



## UPDATE OF ACCOUNT PARTICULARS (JOINT)

Please provide latest information for changes only with a copy of your latest NRIC/Passport

For clients with existing CDP Securities Account, it is mandatory to complete the SGX Update Particulars (Individual/Joint) form for updating of Name, Address, NRIC/Passport No., Nationality and/or PR Status with The Central Depository (Pte) Limited directly.

### 1. ACCOUNT HOLDER INFORMATION

Name of Account Holder: \_\_\_\_\_  
NRIC / Passport No. : \_\_\_\_\_ Trading Account No(s) : \_\_\_\_\_

### 2. UPDATE OF SETTLEMENT MODE (APPLICABLE FOR SECURITIES TRADING)

Electronic Payment For Shares (EPS) Participating Banks\* \*Please tick one SGD account only  DBS/POSB  UOB  OCBC  Citibank  Maybank  
Electronic Payment For Shares (EPS) Account No.: \_\_\_\_\_ Name of Bank: \_\_\_\_\_

### 3. OPTION FOR RECEIVING CONTRACT / STATEMENT (APPLICABLE FOR SECURITIES TRADING)

Account statements and contract notes will be sent electronically to your email address maintained with KGI for all your accounts with online trading or with a valid email address.

We would like to opt-out of eStatements and receive paper-based statements and contract notes via mail.

### 1<sup>ST</sup> ACCOUNT HOLDER PARTICULARS

#### 4. UPDATE OF NAME, NRIC/PASSPORT NUMBER, NATIONALITY, PR STATUS & GST STATUS (Supporting documents submitted must be certified true copy by KGI's Authorised Staff or a Notary Public)

Name \_\_\_\_\_

Nationality  Singapore Citizen  Malaysian  US Citizen\*  Others, \_\_\_\_\_  
Permanent Resident of Singapore?  Yes  No \* Please provide us with the completed and signed Form W-9\*

NRIC No. (for Singaporean/Malaysian/Singapore PR only) : \_\_\_\_\_

Passport No. (for Non Singaporean/Singapore PR) : \_\_\_\_\_ Date of expiry: \_\_\_\_\_

Do you have your usual place of residence\* in Singapore?  Yes  No, please specify your usual place of residence: \_\_\_\_\_

\*An individual should just have one usual place of residence at any point in time. The "usual place of residence" of an individual should have the following attributes: 1) The individual stays in that country voluntarily and for a settled purpose, such as to pursue a course of study or due to employment; and 2) The individual's stay in that country has some degree of continuity, apart from temporary or occasional absence, such that it forms part of the regular and habitual pattern of his life. If an individual has a Singapore residential address, he shall be regarded as having usual place of residence in Singapore.

#### 5. UPDATE OF ADDRESS

Residential Address (As in NRIC/Passport)  Self-owned  Rented  Family's House  Mortgaged

Mailing Address\* (If different from Residential Address) \* Please provide a copy of the supporting document (less than 3 months old)

Reason for using the mailing address: \_\_\_\_\_

Relationship to the owner of the mailing address: \_\_\_\_\_

#### 6. UPDATE OF CONTACT NUMBER(S) AND EMAIL ADDRESS

Home No. \_\_\_\_\_ Mobile No. \_\_\_\_\_ Email Address \_\_\_\_\_

#### 7. UPDATE OF EMPLOYMENT INFORMATION

Occupation: \_\_\_\_\_ Office No.: \_\_\_\_\_

Employer Name/Address: \_\_\_\_\_

#### 8. UPDATE OF TAX RESIDENT INFORMATION

Country/Jurisdiction of Residence for Tax Purposes and related Taxpayer Identification Number or equivalent number ("TIN")

Please complete the following table indicating (i) where the account holder is tax resident and (ii) the account holder's TIN for each country/jurisdiction indicated. Please indicate all countries/jurisdictions (including Singapore and US, if applicable). If the account holder is a tax resident of Singapore, the TIN is the NRIC, FIN, the Income Tax Reference Number ("ITR"), or the Tax Reference Number assigned by IRAS ("ASGD").

If a TIN is unavailable, please provide the appropriate reason A, B or C where indicated below:

**Reason A** - The country/jurisdiction where the account holder is resident does not issue TINs to its residents.

**Reason B** - The account holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason).

**Reason C** - No TIN is required. (Only select this reason if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such jurisdiction).

