

### IMPORTANT INFORMATION

INTL FCSTONE PTE LTD (“IFPL”) holds a Capital Markets Services license with the Monetary Authority of Singapore (“MAS”) and are obliged to carry out due diligence and tax residency status in order to comply with the various MAS regulatory instruments, “Singapore Income Tax Act (Chapter 134)” and related regulations including “Income Tax (International Tax Compliance Agreements) (United States of America) Regulations 2015 (Foreign Account Tax Compliance Act) (FATCA)” and “Income Tax (International Tax Compliance Agreements) (Common Reporting Standard) Regulation 2016 (CRS)” on all prospective Customers prior to our business engagement. IFPL undertakes to maintain all information strictly confidential in accordance with our Data Privacy Notice; unless otherwise required to be disclosed by Law or as is necessary in the provision of trading of products and services.

### SECTION 1: BENEFICIAL OWNERS

Are you the sole Beneficial Owner of the funds committed to IFPL and proceeds of the investments?

- Yes  No (complete, sign and submit the “Beneficial Owner Disclosure Form”)

### SECTION 2: PURPOSE & INTENDED NATURE OF THE BUSINESS RELATIONS WITH IFPL

What is the purpose of engaging the services of IFPL?

- Speculation (how many derivatives trades have you executed in the past 12 months? )  
 Other purposes (please specify)

### SECTION 3: IDENTIFICATION

Full Name of Customer (as in National ID including Aliases)		Date of Birth
Nationality	Identity Document (“ID”) Type (National ID, Passport etc.)	Identity Number
Residential Address		Mailing Address (if different from Residential Address)
Office Number	Personal Contact Number	
Email for general correspondence	Name of Employer/Business	
Email for receipt of trading statements only		
Job Title	Employer’s/Business’ Industry	
If previously employed in a prominent public function*, provide previous employer’s name		

\* “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 organisations.

### SECTION 4A: CONFLICTS OF INTEREST – POLITICALLY EXPOSED PERSONS

The following are the explanations of “politically exposed persons”:

“close associate” means a natural person who is closely connected to a politically exposed person, either socially or professionally;

“family member” means a parent, step-parent, child, step-child, adopted child, spouse, sibling, step-sibling and adopted sibling of the politically exposed person;

“politically exposed person” means a domestic politically exposed person, foreign politically exposed person or international organisation politically exposed person;

“domestic politically exposed person” means a natural person who is or has been entrusted domestically with prominent public functions<sup>1</sup>;

“foreign politically exposed person” means a natural person who is or has been entrusted with prominent public functions in a foreign country;

“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;

“international organisation politically exposed person” means a natural person who is or has been entrusted with prominent public functions in an international organisation;

“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 organisations.

Are you a “politically exposed person” (“PEP”) or a “family member” of a PEP or a “close associate” of a PEP?

No  Yes (provide disclosure below)

Name of PEP	Customer’s relationship to PEP	Role/Occupation of PEP	Name of PEP’s Organization (including locality)

#### SECTION 4B: CONFLICTS OF INTEREST – RELATIONSHIP WITH STAFF OF IFPL

Are you related to any staff in IFPL?

No  Yes (provide disclosure below)

Name of Staff	Designation and Department	Relationship

#### SECTION 5: TAX RESIDENCY DECLARATION

1. Are you **solely** a tax resident of Singapore?

Yes (no further tax information required)  No (proceed to question 2)

2. If not solely a tax resident of Singapore, are you also a US tax resident\*?

\* You may wish to refer to the US IRS website to confirm your tax residency status (<https://www.irs.gov/individuals/international-taxpayers/alien-taxation-certain-essential-concepts>). If in doubt, please consult your tax adviser independently.

Yes (complete the details on “FATCA Self Certification Form” and proceed to question 3); **OR**  
 Yes, I was a US Person but I confirm I am no longer a US Person. (complete the details on “FATCA Self Certification Form” and proceed to question 3)  
 No (proceed to question 3)

3. Are you a tax resident in multiple jurisdictions including Singapore but not a US tax resident?

Yes (complete the details on “CRS Self Certification Form”)  
 No (proceed to question 4)

4. If you are not tax resident in your home country, please provide your reasons below:

#### SECTION 6: SOURCE OF WEALTH

Please provide us an estimate of your Networth:

(Assets) SGD **minus** (Liabilities) SGD = Networth SGD

Please disclose how your source of wealth has been accumulated:

