

Important Notes

Notwithstanding the outcome of the Customer Account Review and Customer Knowledge Assessment, you are welcome to request for advice concerning SIPs from us at anytime.

HSBC Bank (Singapore) Limited

To update CAR, please complete Q1, Q2, Q3c

¹ Any investment product other than those listed below and any investment product that is only listed on an overseas exchange is classified as a Specified Investment Product.

- (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)
- (i) Contracts or arrangements for the purpose of foreign exchange trading (other than derivatives of foreign exchange contracts and leveraged foreign exchange trading)

Customer Knowledge Assessment/ Customer Account Review Outcome

(To be completed by your Financial Consultant)

We have completed your Customer Knowledge Assessment and Customer Account Review. The outcome of your assessment is as follows:

Customer Knowledge Assessment assessed on:

Customer Account Review assessed on:

	Assessment/Review Outcome: Meet criteria*	Specified Investment Products
Customer Knowledge Assessment (CIS/ILP)	Yes / No / NA * Meet criteria, if answered "Yes" to question 1/2/3a	Unlisted unit trusts, Investment Linked Policy (ILP)
Customer Knowledge Assessment (Specified Investment Products excluding CIS and ILP)	Yes / No / NA * Meet criteria, if answered "Yes" to question 1/2/3b	Structured investment products like Foreign Exchange Derivatives, Dual Currency Plus, Equity Linked Notes, Structured Deposits and Notes, Market Access Platform
Customer Account Review (CAR)	Yes / No / NA * Meet criteria, if answered "Yes" to question 1/2/3c	Exchange traded funds, Listed bonds that are asset-backed securities or structured notes, Overseas listed shares and bonds

*Please note that a positive assessment/review outcome for CKA and CAR will only be valid for one year and three years respectively. We may need to conduct a new CKA and CAR with you in the future.

**Overseas listed shares and bonds are Specified Investment Products unless otherwise notified to you by the bank.

Customer Declaration

1) Customer Account Review (For customers who do not meet the criteria but still wish to open a trading account)

I understand that I do not possess the knowledge or experience in derivatives pursuant to the Customer Account Review but I confirm that I still wish to open a trading account to transact in a listed Specified Investment Product. I am also aware that the opening of the trading account is subject to your senior management's approval.

I understand the general features and risks associated with investing in derivatives and have received a copy of the general features and risks from my Financial Consultant.

I understand that it is my responsibility to ensure that I understand any capital markets product(s) that I intend to transact using the Specified Investment Product trading account.

2) Customer Knowledge Assessment (For customers who do not meet the criteria but want to transact in a Specified Investment Product not recommended by HSBC)

I understand that I do not possess the knowledge or experience in the unlisted Specified Investment Product pursuant to the Customer Knowledge Assessment but I confirm that I still wish to purchase an unlisted Specified Investment Product which is not recommended by HSBC.

I understand that it is my responsibility to ensure the suitability of the investment product selected. I am also aware that this transaction is subject to your senior management's approval.

3) By providing the information set out in this form, I consent to the collection, use and disclosure of the personal data provided in this form by HSBC Bank (Singapore) Limited ("HSBC"), its agents and authorised service providers as well as relevant third parties, for purposes reasonably required by HSBC to provide the products or services which I am applying for. These purposes are set out in HSBC's prevailing Data Privacy Policy (as may be amended from time to time), which may be found at HSBC's website <https://www.hsbc.com.sg/privacy-statement>. I understand that: (i) I may request that the relevant section of the Data Privacy Policy to be provided to me for my perusal prior to signing and (ii) the Data Privacy Policy forms a part of the terms and conditions governing my relationship with HSBC (including the HSBC Account User Agreement, the Investment Account Opening Booklet, the Investment Terms, the Risk Disclosure Statement and the Best Execution Client Disclosure Statement and the relevant product specific terms and conditions) and should be read in conjunction with the same. I confirm I have read and understood the Data Privacy Policy.

Signature of Customer

SV

Full name _____
 NRIC/ Passport no. _____
 Date _____

For Bank use only

Customer no. —

Witnessed/ Verified by

SV

Name of Staff _____
 Staff ID _____

HBSP/CVM/WEL/SFP002