Country/Jurisdiction of tax residence	TIN	If no TIN available, enter Reason A, B or C	Explain why you are unable to obtain a TIN if you selected Reason B
1			
2			
3			
4			
5			

**Note:**

- (1) A US citizen (US passport holder) or US green card holder is considered a tax resident of the United States even he/she is a tax resident of another jurisdiction.
  - (2) If you declare in the above that you are a US tax resident, please provide us with the completed and signed W-9 Form, which is available upon request or can be downloaded from the US Internal Revenue Service Forms: <https://www.irs.gov/forms-instructions>
  - (3) If you did not declare in the above that you are a US tax resident but you have at least one of the following US indicia, please provide us with the completed and signed W-8BEN Form, which is available upon request or can be downloaded from the US Internal Revenue Service Forms: <https://www.irs.gov/forms-instructions>
    - US place of birth
    - US address (residence, mailing or PO Box)
    - US telephone number
    - Standing instruction to transfer funds to an account maintained in the US
    - Power of attorney or signatory authority granted to a person with a US address
- For more information, please visit the OECD or IRAS website:
    - <http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>
    - <https://www.iras.gov.sg/IRASHome/Quick-Links/International-Tax/Common-Reporting-Standard--CRS-/>
  - Please note that it is an offense under applicable Singapore laws to knowingly provide false or misleading information regarding tax residency status and that such offense is punishable with a fine and/or imprisonment.

**9. UPDATE OF POLITICALLY EXPOSED PERSON ("PEP") STATUS**

If you or any of your immediate family members hold, has/have previously held, or are currently seeking a position or are being considered for a prominent public position or is/are close associate of such a person, please provide the following details.

Name	Relationship to the Account Holder	Designation/Title	Employer/Country

Note: Politically Exposed Person ("PEP") means (i) a natural person who is or has been entrusted with prominent public functions<sup>(1)</sup> whether in Singapore, a foreign country or an international organization<sup>(2)</sup>; (ii) family members<sup>(3)</sup> of such a person; or (iii) close associates<sup>(4)</sup> of such a person.

- (1) Prominent public functions includes the roles held by a head of state, a head of government, government ministers, senior civil servants, senior judicial or military officials, senior executives of state owned corporations, senior political party officials, member of the legislature and senior management of international organization.
- (2) International organization means an entity established by formal political agreements between member countries that have the status of international treaties, whose existence is recognized by law in member countries and which is not treated as a resident institutional unit of the country in which it is located.
- (3) Family member means a parent, step-parent, child, step-child, adopted child, spouse, sibling, step-sibling and adopted sibling of the PEP.
- (4) Close associate means a natural person who is closely connected to a PEP, either socially or professionally.

**10. UPDATE OF FINANCIAL INFORMATION**

**Gross Annual Income\*** \* Please provide a copy of your latest payslip or Income Tax Statement  
 S\$25,000 & below     S\$25,001-S\$50,000     S\$50,001-S\$100,000     S\$100,001-S\$150,000     S\$150,001-S\$300,000     Above S\$300,000\*

**Estimated Net Worth**  
 S\$250,000 & below     S\$250,001 - S\$1mil     S\$1,000,001-S\$2mil     Above S\$2mil    Estimated Liquid Assets: \_\_\_\_\_

**Source of Wealth\*/Source of Fund** \* Please provide a copy of the supporting document  
 Salary     Savings     Business Income     Investment Income     Inheritance Income     Other \_\_\_\_\_

**2<sup>ND</sup> ACCOUNT HOLDER PARTICULARS**

**11. UPDATE OF NAME, NRIC/PASSPORT NUMBER, NATIONALITY, PR STATUS & GST STATUS**  
 (Supporting documents submitted must be certified true copy by KGI's Authorised Staff or a Notary Public)

Name \_\_\_\_\_

Nationality     Singapore Citizen     Malaysian     US Citizen\*     Others, \_\_\_\_\_

Permanent Resident of Singapore?     Yes     No    \* Please provide us with the completed and signed Form W-9\*

NRIC No. (for Singaporean/Malaysian/Singapore PR only) : \_\_\_\_\_

Passport No. (for Non Singaporean/Singapore PR) : \_\_\_\_\_ Date of expiry: \_\_\_\_\_

Do you have your usual place of residence\* in Singapore?     es     o, please specify your usual place of residence: \_\_\_\_\_

\*An individual should just have one usual place of residence at any point in time. The "usual place of residence" of an individual should have the following attributes: 1) The individual stays in that country voluntarily and for a settled purpose, such as to pursue a course of study or due to employment; and 2) The individual's stay in that country has some degree of continuity, apart from temporary or occasional absence, such that it forms part of the regular and habitual pattern of his life. If an individual has a Singapore residential address, he shall be regarded as having usual place of residence in Singapore.

