) _____

Group Email: _____ Fax No.: _____

** Please attach a separate schedule if the space provided is insufficient.

IV. FINANCIAL POSITION

As of Most Recent Audited Accounts for Year Ending : _____ (DD/MM/YYYY)

Authorised Capital : (S\$) _____

Paid-up Capital : (S\$) _____

Total Shareholders' Funds : (S\$) _____

Purpose & Intended Nature of Account (MAS Notice No. SFA 04-N02):

- | | | |
|--|----------------------------------|---|
| <input type="checkbox"/> Speculative Trading | <input type="checkbox"/> Hedging | <input type="checkbox"/> Non-Proprietary (Acting as an agent) |
| <input type="checkbox"/> Proprietary Trading
(Trading on own account) | <input type="checkbox"/> Omnibus | <input type="checkbox"/> Others (Please specify) _____ |

Source(s) of Funds (MAS Notice No. SFA 04-N02)

- | | | | |
|--|--|--|--|
| <input type="checkbox"/> Shareholders capital | <input type="checkbox"/> Business proceeds | <input type="checkbox"/> Commission or contract fee | <input type="checkbox"/> Services rendered |
| <input type="checkbox"/> Return on investments | <input type="checkbox"/> Loans | <input type="checkbox"/> Others (Please specify) _____ | |

V. BANK ACCOUNT (for fund deposit only)

Bank Name

Bank Account Number

VI. TAX STATUS

Have you ever committed or been convicted of any serious tax crimes? Yes No

To the best of your knowledge, are the funds placed/to be placed with HTIFS / HTISS involved in or are the proceeds of any fraudulent tax evasion? Yes No

I/We acknowledge that I am/we are responsible for my/our own tax declarations to relevant authorities (regardless of whether preparation and submission is done by accountants/auditors or any other persons engaged by myself / ourselves for this purpose)

VII. BENEFICIAL OWNER(S) DECLARATION**PLEASE TICK EITHER ONE:**

1) We certify and confirm that the following individual(s) ultimately own(s) or has/have effective control over the Account opened with HTIFS / HTISS, i.e. "Beneficial Owner(s)":

- sole proprietor / partners of the business;
- directors of the company / office-bearer(s) of association / club / society;
- shareholders of the company;
- others (please advise details below)

Name	ID / Passport No. (Please provide a copy of the ID)	Nationality	Residential Address	Date of Birth

2) Pursuant to paragraph 6.16 of MAS Notice SFA04-N02, we certify and confirm that we belong to one of the following categories under which inquiring the existence of beneficial owner shall not be required. (Please tick to indicate the type of entity)

- a) an entity listed on the Singapore Exchange;
- b) an entity listed on a stock exchange outside of Singapore that is subject to (i) regulatory disclosure requirements; and (ii) requirements relating to adequate transparency in respect of its beneficial owners (imposed through other enforceable means);
- c) Financial institutions that are (i) licensed, approved, registered or regulated by MAS; (ii) certain persons exempted under the Financial Advisers Act^[1]; and (iii) certain persons exempted under the Securities and Futures Act^[2] [excluding holders of stored value facilities and a person other than (ii) and (iii) who is exempted from licensing, approval or regulation by MAS under any Act administered by MAS].
- d) a financial institution incorporated or established outside Singapore that is subject to and supervised for compliance with AML/CFT requirements consistent with standards set by the Financial Action Task Force (FATF); or
- e) an investment vehicle where the managers are financial institutions as set out in (e) above or incorporated or established outside Singapore but are subject to and supervised for compliance with AML/CFT requirements consistent with standards set by the FATF.

Note:

^[1] Persons exempted under section 23(1)(f) of the Financial Advisers Act (Cap. 110) read with regulation 27(1)(d) of the Financial Advisers Regulations (Rg. 2)

^[2] Persons exempted under section 99(1)(h) of the Securities and Futures Act (Cap. 289) read with paragraph 7(1)(b) of the Second Schedule to the Securities and Futures (Licensing and Conduct of Business) Regulations

VIII. DOCUMENTS REQUIRED

Attached herewith:

- | | |
|--|--------------------------------------|
| 1. Certified True Extract of Director's Resolution. (For change in Authorised Signatories / Authorised Persons to trade) | <input type="checkbox"/> |
| 2. Certified True Copy of Certification of Incorporation + (For Name Change) | <input type="checkbox"/> |
| 3. Certified True Copy of Audited Financial Statements + | <input type="checkbox"/> |
| 4. Copy of NRIC/Passport/Photo Identity Card of Connected Person(s)+ | <input type="checkbox"/> |
| 5. Copy of NRIC/Passport/Photo Identity Card of Beneficial owner(s)+ | <input type="checkbox"/> |
| 6. Copy of Bank Statement + (For change in bank account) | <input type="checkbox"/> |
| 7. Copy of Company Search by / Register of Directors / Register of Members | <input type="checkbox"/> |
| | + (For Additional Connected Parties) |

+ Copy to be verified by Notary Public / Lawyer or Authorised Representative of HTIFS / HTISS.

THE ABOVE CERTIFICATION OBTAINED HAS TO BE ORIGINAL

IX. DECLARATION

1.

We declare that the information given in this update is true and correct and that we have not wilfully withheld any facts. We undertake to keep HTIFS / HTISS informed of any changes in the particulars given in this update. We hereby authorise HTIFS / HTISS to verify any information given by us from any sources that HTIFS / HTISS may, in its sole discretion, deem appropriate.

 Authorised Signatory
 (Please affix Company Stamp/Seal, where applicable)

Name: _____

Designation: _____

Date: _____

 Authorised Signatory
 (Please affix Company Stamp/Seal, where applicable)

Name: _____

Designation: _____

Date: _____

 Authorised Signatory
 (Please affix Company Stamp/Seal, where applicable)

Name: _____

Designation: _____

Date: _____

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 (Please affix Company Stamp/Seal, where applicable)

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