

# Individual Account Application Form

Please complete ALL SECTIONS in full using BLOCK CAPITALS. Failure to do so could delay the opening of your trading account. Please call 1800 826 9953 (toll free from Singapore) or +65 6826 9953 (worldwide) should you have any questions.

### Application for:

CFD Account  FX Account

### Important Notes

\* Mandatory field. Not to be left blank.

^ Name as per Identity Card/Passport

The application form and FX Risk Disclosure Statement must be completed, signed and return to City Index Asia Pte Ltd ("City Index Asia" or "the Company").

### Personal details

Title Mr  Mrs  Miss  Ms  Dr

Name\* ^

Aliases\* (if any)

Identity Card / Passport Number\*

Current Residential Address\* (P.O. Boxes and c/o addresses will not be accepted)

Country / Postal Code

Length of Stay at address  
 years  months

Occupancy type - owner  live with parents  rented   
 other (please specify)

Marital status - single  married  divorced   
 other (please specify)

Date of Birth\*

Nationality\*

Contact No. - Home Tel No.\*  Mobile No.\*

Email address\*

### Employer details

Employment Status\*  
 Employed  Self Employed  Retired

Student  Homemaker

Variable or Commissioned Earner  Military

Un-employed

Occupation\*

Employer's Name\*

### Employer's Address

Country / Postal Code

Contact No. - Office Tel No. / Fax No.

Email address

Length of Current Employment  
 years  months

Nature of Business

### Financial details\*

Annual Income  
 Less than S\$15,000  S\$15,001 – S\$30,000   
 S\$30,001 – S\$50,000  S\$50,001 – 100,000   
 more than S\$100,000

Net Worth  
 Less than S\$35,000  S\$35,001 – S\$50,000   
 S\$50,001 – S\$100,000  more than S\$100,000

Liquid Saving  
 Less than S\$15,000  S\$15,001 – S\$30,000   
 S\$30,001 – S\$50,000  S\$50,001 – 100,000   
 more than S\$100,000

Estimated Outstanding Debt S\$

### Investing Experience\*

Financial market knowledge Low  Medium  High   
 Professional

Shares, bonds and mutual funds  years

Equity and index options  years

Spot and forward foreign exchange  years

Financial futures and options  years

Commodity future and options  years

OTC and other off exchange contracts (inc. bullion)  years



## Risk Profile\* (please tick)

- I accept a calculable risk in order to achieve a profit
- I have a high profit expectation and am willing to accept a high level of risk
- I want to hedge other investments

## Bank Account Nomination\*

We nominate the following bank account(s) as the designated bank account(s) for our trading account(s) with City Index Asia.

Name of Account Holder:

Bank account no.:

Name of Account Holder:

Bank account no.:

Name of Account Holder:

Bank account no.:

Note: Funds transferred from other sources will not be credited into your trading account until we have received written instruction from you on the nomination of that additional source.

## Initial Deposit

### For CFD Account Application

Mode of funding

Cheque  Internet  ATM  Telegraphic Transfer

Amount of deposit

Currency

SGD  USD  HKD  JYP  AUD  GBP  EUR

### For FX Account Application

Mode of funding

Cheque  Telegraphic Transfer

Amount of deposit (USD)

## Other information

What is the purpose of this trading account?\*(Speculation, hedging, etc.)

What is/are the source(s) of funds used in this trading account?\*

referred by a friend  newspaper  web

search engine  other (please specify)

## Compliance Details\*

Do you have past and/or pending litigation, disputed accounts or other unresolved matters? Yes  No

Have you ever been subject to Bankruptcy proceeding? Yes  No

Are you related to City Index Asia and/or to any person associated with or employed by City Index Asia? Yes  No

Are you aware of any person(s) and/or corporation(s), related to you, who maintain(s) trading account(s) with City Index Asia? Yes  No

Please state if you are an:

- Expert Investor†, defined as a person whose business involves acquisition and disposal, or holding, of capital market products as principal or agent.
- Accredited Investor†, defined as an individual with net personal assets exceeding S\$2 million (or equivalent in foreign currency) or income not less than S\$300,000 in the preceding 12 months (or equivalent in foreign currency)

† Please refer to Section 4A of the Securities and Futures Act (Chapter 289) for detailed definition.