**12. UPDATE OF ADDRESS**

Residential Address (As in NRIC/Passport)     Self-owned     Rented     Family's House     Mortgaged

Mailing Address\* (If different from Residential Address)    \* Please provide a copy of the supporting document (less than 3 months old)

Reason for using the mailing address: \_\_\_\_\_

Relationship to the owner of the mailing address: \_\_\_\_\_

**13. UPDATE OF CONTACT NUMBER(S) AND EMAIL ADDRESS**

Home No.	Mobile No.	Email Address
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**14. UPDATE OF EMPLOYMENT INFORMATION**

Occupation: \_\_\_\_\_ Office No.: \_\_\_\_\_

Employer Name/Address: \_\_\_\_\_

\_\_\_\_\_

## 15. UPDATE OF TAX RESIDENT INFORMATION

Country/Jurisdiction of Residence for Tax Purposes and related Taxpayer Identification Number or equivalent number ("TIN")

Please complete the following table indicating (i) where the account holder is tax resident and (ii) the account holder's TIN for each country/jurisdiction indicated. Please indicate all countries/jurisdictions (including Singapore and US, if applicable). If the account holder is a tax resident of Singapore, the TIN is the NRIC, FIN, the Income Tax Reference Number ("ITR"), or the Tax Reference Number assigned by IRAS ("ASGD").

If a TIN is unavailable, please provide the appropriate reason A, B or C where indicated below:

**Reason A** - The country/jurisdiction where the account holder is resident does not issue TINs to its residents.

**Reason B** - The account holder is otherwise unable to obtain a TIN or equivalent number (Please explain why you are unable to obtain a TIN in the below table if you have selected this reason).

**Reason C** - No TIN is required. (Only select this reason if the domestic law of the relevant country/jurisdiction does not require the collection of the TIN issued by such jurisdiction).

Country/Jurisdiction of tax residence	TIN	If no TIN available, enter Reason A, B or C	Explain why you are unable to obtain a TIN if you selected Reason B
1			
2			
3			
4			
5			

Note:

- (1) A US citizen (US passport holder) or US green card holder is considered a tax resident of the United States even he/she is a tax resident of another jurisdiction.
- (2) If you declare in the above that you are a US tax resident, please provide us with the completed and signed W-9 Form, which is available upon request or can be downloaded from the US Internal Revenue Service Forms: <https://www.irs.gov/forms-instructions>
- (3) If you did not declare in the above that you are a US tax resident but you have at least one of the following US indicia, please provide us with the completed and signed W-8BEN Form, which is available upon request or can be downloaded from the US Internal Revenue Service Forms: <https://www.irs.gov/forms-instructions>
  - US place of birth
  - US address (residence, mailing or PO Box)
  - US telephone number
  - Standing instruction to transfer funds to an account maintained in the US
  - Power of attorney or signatory authority granted to a person with a US address

- For more information, please visit the OECD or IRAS website:

<http://www.oecd.org/tax/automatic-exchange/common-reporting-standard/>

<https://www.iras.gov.sg/IRASHome/Quick-Links/International-Tax/Common-Reporting-Standard--CRS-/>

- Please note that it is an offense under applicable Singapore laws to knowingly provide false or misleading information regarding tax residency status and that such offense is punishable with a fine and/or imprisonment.

## 16. UPDATE OF POLITICALLY EXPOSED PERSON ("PEP") STATUS

If you or any of your immediate family members hold, has/have previously held, or are currently seeking a position or are being considered for a prominent public position or is/are close associate of such a person, please provide the following details.

Name	Relationship to the Account Holder	Designation/Title	Employer/Country

Note: Politically Exposed Person ("PEP") means (i) a natural person who is or has been entrusted with prominent public functions<sup>(1)</sup> whether in Singapore, a foreign country or an international organization<sup>(2)</sup>; (ii) family members<sup>(3)</sup> of such a person; or (iii) close associates<sup>(4)</sup> of such a person.

- (1) Prominent public functions includes the roles held by a head of state, a head of government, government ministers, senior civil servants, senior judicial or military officials, senior executives of state owned corporations, senior political party officials, member of the legislature and senior management of international organization.
- (2) International organization means an entity established by formal political agreements between member countries that have the status of international treaties, whose existence is recognized by law in member countries and which is not treated as a resident institutional unit of the country in which it is located.
- (3) Family member means a parent, step-parent, child, step-child, adopted child, spouse, sibling, step-sibling and adopted sibling of the PEP.
- (4) Close associate means a natural person who is closely connected to a PEP, either socially or professionally.

