

# Customer Account Review

We need to assess whether you have sufficient knowledge or experience to trade in listed Specified Investment Products (SIPs). Please complete this form by selecting YES/NO and sign it. If you provide any inaccurate or incomplete information it will affect the outcome of this assessment.

## Qualifications

Do you have a diploma or higher qualifications in any of these areas? Please tick.

- Accountancy
- Actuarial science
- Business (inc. administration, management or studies)
- Capital markets
- Commerce
- Finance (inc. computational, financial engineering/planning)
- Economics
- Insurance
- Any professional finance-related qualifications<sup>1</sup>

Please fill in the following:

College of study: \_\_\_\_\_

Year of completion: \_\_\_\_\_

IF NO

IF YES

## SGX Online & Education on SIPs

Have you personally undergone and completed the eTutorial and passed the online quiz?

- Yes
- No

If Yes, please state the scores of all the assessments:

\_\_\_\_\_

\_\_\_\_\_

\_\_\_\_\_

IF NO

IF YES

## Investment Experience

In the past 3 years, have you made at least 6 trades in the following listed SIPs which are listed for quotation or quoted on a securities or futures market? Please tick.

- Certificates
- Exchange Traded Funds (ETFs)
- Exchange Traded Notes (ETNs)
- Futures (extended settlement contracts)
- Structured Warrants
- Callable Bull/Bear Contracts (CBBCs)
- Options

IF NO

IF YES FOR ANY

## Work Experience

In the past 10 years, have you spent at least 3 consecutive years working in any of these areas<sup>2</sup>?

- Development/structuring/sale/trading/management/research/analysis of investment products
- Providing investment product training
- Accountancy, actuarial science, treasury, financial risk management
- Providing legal advice or having legal expertise in one of the areas above

IF NO

IF YES

Name of company: \_\_\_\_\_

Any other information on relevant working experience: \_\_\_\_\_



You do not have sufficient experience or knowledge to transact in listed SIPs.

However, you can still continue to trade in standard products provided by us.

If you still wish to transact in listed SIPs, do visit SGX online and complete the eTutorial. You can inform your Trading Representative upon passing the online quiz so as to enable SIP access.

Thank you for your declaration. Based on your answer, you appear to qualify to transact in listed SIPs. If we need more information, we will contact you. Please proceed on to the next part of the application.

## DECLARATION

I confirm that the information I have provided above is true and accurate.

1. Professional finance-related qualifications include Chartered Institute of Securities & Investment (CISI), Chartered Alternative Investment Analyst (CAIA), Certified Financial Technician (CFTe), Financial Risk Manager (FRM), Chartered Financial Consultant (ChFC), Associate Financial Planner (AFP), Associate Wealth Planner (AWP), Certified Financial Planner (CFP), Certified Public Accountant (CPA/ACCA), Chartered Financial Analyst (CFA), CMFAS Exam Module (Securities Products and Analysis, Futures Products and Analysis).
2. Administrative, clerical or support function roles (operations, HR, corporate services, IT, etc.) are not considered relevant experience.
3. Joint account holders have to make a separate declaration each.

Please sign and return the completed form to OCBC Securities, 18 Church Street, #01-00, OCBC Centre South, Singapore 049479

Name: \_\_\_\_\_

\_\_\_\_\_

Trading Account No.: \_\_\_\_\_

NRIC/PP: \_\_\_\_\_

Contact No.: \_\_\_\_\_

I have not been declined for opening an SIP Trading account by another licenced person or exempted from any Financial Institution.

- Yes  No

If No, please indicate the name of the broker:

\_\_\_\_\_

\_\_\_\_\_

Signature & Date



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