

Client Profile Form

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

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.

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.

Passing Criteria

Customer Account Review (CAR) – Listed Specified Investment Products

Customer Knowledge Review (CKA) – Unlisted Specified Investment Products

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.

Client Name: _____

NRIC/Passport No: _____

Client Code (for existing client): _____

1. Educational Qualifications (CAR and CKA)

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

- | | | |
|--|--|--|
| <input type="checkbox"/> Accountancy | <input type="checkbox"/> Actuarial Science | <input type="checkbox"/> Business / Business Administration / Business Studies / Business Management |
| <input type="checkbox"/> Capital Markets | <input type="checkbox"/> Commerce | <input type="checkbox"/> Computational Finance <input type="checkbox"/> Financial Engineering |
| <input type="checkbox"/> Insurance | <input type="checkbox"/> Economics | <input type="checkbox"/> Finance <input type="checkbox"/> Financial Planning |

Name of Institution: _____

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

- Chartered Financial Analyst Examination conducted by the CFA Institute, USA
- Association of Chartered Certified Accountants (ACCA) Qualifications
- Associate Wealth Planner or Certified Financial Planner by the Certified Financial Planners Board of Standards, USA
- Certified Financial Risk Manager Programme by the Global Association of Risk Professionals, USA
- Chartered Alternative Investment Analyst Examination conducted by the Chartered Alternative Investment Analyst Association, USA
- Chartered Financial Consultant by the American College, USA

2. CMFAS Examinations

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

CMFAS Module 6A

(Securities and Futures Product Knowledge)
- Eligible to trade Listed SIPs, Futures, Leverage Foreign Exchange, Contracts For Difference and Structured Products

Yes, please state the score(s) of **ALL** attempts: _____ No

CMFAS Module 8A

(Collective Investment Schemes II)
- Eligible to trade Unit Trusts

Yes, please state the score(s) of **ALL** attempts: _____ No

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

Yes, number of times refused: _____ No

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

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

Yes, please state the score(s) of **ALL** attempts: _____ No

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

Yes, number of times refused: _____ No

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

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

- **Contracts For Difference (CFD)** Yes, please state the score(s) of **ALL** attempts: _____ No
- **Foreign Exchange Margin Trading** Yes, please state the score(s) of **ALL** attempts: _____ No
- **Structured Products** Yes, please state the score(s) of **ALL** attempts: _____ No
- **Unit Trust** Yes, please state the score(s) of **ALL** attempts: _____ No

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

- Yes, number of times refused: _____ No

5. Investment Experience

(i) Listed Specified Investment Products (CAR)

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

- **Exchange Traded Funds** Yes No
- **Structured Warrants and Options** Yes No
- **Futures Contracts** Yes No
- **Daily Leveraged Certificates (DLCs)** Yes No

(ii) Unlisted Specified Investment Products (CKA)

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

- **Contracts for Difference (CFD)** Yes No
- **Leverage Foreign Exchange** Yes No
- **Structured Products** Yes No
- **Unit Trust** Yes No

6. Work Experience (CAR and CKA)

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

(Support functions in these areas are not considered as relevant experience)

- Development / Structuring of investments products
- Management of investment products
- Sale / Trading of investment products
- Research / Analysis of investment products
- Accountancy
- Actuarial Science
- Legal (in relevant financial areas)
- Provision of training in investment products
- Treasury
- Financial Risk Management Activities

Name of Company	Period of Service	
	From Year (YYYY)	To Year (YYYY)

*Supporting documents may be required

Declaration

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.

Signature of Client/Date

For Official Use Only

Pass CAR / CKA Fail CAR / CKA

Please tag Pass Date for Section 3 & 4

Reviewed By (Name / Signature / Date)