## 17. UPDATE OF FINANCIAL INFORMATION

**Gross Annual Income\***

\* Please provide a copy of your latest payslip or Income Tax Statement

S\$25,000 & below  S\$25,001-S\$50,000  S\$50,001-S\$100,000  S\$100,001-S\$150,000  S\$150,001-S\$300,000  Above S\$300,000\*

**Estimated Net Worth**

S\$250,000 & below  S\$250,001 - S\$1mil  S\$1,000,001-S\$2mil  Above S\$2mil Estimated Liquid Assets: \_\_\_\_\_

**Source of Wealth\*/Source of Fund**

\* Please provide a copy of the supporting document

Salary  Savings  Business Income  Investment Income  Inheritance Income  Other \_\_\_\_\_

## 18. DECLARATION AND AGREEMENT

- (i) We have the authority to make this update and we hereby authorize and consent to the update of the above information to all of our trading accounts ("Account") maintained with KGI.
- (ii) We declare that the Account is maintained solely on our behalf and the information provided herein (including all supporting documentation furnished in connection herewith) is true, complete and correct and we have not withheld any material fact.
- (iii) We hereby represent and warrant that we have provided all documentation or other information to KGI for compliance with all requirements under Foreign Account Tax Compliance Act ("FATCA"), Common Reporting Standard ("CRS"), local legislation in connection with FATCA and CRS, and any other provision arising out of an agreement between governments in relation to FATCA and CRS.

- (iv) We undertake to notify KGI in writing within thirty (30) days of any change of the information herein (including our tax status) and provide KGI with such information, documents or other evidence which may be required in connection with such change.
- (v) We hereby acknowledge and consent to KGI's collecting, processing and disclosing our personal data protected under the Personal Data Protection Act 2012.
- (vi) We agree that the Account shall be governed by the KGI terms & conditions for trading ("T&C") as may be varied/amended or supplemented from time to time. We acknowledge that the prevailing KGI T&C is available on [www.kgiworld.sg](http://www.kgiworld.sg) and that a printed copy of the KGI T&C is available upon request.

## 19. CLIENT PROFILE DECLARATION

Please ensure that the information provided are complete and accurate. Any incomplete or inaccurate information provided by you may affect the outcome of our assessment of whether you have the relevant knowledge and experience to deal in certain products.

### I. Accredited Investor

I confirm that I am an **Accredited Investor** as defined in section 4A(1)(a) of the Securities And Futures Act (Cap. 289) (the "Act"), being:

Please tick accordingly

- whose net personal assets exceed in value S\$2 million\* (or its equivalent in a foreign currency), of which no more than S\$1,000,000 (or its equivalent in a foreign currency) in value is contributed by the net estimated fair market value of my primary residence;
- whose financial assets (net of any related liabilities) exceed in value \$1 million (or its equivalent in a foreign currency) or such other amount as the Authority may prescribe in place of the first amount, where "financial asset" means —
  - a deposit as defined in section 4B of the Banking Act;
  - an investment product as defined in section 2(1) of the Financial Advisers Act; or
  - any other asset as may be prescribed by regulations made under section 341; or
- whose income in the past 12 months is not less than S\$300,000\* (or its equivalent in a foreign currency);

\* **Enclose a copy of the relevant supporting document and complete the Accredited Investor Opt-In Form**

### II. Expert Investor

I confirm that I am an **Expert Investor** as defined in section 4A(1)(b) of the Securities And Futures Act (Cap. 289) (the "Act"), being:

Please tick accordingly

- a person whose business involves the acquisition and the disposal, or the holding, of capital markets products, whether as principal or agent;
- the Trustee of such trust as the Authority may prescribe, when acting in that capacity; or
- such other person as the Authority may prescribe.