Wealth generated from Employment Income (annually):  
 Less than SGD\$120K  SGD120K-SGD200K  SGD200K-SGD400K  more than SGD400K  
 Wealth generated through Entrepreneurship  
 Wealth from Inheritance/Gift  Other Sources (please specify)  
 Wealth generated from Investment activities

#### SECTION 7: ORIGIN OF FUNDS^

Please disclose origin of the funds intended to be deposited into your account with IFPL:

Expected Deposit(s) within 12 months (SGD)	
Name of Remitting Account / Currency	/
Name of Remitting Bank*	
Account Number of Remitting Bank	
SWIFT or IBAN Code of Remitting Bank	
Name of Intermediary Bank (if applicable)/SWIFT Code	/

\* Complete the Standard Settlement Instruction (“SSI”) Form if you intend to fund your trading account from more than one bank account.

^ Please provide a copy of the recent bank statement(s) for the bank account(s) being used to fund the trading account.

## SECTION 8: PROVISION OF SUPPORTING DOCUMENTS

For the opening or maintenance of an account by IFPL in the name of the customer for the purposes of engaging in business relations; IFPL is required to collect and verify information relating to our customers. Please provide us the following information and tick where appropriate to confirm the relevant documents have been provided with this Individual Account - Customer Application Form:

### CHECKLISTS OF DOCUMENTS REQUIRED

Please tick the documents which you will submit together with this application:

- (1a.)  Government issued Identity Document containing ALL the following items:
- Full Name (*including any aliases*)
  - National Identification Number
  - Residential Address
  - Date of Birth
  - Nationality
  - Photograph

**OR**

- (1b.)  Passport & One Address Identifier#; **OR**
- (1c.)  Driver's License & One Address Identifier#; **OR**
- (1d.)  Other Government issued ID & One Address Identifier#.

**AND**

- (2.)  Recent bank statement(s) – to verify source of fund/ SSI account(s)

# Address Identifier includes any one of the following: (i) Utility Bill, (ii) Bank Statement, (iii) Tax Assessment, (iv) CPF/Pension Statement or (v) Any Official Government-related correspondence.

P.O. box address should only be used for jurisdictions where the residential address (e.g. street name or house number) is not applicable or available in the local context.

Where the above documents are not sighted in-person by IFPL staff, they need to be certified by Lawyers or Notaries unless identity verification has been conducted based on any of the approved "Non-Face-to-Face" ("NFTF") measures. These measures include the provision of 2 or more of the above ID documents or other verification procedures.

**BENEFICIAL OWNER DISCLOSURE** (to be completed for each declared beneficial owner)

**SECTION A: IDENTITY VERIFICATION**

Full Name of Customer (as in National ID including Aliases)		
Full Name of Beneficial Owner (as in National ID including Aliases)		Date of Birth
Nationality	Identity Document Type (National ID, Passport etc.)	Identity Number
Residential Address		Mailing Address (if different from Residential Address)
Office Number	Personal Contact Number	
Email	Job Title	
Name of Employer/Business	Employer's/Business' Industry	
If previously employed in a prominent public function*, provide previous employer's name		

\* "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 organisations.

**SECTION B: CONFLICTS OF INTEREST – POLITICALLY EXPOSED PERSONS**

The following are the explanations of "politically exposed persons":

"close associate" means a natural person who is closely connected to a politically exposed person, either socially or professionally;

"family member" means a parent, step-parent, child, step-child, adopted child, spouse, sibling, step-sibling and adopted sibling of the politically exposed person;

"politically exposed person" means a domestic politically exposed person, foreign politically exposed person or international organisation politically exposed person;

"domestic politically exposed person" means a natural person who is or has been entrusted domestically with prominent public functions;

"foreign politically exposed person" means a natural person who is or has been entrusted with prominent public functions in a foreign country;

"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;

"international organisation politically exposed person" means a natural person who is or has been entrusted with prominent public functions in an international organisation;

"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 organisations.

Are you a "politically exposed person" ("PEP") or a "family member" of a PEP or a "close associate" of a PEP?

No  Yes (provide disclosure below)

Name of PEP	Customer's relationship to PEP	Role/Occupation of PEP	Name of PEP's Organization (including locality)

**SECTION C: CONFLICTS OF INTEREST – RELATIONSHIP WITH STAFF OF IFPL**

Are you related to any staff in IFPL?