If yes to any of these questions, please provide details below.

## Introducing Broker (if applicable)

Introducing broker name

## Declaration & Signatures

I confirm that I am over 21. I declare that all the information given in this application is true, complete and correct in every respect and that I have not withheld any material fact. I undertake to keep City Index Asia informed of any changes in the particulars given in this application form. I hereby authorise City Index Asia to verify any information given by me from any sources that City Index Asia may in its sole discretion deem appropriate.

I confirm that I have read and understood the **CFD Risk Disclosure Statement**<sup>1</sup> and **FX Risk Disclosure Statement**<sup>3</sup> attached to this application form. I have read and understood the **General Terms**<sup>1</sup>, the **CFD Market Information Sheets**<sup>1</sup> and **FX Traders Terms**<sup>2</sup>, and agree to abide by all terms and conditions, and any of these terms and conditions may be amended by you at your sole discretion from time to time.

I acknowledge that the General Terms<sup>1</sup>, CFD Market Information Sheets<sup>1</sup> and FX Trader Terms<sup>2</sup> form a contract between City Index Asia and me, and that my account and contractual relationship will be with City Index Asia. I warrant that no other persons other than myself have or will have interest in this trading account and all monies which will be paid to City Index Asia come from legitimate (not illegal) source.

I understand that to comply with current money laundering regulations, City Index Asia may undertake checks on my identity and residential address including the use of information held in any database or other electronic format and that City Index Asia may request further supporting documents from me to confirm these details. I understand that such requests could delay the processing of the application.

By signing below I consent to City Index Asia contacting me at my home or work telephone number where applicable.

<sup>1</sup> Applicable for CFD account application.

<sup>2</sup> Applicable for FX account application.

<sup>3</sup> Applicable for CFD and FX account application.

Applicant Signature & Date

DDMM20YY

## Documentation Required

Singapore Citizens/ Permanent Residents

1. For walk-in, please bring your original Identity Card and proof of address (eg. utility bill, telephone bill, bank statement, etc) to City Index Asia Pte Ltd at 6 Battery Road #40-06 Singapore 049909.
2. For post in, please send us a copy of your Identity Card, proof of address (eg. utility bill, telephone bill, bank statement, etc) and **duly completed and signed FX Risk Disclosure Statement** to City Index Asia Pte Ltd at 6 Battery Road #40-06 Singapore 049909 and attention to Customer Service Department.
3. Please note that we do not accept mobile phone bill as proof of address.

Foreigners

1. For walk-in, please bring your original Identity Card and/or Passport and proof of address (eg. utility bill, telephone bill, bank statement, etc) to City Index Asia Pte Ltd at 6 Battery Road #40-06 Singapore 049909.
2. For post in, please send us a copy of your Identity Card and/or Passport, proof of address (eg. utility bill, telephone bill, bank statement, etc) and **duly completed and signed FX Risk Disclosure Statement** to City Index Asia Pte Ltd at 6 Battery Road #40-06 Singapore 049909 and attention to Customer Service Department.
3. Please note that we do not accept mobile phone bill as proof of address.
4. For foreigner who holds a Work Permit and is unable to provide proof of address, please provide a letter from your current employer to confirm your existing residential address in Singapore and your employment with the Company.

Further details on customer identification can be found at [www.cityindexasia.com](http://www.cityindexasia.com).

# Individual FX Risk Disclosure Statement

**FORM 13****SECURITIES AND FUTURES ACT (Cap. 289)****SECURITIES AND FUTURES (LICENSING AND CONDUCT OF BUSINESS) REGULATIONS (Rg 10)****RISK DISCLOSURE STATEMENT REQUIRED TO BE FURNISHED UNDER SECTION 128(1) AND TO BE KEPT UNDER REGULATION 39(2)(c) BY THE HOLDER OF A CAPITAL MARKETS SERVICES LICENCE TO TRADE IN FUTURES CONTRACTS OR LEVERAGED FOREIGN EXCHANGE CONTRACTS**