## 19A. CLIENT PROFILE DECLARATION (Continued)

### Declaration

I hereby agree, declare and warrant as follows:

- i. that for the purpose of the above declaration, I undertake to update you immediately and agree to provide supporting documents to the Company for verification purpose, upon request if the information provided herein, or otherwise in connection with the above declaration, is no longer true, correct or accurate in any respect in relation to all accounts I maintain with you;
- ii. that as long as I am any one of the abovementioned investor or until I have formally notified you otherwise in writing, I understand that I am not required to go through any assessment or review with the Company as to my knowledge or experience in Specified Investment Products (SIPs) and confirm that I will be solely responsible for determining the suitability for myself of any and all investment products, advice or recommendations and that I am solely liable for all financial and other consequences ensuing there from;
- iii. that the Company may rely on the declarations to be exempted from certain provisions of the SFA and the Financial Advisers Act ("FAA"), including without limitation the following sections of the FAA under their corresponding exemptions:
  - Section 25 of the FAA - Disclosure of product information, exempted under Regulation 33 of the FAR
  - Section 27 of the FAA - Reasonable basis for making investment, recommendation, exempted under regulation 34 of the FAR
  - Section 36 of the FAA - Disclosure of certain interests in securities, exempted under regulation 35 of the FAR.
- iv. that my status as declared herein shall (and continue to) be valid, binding and legally effective on/in relation to me in all respects in relation to all accounts I now or hereafter shall open/maintain with you.
- v. I undertake to indemnify the Company (including its related entities, directors, shareholders, officers and employees) for any loss, claim or expenses (including legal costs) it sustains as a result of relying on the information provided.

## 20. CKA/CAR ASSESSMENT DECLARATION

CRITERIA	CAR (Listed SIPs)	CKA (Unlisted SIPs)
1. Educational Qualification	<p>Do you have one or more of the following qualifications?  <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p><b>A. Diploma or higher qualification(s) in any of the following discipline(s):</b></p> <ul style="list-style-type: none"> <li>- Accountancy</li> <li>- Actuarial science               <ul style="list-style-type: none"> <li>- Business/business administration/business management/business studies</li> </ul> </li> <li>- Capital markets</li> <li>- Commerce</li> <li>- Computational finance</li> <li>- Economics</li> <li>- Finance</li> <li>- Financial engineering / planning</li> <li>- Insurance</li> </ul> <p>Type of Qualification: _____            Name of Institution : _____            Year of Graduation: _____</p>	<p><b>B. Any of the following professional finance-related qualification(s):</b></p> <ul style="list-style-type: none"> <li>- Associate Financial Planner</li> <li>- Associate Wealth Planner</li> <li>- Certified Financial Planner</li> <li>- Certified Financial Technician</li> <li>- Chartered Financial Analyst</li> <li>- Chartered Financial Consultant</li> <li>- Chartered Alternative Investment Analyst</li> <li>- Chartered Institute of Securities and Investment</li> <li>- Certified Public Accountant/Association of Chartered Certified Accountants</li> <li>- Capital Markets and Financial Services (CMFAS) Exam Module 6 AND Module 7 (or Module 6A)</li> <li>- Financial Risk Manager</li> </ul> <p>Type of Qualification: _____            Year of Certification: _____</p>

<b>2. Work Experience</b>	<b>Do you have a minimum of 3 consecutive years of relevant working experience in the past 10 years, in the following area(s):</b> (support functions that are administration or clerical in nature will not be considered as relevant experience) <input type="checkbox"/> Yes <input type="checkbox"/> No  <div style="display: flex; justify-content: space-between;"> <div style="width: 45%;"> <ul style="list-style-type: none"> <li>- Development / Structuring of investment products</li> <li>- Management of investment products</li> <li>- Sale / Trading of investment products</li> <li>- Provision of training in investment products</li> </ul> </div> <div style="width: 45%;"> <ul style="list-style-type: none"> <li>- Research on or analysis of investment products</li> <li>- Work experience in accountancy, actuarial science, treasury and/or financial risk management activities</li> <li>- Provision of legal advice in any of the listed areas</li> </ul> </div> </div> Name of Company: _____ Designation: _____ Period of Service: _____	
<b>3. Investment Experience</b>	<b>Have you traded a minimum of 6 transactions in Listed SIPs in the preceding 3 years?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No Examples of Listed SIPs*: - Certificates - Exchange Traded Funds /Notes - Futures - Structured Warrants or Options Type of Products: _____ Month / Year of Transaction: _____ <i>* may vary from time to time according to MAS rules and regulations</i>	<b>Have you traded a minimum of 6 transactions in Unlisted SIPs in the preceding 3 years?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No Examples of Unlisted SIPs*: - Leverage Foreign Exchange - OTC Products Type of Products: _____ Month / Year of Transaction: _____ <i>may vary from time to time according to MAS rules and regulations</i>
<b>4. Investment Education</b>	(a) Have you personally undergone and completed the SGX eTutorial and passed the online quiz? <a href="https://onlineeducation.sgx.com/specifiedinvestmentproducts/">https://onlineeducation.sgx.com/specifiedinvestmentproducts/</a> <input type="checkbox"/> Yes <input type="checkbox"/> No If yes, score is _____%  How many attempts did you make before you passed the SGX eTutorial Module? _____ (b) Have you previously been refused by any financial institution to open account to trade in SIPs? <input type="checkbox"/> Yes <input type="checkbox"/> No If "Yes", please state the number of times rejected _____	(a) Have you personally undergone and completed the ABS-SAS e-learning on Unlisted SIPs and passed the online assessment? <a href="https://sips.abs.org.sg/">https://sips.abs.org.sg/</a> <input type="checkbox"/> Yes <input type="checkbox"/> No Provide copy of the certificate issued by ABS-SAS e-learning system  How many attempts did you make before you passed the ABS-SAS e-learning Module? _____ (b) Have you previously been refused by any financial institution to open account to trade in unlisted SIPs? <input type="checkbox"/> Yes <input type="checkbox"/> No If "Yes", please state the number of times rejected _____

