

Client Name:

Account No.:

PRODUCT KNOWLEDGE AND TRADING EXPERIENCE ASSESSMENT

You need not complete the questionnaire if you are an accredited investor or a person outside Singapore who is not citizen or permanent resident of Singapore, and not wholly or partly dependent on citizens or permanent residents of Singapore.

You are advised to take care in answering the questions to enable OSPL to assess your competency in terms of knowledge and experience in the area of Leveraged Forex or Futures trading. Failure to complete or give accurate answers may lead us to deem you as having inadequate knowledge and / or understanding of Leveraged Forex or Futures and the risks inherent in trading these products and the rejection of your application.

Assessment Criteria	Customer Knowledge Assessment (CKA) For Leveraged Forex Contract	Customer Account Review (CAR) For Futures / Options Contract		
1. Investment Experience	(a) Have you transacted at least 6 times in Unlisted Specified Investment Products ("SIP") which are traded Over-the-Counter (OTC) in the preceding 3 years? <input type="checkbox"/> No <input type="checkbox"/> Yes If Yes, please select the products that you have traded <input type="checkbox"/> Leveraged Foreign Exchange <input type="checkbox"/> Leveraged CFD <input type="checkbox"/> Bullion <input type="checkbox"/> OTC Metal	(i) Have you transacted at least 6 times in Listed Specified Investment Products ("SIP") which are listed or quoted on a futures market in the preceding 3 years? <input type="checkbox"/> No <input type="checkbox"/> Yes If Yes, please select the products that you have traded <input type="checkbox"/> Futures <input type="checkbox"/> Options		
2. Investment Education	(a) Have you personally undergone and completed the ABS-SAS e-learning on unlisted SIPs and passed the online assessment? <input type="checkbox"/> No <input type="checkbox"/> Yes If Yes, please state the scores of all the attempts _____	(i) Have you personally undergone and completed the SGX eTutorial and passed the online quiz? <input type="checkbox"/> No <input type="checkbox"/> Yes If Yes, please state the scores of all the attempts _____		
	(b) Have you been rejected from opening an unlisted SIP trading account by another licensed person or exempt financial institution? <input type="checkbox"/> No <input type="checkbox"/> Yes If Yes, please indicate the name(s) of the licensed person / financial institution _____	(ii) Have you been rejected from opening a listed SIP trading account by another licensed person or exempt financial institution? <input type="checkbox"/> No <input type="checkbox"/> Yes If Yes, please indicate the name(s) of the licensed person / financial institution _____		
3. Work Experience	Do you have a minimum of 3 continuous years of working experience * in the past 10 years in the areas mentioned below? <input type="checkbox"/> No <input type="checkbox"/> Yes If Yes, please provide company name and any other information on your relevant working experience _____ <table style="width:100%; border:none;"> <tr> <td style="width:50%; border:none;"> <input type="checkbox"/> Development / Structuring of Investment Products <input type="checkbox"/> Management of Investment Products <input type="checkbox"/> Sale / Trading of Investment Products <input type="checkbox"/> Research / Analysis of Investment Products <input type="checkbox"/> Provision of Training in Investment Products </td> <td style="width:50%; border:none;"> <input type="checkbox"/> Work experience in Accountancy <input type="checkbox"/> Work experience in Actuarial Science <input type="checkbox"/> Work experience in Treasury <input type="checkbox"/> Work experience in Financial Risk Management <input type="checkbox"/> Provision of legal advice or possession of legal expertise on the above mentioned areas. </td> </tr> </table>		<input type="checkbox"/> Development / Structuring of Investment Products <input type="checkbox"/> Management of Investment Products <input type="checkbox"/> Sale / Trading of Investment Products <input type="checkbox"/> Research / Analysis of Investment Products <input type="checkbox"/> Provision of Training in Investment Products	<input type="checkbox"/> Work experience in Accountancy <input type="checkbox"/> Work experience in Actuarial Science <input type="checkbox"/> Work experience in Treasury <input type="checkbox"/> Work experience in Financial Risk Management <input type="checkbox"/> Provision of legal advice or possession of legal expertise on the above mentioned areas.
<input type="checkbox"/> Development / Structuring of Investment Products <input type="checkbox"/> Management of Investment Products <input type="checkbox"/> Sale / Trading of Investment Products <input type="checkbox"/> Research / Analysis of Investment Products <input type="checkbox"/> Provision of Training in Investment Products	<input type="checkbox"/> Work experience in Accountancy <input type="checkbox"/> Work experience in Actuarial Science <input type="checkbox"/> Work experience in Treasury <input type="checkbox"/> Work experience in Financial Risk Management <input type="checkbox"/> Provision of legal advice or possession of legal expertise on the above mentioned areas.			

	* Support functions in the areas mentioned above that are administrative or clerical in nature will not be considered as relevant experience.	
4. Educational Qualification	Do you have one or more of the following qualifications? <input type="checkbox"/> No <input type="checkbox"/> Yes If Yes, please indicate the college of study & year of graduation	
	a) Diploma or higher qualification? (Please select) <input type="checkbox"/> Accountancy <input type="checkbox"/> Actuarial Science <input type="checkbox"/> Business / Business Administration / Business Management / Business Studies <input type="checkbox"/> Capital Markets <input type="checkbox"/> Commerce <input type="checkbox"/> Finance <input type="checkbox"/> Economics <input type="checkbox"/> Financial Engineering <input type="checkbox"/> Financial Planning / Insurance <input type="checkbox"/> Computational Finance	b) Professional Finance related qualifications? (Please select) <input type="checkbox"/> Chartered Institute of Securities & Investments (CISI) <input type="checkbox"/> Chartered Alternative Investment Analyst (CAIA) <input type="checkbox"/> Certified Financial Technician (CFTe) <input type="checkbox"/> Finance Risk Manager (FRM) <input type="checkbox"/> Chartered Financial Consultant (ChFC) <input type="checkbox"/> Chartered Financial Analyst (CFA) <input type="checkbox"/> Associate Financial Planner (AFP) <input type="checkbox"/> Associate Wealth Planner (AWP) <input type="checkbox"/> Certified Financial Planner (CFP) <input type="checkbox"/> Public Account (CPA) / (ACCA) <input type="checkbox"/> (CMFAS Exam) Modules - Securities Products and Analysis & Futures Products and Analysis

v. May 2015 Co. Reg. no. 196600

Based on the above assessment, I understand that I:

CKA For Leveraged Forex Trading

possess the relevant knowledge or experience for Leveraged Forex trading, as one or more of my answers to the above Sections 1(a), 2(a), 3, or 4 is Yes, and my answer to Section 2(b) is No. You will contact me if you need more information from me.

do not possess the relevant knowledge or experience in Leveraged Forex trading. I will not be able to continue to trade Leveraged Forex.

CAR For Futures/ Options Trading

possess the relevant knowledge or experience in derivatives for Futures/ Options trading, as one or more of my answers to the above Sections 1(i), 2(i), 3, or 4 is Yes, and my answer to Section 2(ii) is No. You will contact me if you need more information from me.

do not possess the relevant knowledge or experience in derivatives for Futures/ Options. I will not be able to continue to trade Futures/ Options.

I represent and warrant that the information provided herein is true to the best of my knowledge and acknowledge that you will be relying on the information provided in your assessment of whether I have the relevant knowledge or experience to understand the risks and features of the products mentioned above that I intend to trade or continue trading in.

Signature of Client / Date