1. This statement is provided to you in accordance with section 128(1) of the Securities and Futures Act (Cap. 289) (the Act).
2. This statement does not disclose all the risks and other significant aspects of trading in futures, options and leveraged foreign exchange. In light of the risks, you should undertake such transactions only if you understand the nature of the contracts (and contractual relationships) into which you are entering and the extent of your exposure to the risks. Trading in futures, options and leveraged foreign exchange may not be suitable for many members of the public. You should carefully consider whether such trading is appropriate for you in the light of your experience, objectives, financial resources and other relevant circumstances. In considering whether to trade, you should be aware of the following:

(a) Futures and Leveraged Foreign Exchange Trading

(i) Effect of 'Leverage' or 'Gearing'

Transactions in futures and leveraged foreign exchange carry a high degree of risk. The amount of initial margin is small relative to the value of the futures contract or leveraged foreign exchange transaction so that the transaction is highly 'leveraged' or 'geared'. A relatively small market movement will have a proportionately larger impact on the funds you have deposited or will have to deposit; this may work against you as well as for you. You may sustain a total loss of the initial margin funds and any additional funds deposited with the firm to maintain your position. If the market moves against your position or margin levels are increased, you may be called upon to pay substantial additional funds on short notice in order to maintain your position. If you fail to comply with a request for additional funds within the specified time, your position may be liquidated at a loss and you will be liable for any resulting deficit in your account.

(ii) Risk-Reducing Orders or Strategies

The placing of certain orders (e.g. 'stop-loss' orders, where permitted under local law, or 'stop-limit' orders) which are intended to limit losses to certain amounts may not be effective because market conditions may make it impossible to execute such orders. At times, it is also difficult or impossible to liquidate a position without incurring substantial losses. Strategies using combinations of positions, such as 'spread' and 'straddle' positions may be as risky as taking simple 'long' or 'short' positions.

(b) Options

(i) Variable Degree of Risk

Transactions in options carry a high degree of risk. Purchasers and sellers of options should familiarise themselves with the type of options (i.e. put or call) which they contemplate trading and the associated risks. You should calculate the extent to which the value of the options would have to increase for your position to become profitable, taking into account the premium paid and all transaction costs.

The purchaser of options may offset its position by trading in the market or exercise the options or allow the options to expire. The exercise of an option results either in a cash settlement or in the purchaser acquiring or delivering the underlying interest. If the option is on a futures contract or leveraged foreign exchange transaction, the purchaser will have to acquire a futures or leveraged foreign exchange position, as the case may be, with associated liabilities for margin (see the section on Futures and Leveraged Foreign Exchange Trading above). If the purchased options expire worthless, you will suffer a total loss of your investment which will consist of the option premium paid plus transaction costs. If you are contemplating purchasing deep-out-of-the-money options, you should be aware that, ordinarily, the chance of such options becoming profitable is remote.

Selling ('writing' or 'granting') an option generally entails considerably greater risk than purchasing options. Although the premium received by the seller is fixed, the seller may sustain a loss well in excess of the amount of premium received. The seller will be liable to deposit additional margin to maintain the position if the market moves unfavourably. The seller will also be exposed to the risk of the purchaser exercising the option and the seller will be obligated to either settle the option in cash or to acquire or deliver the underlying interest. If the option is on a futures contract or a leveraged foreign exchange transaction, the seller will acquire a futures or leveraged foreign exchange position, as the case may be, with associated liabilities for margin (see the section on Futures and Leveraged Foreign Exchange Trading above). If the option is 'covered' by the seller holding a corresponding position in the underlying futures contract, leveraged foreign exchange transaction or another option, the risk may be reduced. If the option is not covered, the risk of loss can be unlimited. Certain exchanges in some jurisdictions permit deferred payment of the option premium, limiting the liability of the purchaser to margin payments not exceeding the amount of the premium. The purchaser is still subject to the risk of losing the premium and transaction costs. When the option is exercised or expires, the purchaser is responsible for any unpaid premium outstanding at that time.

## (c) Additional Risks Common to Futures, Options and Leveraged Foreign Exchange Trading

### (i) Terms and Conditions of Contracts

You should ask the corporation with which you conduct your transactions for the terms and conditions of the specific futures contract, option or leveraged foreign exchange transaction which you are trading and the associated obligations (e.g. the circumstances under which you may become obligated to make or take delivery of the underlying interest of a futures contract or a leveraged foreign exchange transaction and, in respect of options, expiration dates and restrictions on the time for exercise). Under certain circumstances, the specifications of outstanding contracts (including the exercise price of an option) may be modified by the exchange or clearing house to reflect changes in the underlying interest.