**ASSESSMENT RESULT**
**Based on the above assessment, I understand that I :**
**CAR for Listed SIPs**
 possess the relevant knowledge or experience for Listed SIPs, as one or more of my answers to the above (other than Q4(b)) is Yes, and my answer to Q4(b) is No. You will contact me if you need more information from me.

 **do not** possess the relevant knowledge or experience in Listed SIPs. I will not be able to continue to trade in Listed SIPs.

 Please complete the Online Education programme of the SGX (mentioned in Q4(a)) and pass the online quiz or submit the '**Customer's Acknowledgment for CAR**' if you still intend to trade in Listed SIPs

**CKA for Unlisted SIPs**
 possess the relevant knowledge or experience in Unlisted SIPs, as one or more of my answers to the above (other than Q4(b)) is Yes, and my answer to Q4(b) is No. You will contact me if you need more information from me.

 **do not** possess the relevant knowledge or experience in Unlisted SIPs. I will not be able to continue to trade in Unlisted SIPs.

If you still wish to trade in Unlisted SIPs, you can take the online e-module course offered by ABS-SAS and be eligible to trade once you have passed.

**20A. CKA/CAR ASSESSMENT DECLARATION (Continued)**

- i. I confirm that all the information provided herein is true and accurate and I have not omitted nor misrepresented any material and/or relevant facts and information. I understand and acknowledge that any inaccurate or incomplete information provided by me may affect the outcome of the CAR and/or CKA.
- ii. I understand that the above is strictly for the purpose of enabling the Company to assess whether I have the relevant knowledge or experience to trade Listed SIPs and/or Unlisted SIPs, and I acknowledge the assessment result as shown in the above.
- iii. I confirm that regardless of the outcome of this CAR and/or CKA, I am fully aware that I can, at any time, request for advice concerning Listed SIPs and/or Unlisted SIPs for a fee.

## 2<sup>ND</sup> ACCOUNT HOLDER DECLARATION

### 21. CLIENT PROFILE DECLARATION

Please ensure that the information provided are complete and accurate. Any incomplete or inaccurate information provided by you may affect the outcome of our assessment of whether you have the relevant knowledge and experience to deal in certain products.

#### I. Accredited Investor

I confirm that I am an **Accredited Investor** as defined in section 4A(1)(a) of the Securities And Futures Act (Cap. 289) (the "Act"), being:  
Please tick accordingly

- whose net personal assets exceed in value S\$2 million\* (or its equivalent in a foreign currency), of which no more than S\$1,000,000 (or its equivalent in a foreign currency) in value is contributed by the net estimated fair market value of my primary residence;
- whose financial assets (net of any related liabilities) exceed in value \$1 million (or its equivalent in a foreign currency) or such other amount as the Authority may prescribe in place of the first amount, where "financial asset" means —
- a deposit as defined in section 4B of the Banking Act;
  - an investment product as defined in section 2(1) of the Financial Advisers Act; or
  - any other asset as may be prescribed by regulations made under section 341; or
- whose income in the past 12 months is not less than S\$300,000\* (or its equivalent in a foreign currency);

\* **Enclose a copy of the relevant supporting document and complete the Accredited Investor Opt-In Form**

#### III. Expert Investor

I confirm that I am an **Expert Investor** as defined in section 4A(1)(b) of the Securities And Futures Act (Cap. 289) (the "Act"), being:  
Please tick accordingly

- a person whose business involves the acquisition and the disposal, or the holding, of capital markets products, whether as principal or agent;
- the Trustee of such trust as the Authority may prescribe, when acting in that capacity; or such other person as the Authority may prescribe.

