



## CUSTOMER ACCOUNT REVIEW FORM

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 to conduct a Customer Account Review (“CAR”).

\*Kindly provide Supporting Documents if you have answered “YES” to any of the questions below.

### CUSTOMER’S DETAILS <sup>1</sup>

Name of Customer: \_\_\_\_\_

Client Code (s): \_\_\_\_\_ NRIC / PASSPORT NO. \_\_\_\_\_

### (A) EDUCATIONAL QUALIFICATIONS (Please circle Yes / No)

Do you have any of the following qualifications:

(a) Diploma or higher qualification in:

- |                                                                                |                           |            |
|--------------------------------------------------------------------------------|---------------------------|------------|
| 1. Accountancy                                                                 | 6. Economics              | YES * / NO |
| 2. Actuarial Science                                                           | 7. Finance                |            |
| 3. Business / business administration / business management / business studies | 8. Financial Engineering  |            |
| 4. Capital Markets                                                             | 9. Financial Planning     |            |
| 5. Commerce                                                                    | 10. Computational Finance |            |
|                                                                                | 11. Insurance             |            |

(b) Professional finance-related qualifications:

- |                                                          |                                                                                               |            |
|----------------------------------------------------------|-----------------------------------------------------------------------------------------------|------------|
| 1. Chartered Financial Analyst (CFA)                     | 7. Associate Financial Planner (AFP)                                                          | YES * / NO |
| 2. Chartered Institute of Securities & Investment (CISI) | 8. Associate Wealth Planner (AWP)                                                             |            |
| 3. Chartered Alternative Investment Analyst (CAIA)       | 9. Certified Financial Planner (CFP)                                                          |            |
| 4. Certified Financial Technician (CFTe)                 | 10. Certified Public Accountant (CPA) / Association of Chartered Certified Accountants (ACCA) |            |
| 5. Financial Risk Manager (FRM)                          |                                                                                               |            |
| 6. Chartered Financial Consultant (ChFC)                 |                                                                                               |            |

### (B) INVESTMENT EXPERIENCE (Please circle Yes / No)

Have you transacted in Specified Investment Products <sup>2</sup> which are listed or quoted on a securities market or a futures market at least 6 times in the preceding three years? YES \* / NO

### (C) WORK EXPERIENCE (Please circle Yes / No)

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:

- |                                                     |                                                                                                           |            |
|-----------------------------------------------------|-----------------------------------------------------------------------------------------------------------|------------|
| 1. Development / Structuring of investment products | 6. Working experience in accountancy, actuarial science, treasury or financial risk management activities | YES * / NO |
| 2. Management of investment products                |                                                                                                           |            |
| 3. Sale / trading of investment products            | 7. Provision of legal advice or possession of legal expertise in relevant financial areas                 |            |
| 4. Research / analysis of investment products       |                                                                                                           |            |
| 5. Provision of training in investment products     |                                                                                                           |            |



### (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](http://www.sgx.com/onlineeducation/specifiedinvestmentproducts). If you have already completed this SGX online module, please answer the following for our assessment:

1. Have you passed the SGX online education module? YES \* / NO / NA (Please circle one)
2. How many times have you attempted the SGX online education module? \_\_\_\_\_
3. What are the previous score(s) of every assessment at the end of the SGX online education module?  
\_\_\_\_\_

\*\* Please note that your result is only valid for 3 years.

### (E) OTHERS

1. Have you been refused by another licensed person or exempt financial institution on the opening of a SIP trading account? YES / NO (Please circle one)
2. If yes, how many times have you been refused? \_\_\_\_\_

---

#### Important Note:

1. This form is valid only for Customer who is an individual and who is not an accredited investor or expert investor.
2. 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:
  - a) Shares
  - b) Fully-paid depository receipts representing shares
  - c) Subscription rights pursuant to rights issues
  - d) Company warrants
  - e) Units in business trusts
  - f) Units in real estate investment trusts
  - g) Debentures (other than asset-backed securities & structured notes)
  - h) Life insurance policies (other than investment-linked life insurance policies)
3. Regardless of the outcome of this CAR, you can, at any time, request for advice concerning a listed SIP.
4. Please note the outcome of this CAR is only valid for a period of 3 years.

#### Customer’s Declaration / Acknowledgment

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



5. I acknowledge that I have personally undergone and passed the assessment at the end of the SGX Online Module (if applicable).

\_\_\_\_\_ **Customer's Signature / Date**

**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/Signature: \_\_\_\_\_

**Approval by Client Services Manager for the customer to trade SIP:** Yes / No Initial: \_\_\_\_\_

**Approval by Director / Authorised Officer for the customer to trade SIP:** Yes / No Initial: \_\_\_\_\_