

## Position Account Identification Form

(Email to operations@asiapacificex.com)

<b>Member Details</b>	<b>Member ID</b>	
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<b>Action</b>	<input type="checkbox"/> New <input type="checkbox"/> Amend <input type="checkbox"/> Close
<b>Date of Request</b>	DD/MM/YYYY

<b>Account Details</b>	<b>Account ID</b>		
	<b>Account Name</b>		
	<b>Identification Type</b>		
	<b>Identification Code</b>		
	<b>Country</b>		
	<b>Principal Business</b>		
	<b>Member Unit</b>	<input type="checkbox"/> Customer	<input type="checkbox"/> Proprietary
	<b>Account Type</b>	<input type="checkbox"/> Net	<input type="checkbox"/> Omnibus
	<b>Nature of Account</b>	<input type="checkbox"/> Proprietary	<input type="checkbox"/> Non-proprietary
	<b>Ownership</b>	<input type="checkbox"/> Your Company <input type="checkbox"/> Your related corporation	<input type="checkbox"/> Non-related corporation <input type="checkbox"/> Individual
	<b>Trading Access Type</b>	<input type="checkbox"/> Direct	<input type="checkbox"/> Indirect
	<b>Member Sponsored ID / Trading Member ID*</b>		

\*Leave the row blank if the client is not an APEX Member

<b>Contact Details</b>	<b>Contact Person</b>	
	<b>Address</b>	
	<b>Telephone</b>	
	<b>Fax</b>	
	<b>Email</b>	
	<b>Designation</b>	

<b>Related Accounts (Controlled by this Account or Controlling this Account)</b>	<b>Account Name #1</b>	
	<b>Account ID #1</b>	
	<b>Member ID #1</b>	
	<b>Account Name #2</b>	
	<b>Account ID #2</b>	
	<b>Member ID #2</b>	

Clearing Member Authorised Signatories	
Name / Designation	
Signature / Date	
Company Stamp	

FOR CLEARING HOUSE ONLY	
Processed by Clearing House:	Verified by Clearing House:
Name:	Name:
Signature / Date:	Signature / Date:

**Member Details**

## a) Member ID

A Member is issued a unique ID by APEX for the purpose of submission.

## b) Action

Type of action for submission. Members can select the following options:

- i. New – For creation of new position account
- ii. Amend – For amendment of existing position account
- iii. Closed – For closure of existing position account

## c) Date of request

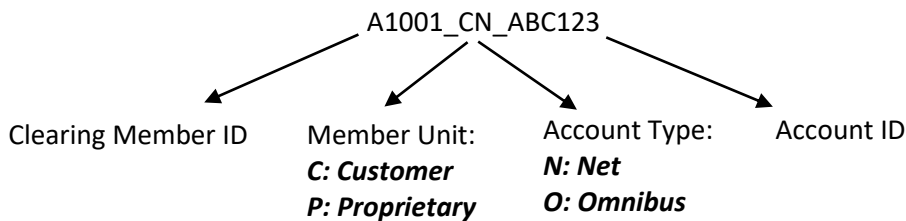
Format: DD/MM/YYYY

**Account Details**

## d) Account ID

A unique Account ID must be assigned to each new account reported. The account number may be up to 10 alphanumeric characters long. **Only alphabets, numbers, and underscores are acceptable. (Spaces and other characters will not be accepted)**. Please ensure that account numbers reported are in uppercase. Account numbers used must be the same as the account numbers used for trade matching and clearing in the system.

The example of position account ID will be created in the clearing system after ABC123 is assigned as account ID.



## e) Account Name

The account name must be the same as that which is used in the customer's agreement form signed by the account holder. The full name of the entity/person(s) should be stated as the account name. Any amendments to the account name must be supported by documentary evidence.

## f) Identification Type

This field specifies the Identification type used for Identification code. The five (5) codes are:

- ACRA Bizfile
- Certificate of Incorporation in Country of Domicile
- NRIC
- Others
- Passport

## g) Identification Code

The identification code must be the same as that which is used in the customer's agreement form signed by the account holder.

h) Country

This field identifies the account holder’s country of incorporation, or the country in which the account holder is residing. The following table sets out the Country Code Listing.