### 21A. CLIENT PROFILE DECLARATION (Continued)

#### Declaration

I hereby agree, declare and warrant as follows:

- vi. that for the purpose of the above declaration, I undertake to update you immediately and agree to provide supporting documents to the Company for verification purpose, upon request if the information provided herein, or otherwise in connection with the above declaration, is no longer true, correct or accurate in any respect in relation to all accounts I maintain with you;
- vii. that as long as I am any one of the abovementioned investor or until I have formally notified you otherwise in writing, I understand that I am not required to go through any assessment or review with the Company as to my knowledge or experience in Specified Investment Products (SIPs) and confirm that I will be solely responsible for determining the suitability for myself of any and all investment products, advice or recommendations and that I am solely liable for all financial and other consequences ensuing there from;
- viii. that the Company may rely on the declarations to be exempted from certain provisions of the SFA and the Financial Advisers Act ("FAA"), including without limitation the following sections of the FAA under their corresponding exemptions:
- Section 25 of the FAA - Disclosure of product information, exempted under Regulation 33 of the FAR
  - Section 27 of the FAA - Reasonable basis for making investment, recommendation, exempted under regulation 34 of the FAR
  - Section 36 of the FAA - Disclosure of certain interests in securities, exempted under regulation 35 of the FAR.
- ix. that my status as declared herein shall (and continue to) be valid, binding and legally effective on/in relation to me in all respects in relation to all accounts I now or hereafter shall open/maintain with you.
- x. I undertake to indemnify the Company (including its related entities, directors, shareholders, officers and employees) for any loss, claim or expenses (including legal costs) it sustains as a result of relying on the information provided.

### 22. CKA/CAR ASSESSMENT DECLARATION

CRITERIA	CAR (Listed SIPs)	CKA (Unlisted SIPs)
5. Educational Qualification	Do you have one or more of the following qualifications? <input type="checkbox"/> Yes <input type="checkbox"/> No	
	<p><b>A. Diploma or higher qualification(s) in any of the following discipline(s):</b></p> <ul style="list-style-type: none"> <li>- Accountancy</li> <li>- Actuarial science                             <ul style="list-style-type: none"> <li>- Business/business administration/business management/business studies</li> </ul> </li> <li>- Capital markets</li> <li>- Commerce</li> <li>- Computational finance</li> <li>- Economics</li> <li>- Finance</li> <li>- Financial engineering / planning</li> <li>- Insurance</li> </ul> <p>Type of Qualification: _____ Name of Institution : _____ Year of Graduation: _____</p>	<p><b>B. Any of the following professional finance-related qualification(s):</b></p> <ul style="list-style-type: none"> <li>- Associate Financial Planner</li> <li>- Associate Wealth Planner</li> <li>- Certified Financial Planner</li> <li>- Certified Financial Technician</li> <li>- Chartered Financial Analyst</li> <li>- Chartered Financial Consultant</li> <li>- Chartered Alternative Investment Analyst</li> <li>- Chartered Institute of Securities and Investment</li> <li>- Certified Public Accountant/Association of Chartered Certified Accountants</li> <li>- Capital Markets and Financial Services (CMFAS) Exam Module 6 AND Module 7 (or Module 6A)</li> <li>- Financial Risk Manager</li> </ul> <p>Type of Qualification: _____ Year of Certification: _____</p>

