

Accredited Investor Opt-Out Form (For Existing Accredited Investors¹) – Joint Account

Important Information

KGI Securities (Singapore) PTE. LTD. (“we”, “us”, “our”) is required under Singapore law to provide you with certain information before you make a decision on whether you wish to continue to be treated as an accredited investor as defined in section 4A of the Securities and Futures Act (Cap. 289) (the “SFA”). Accordingly, we hereby inform you that:

- (a) we have assessed you to be an “accredited investor” as defined in section 4A of the SFA based on the information you have provided to us;
- (b) starting on the date of this form, we intend to continue to treat you as an accredited investor (until 8 July 2020) for the purposes of the statutory provisions set out in regulation 3(9) of the Securities and Futures (Classes of Investors) Regulations 2018;
- (c) you may notify us at any time that you do not consent to being treated as an accredited investor, upon which we will cease to treat you as an accredited investor.

Please note that being treated as an accredited investor means, among other things, that you will be deemed to have more knowledge and the ability to understand and manage the risks of the financial products that you choose to invest in. This means that we are allowed to assume that you have a certain level of understanding of financial products, including collective investment schemes, and are not obliged to determine your precise level of understanding of such products. We are also allowed to assume that you have sought independent advice prior to purchasing or participating in any financial instrument or investment. In addition, when you hold certain financial instruments or participate in certain activities, you will be afforded fewer statutory protections and remedies than retail investors.

Where you are purchasing capital markets products offered pursuant to section 275 or 305 of the SFA, you should be aware that the restrictions and prohibition on subsequent transfers of those products will apply to you. Pursuant to regulation 33 and 34 of the Financial Advisers Regulations, you acknowledge that we have no obligation to disclose all material information relating to designated investment products nor have a duty to determine suitability of the recommendations provided to you.

General Warning

Accredited investors are assumed to be better informed, and better able to access resources to protect their own interests, and therefore require less regulatory protection. Investors who agree to be treated as accredited investors therefore forgo the benefit of certain regulatory safeguards. For example, issuers of securities are exempted from issuing a full prospectus registered with the Monetary Authority of Singapore in respect of offers that are made only to accredited investors, and intermediaries are exempted from a number of business conduct requirements when dealing with accredited investors. Investors should consult a professional adviser if they do not understand any consequence of being treated as an accredited investor.

Personal Information

Please fill in all the fields below if you are an individual that holds a joint account with the Accredited Investor.

Name (as per NRIC/passport) : _____

NRIC/Passport Number : _____

Age : _____

Contact Number : _____

Email Address : _____

¹ Existing accredited investors refers to any person with whom we entered into transactions immediately before 8 April 2019 and who was treated by us as an accredited investor in those transactions.

I confirm that I no longer wish to be treated as an accredited investor as defined in section 4A of the SFA in respect of all of my transactions with you in respect of dealings through my joint account with the Accredited Investor from the date of submitting this form.

Declaration

I confirm that I have read the above in full and agree, accept, and understand that in completing, signing, and returning this form to you, you, your representatives, or officers may no longer be able to offer certain investment products to me for subscription or purchase through my joint account with the Accredited Investor. I also acknowledge and accept that my existing investments with you through my joint account with the Accredited Investor will not be affected.

I further represent and warrant that the information and confirmations I have provided in this form, and all information contained in this document and any other documentation that I provide to you, are complete, true, and accurate.

Signature

Date

Name:

For Internal Use Only

Signature(s) verified/signed in my presence

Signature

Approved by

Name: