



Declaration of Expert Investor Status - For Individuals

(For joint applicants, please complete 2 forms separately)

Please provide supporting documents

- I confirm that I am an **Expert Investor** as defined in Section 4A(1)(b) of the Securities and Futures Act 2001 (the "Act"), being:
- a person whose business involves the acquisition and the disposal, or the holding, of capital markets products, whether as principal or agent;

I further confirm that you have disclosed to me that the Financial Advisers Act 2001 particularly, Section 34, (relating to obligations to disclose information on any investment product), Section 36, (relating to recommendations on any investment product having reasonable basis) Section 45, (relating to obligations to disclose interests in securities when sending circulars or other communication in which a recommendation is made with respect to securities), and the Financial Advisers (Complaints Handling and Resolution) Regulations 2021 relating to the handling and resolving of complaints for retail clients, will not apply to me as an **Expert Investor**.

Authorisation for Deduction of Client Money

The following applies if I am (1) an Expert Investor as indicated above and (2) trading in unlisted derivatives (including contract for differences):

Pursuant to Regulation 21(1)(d) of the Securities and Futures (Licensing and Conduct of Business) Regulations, I authorise CGS-CIMB Securities, to deduct from CGS-CIMB Securities' segregated trust accounts client money (if any) to which I am entitled, for the purpose of meeting obligations which CGS-CIMB Securities may have to any counterparty with which CGS-CIMB Securities transacts a hedge position in order to hedge CGS-CIMB Securities' exposure. Without prejudice to the generality of the provisions in this authorisation, CGS-CIMB Securities shall have no liability whatsoever to us in the case where such counterparty is unable (for any reason whatsoever) to return, pay or deliver any portion of the said monies to CGS-CIMB Securities.

I acknowledge that my trading in unlisted derivatives shall be subject to CGS-CIMB Securities' prevailing terms and conditions.

This authorisation shall remain in force until cancelled by me in writing and duly and properly received by CGS-CIMB Securities.

I acknowledge and am willing to accept the risks associated with this authorisation.

I agree to indemnify CGS-CIMB Securities (including its related entities, directors, shareholders, officers and employees) for any loss, claim or expenses (including legal costs) CGS-CIMB Securities sustains as a result of relying on information provided in this form.



Signature / Date

Name: _____

NRIC/Passport Number: _____

FOR OFFICIAL USE ONLY

I confirm that I have explained the implications of the Investor Status Declaration to the client.

<p>_____</p> <p>TR Name / Signature / Date</p>	<p>Trading Account No(s):</p> <p>_____</p> <p>_____</p>
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