No  Yes (provide disclosure below)

Name of Staff	Designation and Department	Relationship

Beneficial Owner's Signature	Date (DD/MMM/YYYY)

## FOREIGN ACCOUNT TAX COMPLIANCE ACT ("FATCA") SELF-CERTIFICATION

Foreign Account Tax Compliance Act (FATCA) is an international standard to gather and exchange financial account information related primarily to US taxpayers. Under FATCA, IFP needs to carry out reviewing procedures and disclose financial account information of account holders who are US Persons to the Inland Revenue Authority of Singapore (IRAS).

Full Name of Customer: \_\_\_\_\_

Please [✓] tick one box only

For US federal income tax purpose, I represent and warrant that:

I am a US Person<sup>1</sup>/ Tax Resident<sup>2</sup>/ Green Card Holder.

Please provide your 9 digit US Taxpayer Identification Number (TIN)<sup>3</sup> or Social Security Number (SSN):

\_\_\_\_\_

I confirm that I am no longer a US Person<sup>1</sup>

Please provide the following documents:

- copy of non-US passport, and
- one of the following:
  - a) copy of certificate of loss of nationality of the US; or
  - b) I-407 Form; or
  - c) reasonable explanation that you do not have such a certificate:

\_\_\_\_\_

**If you are a United States (U.S.) citizen or U.S. resident for tax purposes, you are required to submit Form IRS W-8BEN or W9.**

Notes:

1 Definition of "US Person"

- a. A citizen or permanent resident of the United States (e.g. US Green Card Holder or someone who meets the requirements to be considered a resident under the 'substantial presence test');
- b. US corporations, partnerships, estates and trusts;
- c. Any other person that is not a foreign (i.e. non-US) person (as defined under US federal tax law).

2 Definition of "Tax Resident"

Each jurisdiction has its own rules for defining tax residence, and jurisdictions have provided information on how to determine if you are resident in the jurisdiction on the following website: <http://www.oecd.org/tax/automatic-exchange/crs-implementation-andassistance/tax-residency/>. In general, you will find that tax residence is the country/jurisdiction in which you live. Special circumstances may cause you to be resident elsewhere or resident in more than one country/jurisdiction at the same time (dual residency). For more information on tax residence, please consult your tax adviser or the information at the OECD automatic exchange of information portal mentioned above.

3 TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual and is used to identify the individual for the purpose of administering tax laws of such jurisdiction.

## COMMON REPORTING STANDARD ("CRS") SELF-CERTIFICATION

The Common Reporting Standards (CRS) is an internationally agreed standard for automatic exchange of financial account information in tax matters, endorsed by the Organisation for Economic Co-operation and Development (OECD). <http://www.oecd.org/tax/automatic-exchange/crs-implementation-and-assistance/tax-residency/>. The objectives of CRS are to ensure transparency of tax obligations for all persons and to facilitate notification to the relevant tax authorities.

Under the CRS, IFPL is required to identify their account holders who are tax residents of other reportable jurisdictions. Relevant account information of these account holders would be reported to the local tax authorities, who would in turn exchange the information with the tax authorities of the participating jurisdictions where the account holders are tax residents.

Full Name of Customer: \_\_\_\_\_

I am currently a tax resident in the following list of countries/jurisdictions (include Singapore, if applicable):

No.	Country(s)/ Jurisdiction(s) of tax residence	TIN <sup>1</sup>	If TIN is unavailable, Click Reason* A, B or C	If Reason B has been selected, please indicate why TIN is not available
1.			A    B    C	
2.			A    B    C	
3.			A    B    C	
4.			A    B    C	
5.			A    B    C	

\*Reason:

A – I am resident of a country/jurisdiction which does not issue TINs to its residents.

B – I am otherwise unable to obtain a TIN or equivalent number. (Please explain why you are unable to obtain a TIN if you have selected this reason.)

C – TIN is not required. (Note: To be selected only if the law of the country of tax residence stated above does not require the TIN to be collected.)

• If your country/jurisdiction of tax residence did not include the country of your residential address, please tick the following box as confirmation:

I am not a tax resident of the country(s) where I am residing. By checking this box, I also confirm that I am not a tax resident of any countries other than those I have declared above.

• In the absence of the above confirmation, IFPL may have to disclose your account information to tax authority based on your information held in our records. In addition, you may not be able to open additional accounts.

Notes:

<sup>1</sup> TIN is a unique combination of letters or numbers assigned by a jurisdiction to an individual and is used to identify the individual for the purpose of administering tax laws of such jurisdiction.

**STANDARD SETTLEMENT INSTRUCTION FORM** *(You only need to complete this form if you intend to fund your trading account from more than one bank account.)*<sup>^</sup>

Registered Entity Name: \_\_\_\_\_

Name of Remitting Account / Currency		/	
Full Name of Owner of Remitting Account <i>(if different from Customer)</i>			
Name of Remitting Bank			
Account Number of Remitting Bank			
SWIFT or IBAN Code of Remitting Bank			
Name of Intermediary Bank <i>(if applicable)</i>			
SWIFT or IBAN Code of Intermediary Bank			

Name of Remitting Account / Currency		/	
Full Name of Owner of Remitting Account <i>(if different from Customer)</i>			
Name of Remitting Bank			
Account Number of Remitting Bank			
SWIFT or IBAN Code of Remitting Bank			
Name of Intermediary Bank <i>(if applicable)</i>			
SWIFT or IBAN Code of Intermediary Bank			

Name of Remitting Account / Currency		/	
Full Name of Owner of Remitting Account <i>(if different from Customer)</i>			
Name of Remitting Bank			
Account Number of Remitting Bank			
SWIFT or IBAN Code of Remitting Bank			
Name of Intermediary Bank <i>(if applicable)</i>			
SWIFT or IBAN Code of Intermediary Bank			

Name of Remitting Account / Currency		/	
Full Name of Owner of Remitting Account <i>(if different from Customer)</i>			
Name of Remitting Bank			
Account Number of Remitting Bank			
SWIFT or IBAN Code of Remitting Bank			
Name of Intermediary Bank <i>(if applicable)</i>			
SWIFT or IBAN Code of Intermediary Bank			

<sup>^</sup> Please provide a copy of the recent bank statement(s) for the bank account(s) being used to fund the trading account.

## DECLARATION

- I confirm and declare that all of the information that has been provided as indicated below *(please tick where applicable)*:
  - Individual Account – Customer Application Form *(including supporting documents)*
  - Beneficial Owner(s) Disclosure Form
  - Tax Residency Status Declaration
    - Foreign Account Tax Compliance Act (FATCA) Self-Certification Form
    - Common Reporting Standard (CRS) Self-Certification Form
  - Standard Settlement Instruction Form  
is complete, current and accurate.
- I undertake to notify INTL FCStone Pte Ltd (“IFPL”) in writing of any change in circumstances that causes any certification on this form to become incorrect and to provide an appropriately updated form within 30 days of such change.
- I further undertake to provide such documents as IFPL may require from time to time in its sole discretion for the purpose of updating this Individual Account – Customer Application Form.
- Without prejudice to any other rights or remedies IFPL may otherwise have, I shall indemnify, keep indemnified and hold IFPL harmless against any and all liabilities, actions, claims, losses, damages, costs and expenses (including but not limited to legal costs on a full indemnity basis) suffered or incurred by IFPL as a result of, or in connection with, the information being inaccurate, outdated or untrue.
- I acknowledge that a failure on my part to provide accurate and timely information pursuant to IFP's obligations may result in IFPL taking necessary measures and actions including but not limited to as provided in the Regulations and all applicable laws relating to the same.
- I am aware of the risks associated with investing and understand all forms of investments carry risks, including the risk of losing more than the invested amount and that such activities may not be suitable for everyone.
- I acknowledge that I have received, read and understood the terms and conditions comprised in the IFPL Customer Agreement that shall apply to and govern:
  - each Account<sup>1</sup> currently requested for;
  - all Accounts<sup>1</sup> opened and currently maintained; and
  - all Accounts subsequently opened or established, with IFPL and in respect of all Transactions<sup>1</sup> and Services<sup>1</sup>.
- By signing this declaration, I agree to enter into and be bound by all the terms and conditions set out within the IFPL Customer Agreement and the Customer Application Form (including all other documents, supporting information and/or forms required to be completed as part of this Customer Application Form)

<sup>1</sup> as defined in the IFPL Customer Agreement.

Full Name of Customer <i>(as in National ID including Aliases)</i>	
Customer's Signature	Date <i>(DD/MMM/YYYY)</i>

Attention: Customer Onboarding Desk  
INTL FCSTONE PTE.LTD.  
One Raffles Place  
#12-62 Tower 2  
Singapore 048616  
Email: [Onboarding.Asia@intlfcstone.com](mailto:Onboarding.Asia@intlfcstone.com)  
Business Registration No. 201130598R