### (ii) Suspension or Restriction of Trading and Pricing Relationships

Market conditions (e.g. illiquidity) or the operation of the rules of certain markets (e.g. the suspension of trading in any contract or contract month because of price limits or 'circuit breakers') may increase the risk of loss by making it difficult or impossible to effect transactions or liquidate/offset positions. If you have sold options, this may increase the risk of loss.

Further, normal pricing relationships between the underlying interest and the futures contract, and the underlying interest and the option may not exist. This can occur when, e.g., the futures contract underlying the option is subject to price limits while the option is not. The absence of an underlying reference price may make it difficult to judge 'fair' value.

### (iii) Deposited Cash and Property

You should familiarise yourself with the protection accorded to any money or other property which you deposit for domestic and foreign transactions, particularly in a firm's insolvency or bankruptcy. The extent to which you may recover your money or property may be governed by specific legislation or local rules. In some jurisdictions, property which had been specifically identifiable as your own will be pro-rated in the same manner as cash for purposes of distribution in the event of a shortfall.

### (d) Commission and Other Charges

Before you begin to trade, you should obtain a clear explanation of all commissions, fees and other charges for which you will be liable. These charges will affect your net profit (if any) or increase your loss.

### (e) Transactions in Other Jurisdictions

Transactions on markets in other jurisdictions, including markets formally linked to a domestic market, may expose you to additional risk. Such markets may be subject to a rule which may offer different or diminished investor protection. Before you trade, you should enquire about any rules relevant to your particular transactions. Your local regulatory authority will be unable to compel the enforcement of the rules of the regulatory authorities or markets in other jurisdictions where your transactions have been effected. You should ask the firm with which you conduct your transactions for details about the types of redress available in both your home jurisdiction and other relevant jurisdictions before you start to trade.

### (f) Currency Risks

The profit or loss in transactions in foreign currency-denominated futures and options contracts (whether they are traded in your own or another jurisdiction) will be affected by fluctuations in currency rates where there is a need to convert from the currency denomination of the contract to another currency.

### (g) Trading Facilities

Most open-outcry and electronic trading facilities are supported by computer-based component systems for the order-routing, execution, matching, registration or clearing of trades. As with all facilities and systems, they are vulnerable to temporary disruption or failure. Your ability to recover certain losses may be subject to limits on liability imposed by the one or more parties, namely the system provider, the market, the clearing house or member firms. Such limits may vary. You should ask the firm with which you conduct your transactions for details in this respect.

### (h) Electronic Trading

Trading on an electronic trading system may differ not only from trading in an open-outcry market but also from trading on other electronic trading systems. If you undertake transactions on an electronic trading system, you will be exposed to risks associated with the system including the failure of hardware and software. The result of any system failure may be that your order is either not executed according to your instructions or not executed at all.

### (i) Off-Exchange Transactions

In some jurisdictions, firms are permitted to effect off-exchange transactions. The firm with which you conduct your transactions may be acting as your counterparty to the transaction. It may be difficult or impossible to liquidate an existing position, to assess the value, to determine a fair price or to assess the exposure to risk. For these reasons, these transactions may involve increased risks. Off-exchange transactions may be less regulated or subject to a separate regulatory regime. Before you undertake such transactions, you should familiarise yourself with the applicable rules and attendant risks.

**Acknowledgement of Receipt of the CFD Risk Disclosure Statement<sup>1</sup> and FX Risk Disclosure Statement.**

This acknowledges that I have received a copy of the CFD Risk Disclosure Statement<sup>1</sup> and FX Risk Disclosure Statement and understand the contents.

Signature of Main Applicant

Name of Main Applicant

Date

D	D	M	M	2	0	Y	Y
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Signature of Witness

Name of Witness

Date

D	D	M	M	2	0	Y	Y
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Note:

"Margin" means an amount of money, securities, property or other collateral, representing a part of the value of the contract or agreement to be entered into, which is deposited by the buyer or the seller of a futures contract or in a leveraged foreign exchange transaction to ensure performance of the terms of the futures contract or leveraged foreign exchange transaction.

<sup>1</sup> Applicable for CFD account application.