

Individual customer (“Customer”) who wishes to trade in Specified Investment Product listed or quoted on a securities market or a futures market (“SIP”) is required to complete this form for RHB Sec to conduct a Customer Account Review (“CAR”).

*Kindly provide supporting documents if you have answered “YES” to any of the questions below.

MAIN APPLICANT

Name

Client Code(s)

NRIC/Passport Number

JOINT APPLICANT

Name

Client Code(s)

NRIC/Passport Number

(A) EDUCATIONAL QUALIFICATIONS

Do you have any of the following qualifications:

(a) Diploma or higher qualification in:

Main Applicant	Joint Applicant
<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

- | | |
|--|---|
| <ol style="list-style-type: none"> 1. Accountancy 2. Actuarial Science 3. Business/business administration/
business management/business studies 4. Capital Markets 5. Commerce | <ol style="list-style-type: none"> 6. Economics 7. Finance 8. Financial Engineering 9. Financial Planning 10. Computational Finance 11. Insurance |
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(b) Professional finance-related qualifications:

Main Applicant	Joint Applicant
<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

- | | |
|---|---|
| <ol style="list-style-type: none"> 1. Chartered Financial Analyst (CFA) 2. Chartered Institute of Securities & Investment (CISI) 3. Chartered Alternative Investment Analyst (CAIA) 4. Certified Financial Technician (CFTe) 5. Financial Risk Manager (FRM) 6. Chartered Financial Consultant (ChFC) | <ol style="list-style-type: none"> 7. Associate Financial Planner (AFP) 8. Associate Wealth Planner (AWP) 9. Certified Financial Planner (CFP) 10. Certified Public Accountant (CPA)/
Association of Chartered Certified Accountants (ACCA) 11. CMFAS Module 6 – Securities Products and Analysis
and Module 7 – Futures Products and Analysis |
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(B) INVESTMENT EXPERIENCE

Have you transacted in Specified Investment Products² which are listed or quoted on a securities market or a futures market at least 6 times in the preceding three years?

Main Applicant	Joint Applicant
<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

(C) WORK EXPERIENCE

Do you have relevant work experience (not inclusive of support functions in the areas mentioned that are administrative or clerical in nature) for a period of minimum of 3 consecutive years in the past 10 years in any of the following:

Main Applicant	Joint Applicant
<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No

- | | |
|---|--|
| <ol style="list-style-type: none"> 1. Development/Structuring of investment products 2. Management of investment products 3. Sale/trading of investment products 4. Research/analysis of investment products 5. Provision of training in investment products | <ol style="list-style-type: none"> 6. Working experience in accountancy, actuarial science, treasury or financial risk management activities 7. Provision of legal advice or possession of legal expertise in relevant financial areas |
|---|--|

(D) SGX ONLINE MODULE

If none of your answers for questions (A) – (C) is “YES”, please be advised to take the SGX online module** at www.sgx.com/onlineeducation/specifiedinvestmentproducts. If you have already completed this SGX online module, please answer the following for our assessment:

- | | | | | | | | |
|---|---|----------------|-----------------|--|--|-------------------------------|-------------------------------|
| <p>1. Have you passed the SGX online education module?</p> <p>2. How many times have you attempted the SGX online education module?</p> <p>3. What are the previous score(s) of every assessment at the end of the SGX online education module?</p> | <table border="0"> <tr> <td style="text-align: center;">Main Applicant</td> <td style="text-align: center;">Joint Applicant</td> </tr> <tr> <td><input type="checkbox"/> Yes <input type="checkbox"/> No</td> <td><input type="checkbox"/> Yes <input type="checkbox"/> No</td> </tr> <tr> <td><input type="checkbox"/> N.A.</td> <td><input type="checkbox"/> N.A.</td> </tr> </table> <p>_____</p> <p>_____</p> | Main Applicant | Joint Applicant | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> N.A. | <input type="checkbox"/> N.A. |
| Main Applicant | Joint Applicant | | | | | | |
| <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No | | | | | | |
| <input type="checkbox"/> N.A. | <input type="checkbox"/> N.A. | | | | | | |
- ** Please note that your result is valid for 3 years.

(E) OTHERS

- | | | | | | |
|---|--|----------------|-----------------|--|--|
| <p>1. Have you been refused by another licensed person or exempt financial institution on the opening of a SIP trading account?</p> <p>2. If yes, how many times have you been refused?</p> | <table border="0"> <tr> <td style="text-align: center;">Main Applicant</td> <td style="text-align: center;">Joint Applicant</td> </tr> <tr> <td><input type="checkbox"/> Yes <input type="checkbox"/> No</td> <td><input type="checkbox"/> Yes <input type="checkbox"/> No</td> </tr> </table> <p>_____</p> <p>_____</p> | Main Applicant | Joint Applicant | <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Main Applicant | Joint Applicant | | | | |
| <input type="checkbox"/> Yes <input type="checkbox"/> No | <input type="checkbox"/> Yes <input type="checkbox"/> No | | | | |

IMPORTANT NOTE:

- This form is valid only for Customer who is an individual and who is not an accredited investor or expert investor.
- Examples of Specified Investment Products (“SIP”) include structured notes, exchange traded funds, exchange traded notes, investment linked insurance policies, warrants and options, futures and certificates. In fact, any investment product other than those listed below and any investment product that is only listed on an overseas exchange is classified as a SIP:
 - Shares
 - Fully-paid depository receipts representing shares
 - Subscription rights pursuant to rights issues
 - Company warrants
 - Units in business trusts
 - Units in real estate investment trusts
 - Debentures (other than asset-backed securities and structured notes)
 - Life insurance policies (other than investment-linked life insurance policies)
- Regardless of the outcome of this CAR, you can, at any time, request for advice concerning a listed SIP.
- Please note the outcome of this CAR is valid for a period of 3 years.

CUSTOMER’S DECLARATION / ACKNOWLEDGMENT

- I/We acknowledge that the information given is for RHB Sec to conduct this CAR to assess if I/we have the knowledge or experience in derivatives before approving my/our account for trading in listed SIP.
- I/We acknowledge that if I/we am/are deemed not to possess the knowledge or experience in derivatives in this CAR but as I/we have completed the SGX online module, it will be at the sole discretion of RHB Sec to determine if I/we have demonstrated sufficient understanding of the features and risks of derivatives to trade in listed SIP to approve my/our account for trading in listed SIP.
- I/We acknowledge that if none of my/our answers for questions (A) – (D) is a “Yes”, I/we am/are deemed not to possess the knowledge or experience in derivatives.
- I/We declare that all information submitted by me/us in this form is true and accurate. I/We understand that any inaccurate or incomplete information provided by me/us may affect the outcome of this CAR.
- I/We acknowledge that I/we have personally undergone and passed the assessment at the end of the SGX Online Module (if applicable).

Signature of Main Applicant

Signature of Joint Applicant

FOR OFFICIAL USE

SGX online module Score

_____ Year _____ (if applicable)

Recommended Tagging

SIP

(Indicate “NA”, if customer is assessed not to possess knowledge or experience in derivative)

Client Services’ Staff Name/Initial

APPROVAL:

Head of Client Services Yes No Initial _____

Executive Director Yes No Initial _____