<b>6. Work Experience</b>	<p><b>Do you have a minimum of 3 consecutive years of relevant working experience in the past 10 years, in the following area(s):</b> (support functions that are administration or clerical in nature will not be considered as relevant experience)</p> <input type="checkbox"/> Yes <input type="checkbox"/> No	
	<ul style="list-style-type: none"> <li>- Development / Structuring of investment products</li> <li>- Management of investment products</li> <li>- Sale / Trading of investment products</li> <li>- Provision of training in investment products</li> </ul>	<ul style="list-style-type: none"> <li>- Research on or analysis of investment products</li> <li>- Work experience in accountancy, actuarial science, treasury and/or financial risk management activities</li> <li>- Provision of legal advice in any of the listed areas</li> </ul>
	Name of Company: _____ Designation: _____ Period of Service: _____	
<b>7. Investment Experience</b>	<p><b>Have you traded a minimum of 6 transactions in Listed SIPs in the preceding 3 years?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Examples of Listed SIPs*: - Certificates - Exchange Traded Funds /Notes - Futures - Structured Warrants or Options</p> <p>Type of Products: _____ Month / Year of Transaction: _____ <i>* may vary from time to time according to MAS rules and regulations</i></p>	<p><b>Have you traded a minimum of 6 transactions in Unlisted SIPs in the preceding 3 years?</b> <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Examples of Unlisted SIPs*: - Leverage Foreign Exchange - OTC Products</p> <p>Type of Products: _____ Month / Year of Transaction: _____ <i>may vary from time to time according to MAS rules and regulations</i></p>
<b>8. Investment Education</b>	<p>(a) Have you personally undergone and completed the SGX eTutorial and passed the online quiz? <a href="https://onlineeducation.sgx.com/specifiedinvestmentproducts/">https://onlineeducation.sgx.com/specifiedinvestmentproducts/</a> <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If yes, score is _____%</p> <p>How many attempts did you make before you passed the SGX eTutorial Module? _____</p> <p>(b) Have you previously been refused by any financial institution to open account to trade in SIPs? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If "Yes", please state the number of times rejected _____</p>	<p>(a) Have you personally undergone and completed the ABS-SAS e-learning on Unlisted SIPs and passed the online assessment? <a href="https://sips.abs.org.sg/">https://sips.abs.org.sg/</a> <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>Provide copy of the certificate issued by ABS-SAS e-learning system</p> <p>How many attempts did you make before you passed the ABS-SAS e-learning Module? _____</p> <p>(b) Have you previously been refused by any financial institution to open account to trade in unlisted SIPs? <input type="checkbox"/> Yes <input type="checkbox"/> No</p> <p>If "Yes", please state the number of times rejected _____</p>

**ASSESSMENT RESULT**

Based on the above assessment, I understand that I :

**CAR for Listed SIPs**

possess the relevant knowledge or experience for Listed SIPs, as one or more of my answers to the above (other than Q4(b)) is Yes, and my answer to Q4(b) is No. You will contact me if you need more information from me.

**do not** possess the relevant knowledge or experience in Listed SIPs. I will not be able to continue to trade in Listed SIPs.

Please complete the Online Education programme of the SGX (mentioned in Q4(a)) and pass the online quiz or submit the **'Customer's Acknowledgment for CAR'** if you still intend to trade in Listed SIPs

**CKA for Unlisted SIPs**

possess the relevant knowledge or experience in Unlisted SIPs, as one or more of my answers to the above (other than Q4(b)) is Yes, and my answer to Q4(b) is No. You will contact me if you need more information from me.

**do not** possess the relevant knowledge or experience in Unlisted SIPs. I will not be able to continue to trade in Unlisted SIPs.

If you still wish to trade in Unlisted SIPs, you can take the online e-module course offered by ABS-SAS and be eligible to trade once you have passed.

**22A. CKA/CAR ASSESSMENT DECLARATION (Continued)**

- iv. I confirm that all the information provided herein is true and accurate and I have not omitted nor misrepresented any material and/or relevant facts and information. I understand and acknowledge that any inaccurate or incomplete information provided by me may affect the outcome of the CAR and/or CKA.
- v. I understand that the above is strictly for the purpose of enabling the Company to assess whether I have the relevant knowledge or experience to trade Listed SIPs and/or Unlisted SIPs, and I acknowledge the assessment result as shown in the above.
- vi. I confirm that regardless of the outcome of this CAR and/or CKA, I am fully aware that I can, at any time, request for advice concerning Listed SIPs and/or Unlisted SIPs for a fee.

Signature of 1<sup>st</sup> Account Holder: \_\_\_\_\_ Date: \_\_\_\_\_

FOR OFFICE USE ONLY	
Signature Witnessed / Verified by	
_____	_____
Name & Signature	Date

Signature of 2<sup>nd</sup> Account Holder: \_\_\_\_\_ Date: \_\_\_\_\_

- \* Please ensure this update of particulars form is submitted along with your latest NRIC/Passport.
- \* Please ensure that you have completed Sections 8, 15 Tax Residency Information.

*For clients with existing CDP Securities Account, it is mandatory to complete the SGX Update Particulars (Individual/Joint) form for updating of Name, Address, NRIC/Passport No., Nationality and/or PR Status with The Central Depository (Pte) Limited directly.*