

Client Profile Form 客户档案表格

(For Joint account holders or third party authorized to trade, please complete a separate form.)

(请联名账户持有人或有权交易的第三方分别填写一份表格。)

The Monetary Authority of Singapore has issued a Notice on the Sale of Investment Products effective on 1 January 2012, setting out requirements imposed on financial institution in respect of dealing in Specified Investments Products ("SIP") for a customer who is an individual and who is not an accredited or expert investor.

新加坡金融管理局于2012年1月1日发布了《关于投资产品销售的通知》，载列有关为个人客户以及非认可或专家投资者的特定投资产品("SIP")交易的金融机构而施加的要求。

Please note that the completion of this Client Profile Form is necessary to help us assess whether you have the relevant knowledge or experience for trading in listed and/or unlisted specified products.

请注意，填写此客户档案表格是有助于我方评估您是否具备相关的知识或经验以进行上市和/或非上市特定产品的交易。

Passing Criteria 通过标准

Customer Account Review (CAR) – Listed Specified Investment Products

客户账户审核(CAR) - 上市特定投资产品

Customer Knowledge Review (CKA) – Unlisted Specified Investment Products

客户知识评估(CKA) - 非上市特定投资产品

MoneySENSE has also provided a list of useful key questions that you should ask yourself in determining the suitability of trading / investing in any relevant investment product, which you should go through to ensure that you have indeed provided us all relevant information we will need for the same purpose.

MoneySENSE还提供了一系列有用的关键问题，您应该在确定交易/投资任何相关投资产品的适合性时提问自己，您应该通过这些问题以确保您确实向我方提供了我方为同一目的所需要的所有相关信息。

Client Name:

客户姓名: _____

NRIC/Passport No:

身份证号码/护照号码: _____

Client Code (for existing client):

客户代码 (适用于现有客户): _____

1. Educational Qualifications (CAR and CKA)

学历 (CAR和CKA)

(i) **At least a Diploma or Higher qualifications* in:**

至少持有以下文凭或更高学历*:

- | | | | |
|--|---|---|--|
| <input type="checkbox"/> Accountancy
会计 | <input type="checkbox"/> Actuarial Science
精算学 | <input type="checkbox"/> Business / Business Administration / Business Studies / Business Management
商业/工商管理/商学/商业管理 | |
| <input type="checkbox"/> Capital Markets
资本市场 | <input type="checkbox"/> Commerce
贸易 | <input type="checkbox"/> Computational Finance
金融计算 | <input type="checkbox"/> Financial Engineering
金融工程 |
| <input type="checkbox"/> Insurance
保险 | <input type="checkbox"/> Economics
经济学 | <input type="checkbox"/> Finance
金融 | <input type="checkbox"/> Financial Planning
金融计划 |

Name of Institution:

机构名称: _____

(ii) **Professional finance-related qualifications* in:**

与金融相关的专业资格*于:

- Chartered Financial Analyst Examination conducted by the CFA Institute, USA
美国CFA研究所举办的特许金融分析师考试
- Association of Chartered Certified Accountants (ACCA) Qualifications
特许注册会计师公会 (ACCA) 资格
- Associate Wealth Planner or Certified Financial Planner by the Certified Financial Planners Board of Standards, USA
美国标准理财规划师协会理财师或认证理财师
- Certified Financial Risk Manager Programme by the Global Association of Risk Professionals, USA
美国全球风险专业人员协会认证的金融风险经理计划
- Chartered Alternative Investment Analyst Examination conducted by the Chartered Alternative Investment Analyst Association, USA
美国特许另类投资分析师协会举办的特许另类投资分析师考试
- Chartered Financial Consultant by the American College, USA
美国美国学院特许财务顾问

2. CMFAS Examinations

CMFAS考试

(i) Have you personally undergone and passed the assessment at the end of the relevant CMFAS modules?

您是否在各相关CMFAS单元结束时亲自接受并通过了评估?

CMFAS Module 6A

(Securities and Futures Product Knowledge)

- Eligible to trade Listed SIPs, Futures, Leverage Foreign Exchange, Contracts For Difference and Structured Products

CMFAS 6A单元

(证券及期货产品知识)

- 有资格交易上市SIP、期货、杠杆外汇、差价合约和结构性产品

Yes, please state the score(s) of **ALL** attempts:
是的, 请说明**所有**尝试的分数:

No
否

CMFAS Module 8A

(Collective Investment Schemes II)

- Eligible to trade Unit Trusts

CMFAS 8A单元

(集体投资计划II)

- 有资格交易单位信托

Yes, please state the score(s) of **ALL** attempts:
是的, 请说明**所有**尝试的分数:

No
否

(ii) Have you been refused the opening of a Listed/Unlisted Specified Investment Product trading account by other financial institutions?

您是否被其他金融机构拒绝开立上市/非上市特定投资产品交易账户?

Yes, number of times refused: _____
是, 被拒绝的次数:

No
否

3. SGX Online Education (CAR) (<https://onlineeducation.sgx.com>)

SGX在线教育 (CAR)

(i) Have you personally undergone and passed the assessment at the end of the relevant SGX learning module?

您本人是否曾经接受并在相关SGX学习模块结束时通过评估?

Yes, please state the score(s) of **ALL** attempts:
是的, 请说明**所有**尝试的分数:

No
否

(ii) Have you been refused the opening of a Listed Specified Investment Product trading account by other financial institutions?