Country		
AUSTRALIA	IRELAND	PORTUGAL
AUSTRIA	ITALY	RUSSIA
BELGIUM	JAPAN	SAUDI ARABIA
BRUNEI	KOREA-SOUTH	SINGAPORE
CANADA	KUWAIT	SLOVENIA
CAYMAN ISLAND	LUXEMBURG	SOUTH AFRICA
CHINA	MALAYSIA EXCEPT LABUAN	SPAIN
CHINESE TAIPEI	MEXICO	SRI LANKA
DENMARK	NETHERLANDS	SWEDEN
FRANCE	NEW ZEALAND	SWITZERLAND
GERMANY	NORWAY	THAILAND
GREECE	OMAN	UNITED ARAB EMIRATES
HONG KONG	OTHERS	UNITED KINGDOM
INDIA	PHILIPPINES	UNITED STATES OF AMERICA
INDONESIA		

i) Principle Business

This field states the type of business the account holder specialises in. The eleven (11) different categories are as follows:

- Banks
- Energy / Commodity Firms
- Financial
- Funds
- Government Firms / Agencies
- Individuals
- Insurance Companies
- Non – Financial / Agencies
- Omnibus Accounts
- Others
- Securities Firms

j) Member Unit

A “Proprietary” origin account refers to the house account of a Member or the house account of its Related Corporation. It also includes the accounts opened for a director, officer, employee or Registered Representative of the Member. All other accounts are considered “Customer” origin accounts.

k) Account Type

An account should be reported as a “Net” account unless it is a sub-account of an omnibus account. If the account is a sub-account, then the “Omnibus” account must be indicated.

l) Nature of Account

A “Proprietary” account is one where the positions carried in the account are for the proprietary trading of the account holder, or the proprietary trading of the account holder’s related corporations. A “Non-Proprietary” account is one where the positions carried in the account belong to the customers of the account holder.

m) Ownership

Depending on the Member Unit item(j), this field is for Members to specify the ownership of this position account. The Exchange has classified the various types of ownership into three (3) categories. The following descriptions may be used as a reference:

- Proprietary Member Unit:
  - Individual – Where the account holder is an individual who is related to the Member (such as director, officer, employee etc.)
  - Your Company – Where the account holder is the Member itself
  - Your Related Corporation – Where the account holder is a Related Corporation of the Member
- Customer Member Unit:
  - Individual – Where the account holder is an individual.
  - Non-Related Corporation – Where the account holder is a corporation, but is not a Related Corporation of the Member.
  - Your Related Corporation – Where the account holder is a Related Corporation of the Member.

n) Trading Access Type

Indicate “Direct” if the account has direct/sponsored access to the Exchange. Indicate “Indirect” if this account has indirect access to the Exchange.

o) Member Sponsored ID/ Trading Member ID

The unique Trading Member ID or Sponsored Access ID if indicated “Direct” for item (n). To be left blank if the client is not an APEX Member.

### **Contact Details**

p) Contact Person

The contact person stated should be a representative of the account holder, or the account holder himself.

q) Address

The address of the account holder should be the same as the address stated in the customer agreement form signed by the account holder. The city and country should be included for foreign addresses.

r) Telephone

The direct telephone number of the contact person should be provided. If the contact person is not a resident in Singapore, the country code of the location of the contact person should be included.

s) Fax

The direct facsimile number of the contact person should be provided. If the contact person is not a resident in Singapore, the country code of the location of the contact person should be included.

t) Email

The company email address of the contact person should be provided.

u) Designation

This field allows users to specify the role of the contact person in the entity.

### **Related Accounts (Controlled by this Account or Controlling this Account)**

A Member shall report to the Exchange any other related accounts which controls trading of or have a 10% financial interest in this account, or vice versa.

v) Account Name

Account Name of related account, refer to item(e) for description.

w) Account ID

Account ID of related account, refer to item(d) for description.

x) Member ID

Member ID of related account, refer to item(a) for description.

**Clearing Member Authorised Signatories**

y) Name / Designation

Full name of the person who prepared the Position Account Identification Form submission. Person must be in the list of authorised signatories registered with the Exchange.

z) Signature

Signature of the person indicated in item (y).

aa) Company Stamp

Company stamp of the Clearing Member.