您是否被其他金融机构拒绝开立上市特定投资产品交易账户?

Yes, number of times refused: _____
是, 被拒绝的次数:

No
否

4. ABS- SAS Learning Module (CKA) (<https://sips.abs.org.sg>)

ABS-SAS学习模块 (CKA)

(i) Have you personally undergone and passed the assessment at the end of the relevant ABS-SAS learning module?

您本人是否曾经接受并在相关ABS-SAS学习模块结束时通过评估?

▪ Contracts For Difference (CFD) 差价合约

Yes, please state the score(s) of **ALL** attempts:
是的, 请说明**所有**尝试的分数:

No
否

▪ Foreign Exchange Margin Trading 外汇保证金交易

Yes, please state the score(s) of **ALL** attempts:
是的, 请说明**所有**尝试的分数:

No
否

▪ Structured Products 结构性产品

Yes, please state the score(s) of **ALL** attempts:
是的, 请说明**所有**尝试的分数:

No
否

▪ Unit Trust 信托基金

Yes, please state the score(s) of **ALL** attempts:
是的, 请说明**所有**尝试的分数:

No
否

(ii) Have you been refused the opening of a Unlisted Specified Investment Product trading account by other financial institutions?

您是否曾遭其他金融机构拒绝开设非上市特定投资产品的交易账户?

Yes, number of times refused: _____
是, 被拒绝的次数:

No
否

5. Investment Experience 投资经验

(i) Listed Specified Investment Products (CAR)

上市特定投资产品 (CAR)

Have you transacted **at least 6 times** in listed SIPs in the preceding 3 years?

在过去3年中，您是否在上市SIP中进行了**至少6次**交易？

- | | | |
|---|-----------------------------------|----------------------------------|
| ▪ Exchange Traded Funds
交易所交易基金 | <input type="checkbox"/> Yes
是 | <input type="checkbox"/> No
否 |
| ▪ Structured Warrants and Options
结构性认股权证及期权 | <input type="checkbox"/> Yes
是 | <input type="checkbox"/> No
否 |
| ▪ Futures Contracts
期货合约 | <input type="checkbox"/> Yes
是 | <input type="checkbox"/> No
否 |
| ▪ Daily Leveraged Certificates (DLCs)
每日杠杆证书(DLCs) | <input type="checkbox"/> Yes
是 | <input type="checkbox"/> No
否 |

(ii) Unlisted Specified Investment Products (CKA)

非上市特定投资产品 (CKA)

Have you transacted **at least 6 times** in unlisted SIPs in the preceding 3 years?

在过去3年中，您是否在非上市SIP中进行了**至少6次**交易？

- | | | |
|---|-----------------------------------|----------------------------------|
| ▪ Contracts for Difference (CFD)
差价合约(CFD) | <input type="checkbox"/> Yes
是 | <input type="checkbox"/> No
否 |
| ▪ Leverage Foreign Exchange
杠杆式外汇 | <input type="checkbox"/> Yes
是 | <input type="checkbox"/> No
否 |
| ▪ Structured Products
结构性产品 | <input type="checkbox"/> Yes
是 | <input type="checkbox"/> No
否 |
| ▪ Unit Trust
信托基金 | <input type="checkbox"/> Yes
是 | <input type="checkbox"/> No
否 |

6. Work Experience (CAR and CKA) 工作经验 (CAR和CKA)

At least **3 continuous years of working experience in the preceding 10 years*** in:

在过去10年内至少有**连续3年的工作经验***于：

(Support functions in these areas are not considered as relevant experience)
(这些领域的支助职能不被视为相关经验)

- | | | |
|--|--|---|
| <input type="checkbox"/> Development / Structuring of investments products
投资产品的开发/构建 | <input type="checkbox"/> Accountancy
会计 | <input type="checkbox"/> Treasury
财政 |
| <input type="checkbox"/> Management of investment products
投资产品的管理 | <input type="checkbox"/> Actuarial Science
精算学 | <input type="checkbox"/> Financial Risk Management Activities
金融风险管理活动 |
| <input type="checkbox"/> Sale / Trading of investment products
投资产品的销售/交易 | <input type="checkbox"/> Legal (in relevant financial areas)
法律(在相关财务领域) | |
| <input type="checkbox"/> Research / Analysis of investment products
投资产品的研究/分析 | <input type="checkbox"/> Provision of training in investment products
提供投资产品的培训 | |

Name of Company 公司名称	Period of Service 服务期	
	From Year (YYYY) 从(月/年)	To Year (YYYY) 至(月/年)

*Supporting documents may be required

*可能需要呈交支持文件



Declaration 声明

You declare, warrant and agree that all information submitted in this application are true, accurate in all respects. Any inaccurate or incomplete information provided by you may affect the outcome of our assessment of whether you have the relevant knowledge and experience to deal in SIP.

您兹此声明、保证并同意本申请中提交的所有资料在各方面都是真实、准确的。您提供的任何不准确或不完整的资料可将会影响我方对于您是否具备处理SIP的相关知识和经验的评估结果。

Signature of Client/Date
客户签名/日期

CGS-CIMB Securities (Singapore) Pte Ltd
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Website 官网: www.cgs-cimb.com Trading website 交易网站: www.itradecimb.com.sg

SG/EXT/CPFORM/021/291121

For Official Use Only	
Pass CAR / CKA	Fail CAR / CKA
Please tag Pass Date for Section 3 & 4	
Reviewed By (Name / Signature / Date)	