Execution Only Journey

Private and Confidential

Prepared on:

Report ID

Dear customer,

Thank you for providing the information in the execution only report.

If you have any further questions, please feel free to get in touch with us.

N/A

Financial Consultant (FC)
## About You

### Your Profile

<table>
<thead>
<tr>
<th>Name</th>
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<tbody>
<tr>
<td>IC/Passport number</td>
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<tr>
<td>Date of Birth</td>
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<tr>
<td>Gender</td>
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<td>Marital Status</td>
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<td>Occupation</td>
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<td>Nationality</td>
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<td>Country of Residence</td>
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<td>Residential Address</td>
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<tr>
<td>Home phone number</td>
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<tr>
<td>Mobile phone number</td>
<td></td>
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<tr>
<td>Office phone number</td>
<td></td>
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<tr>
<td>Email address</td>
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</tbody>
</table>

### Your Knowledge Assessment

(CKA) Assessed on:

(CAR) Assessed on:

<table>
<thead>
<tr>
<th>Type</th>
<th>Assessment/Review Outcome: Meet Criteria</th>
<th>Specified Investment Product</th>
</tr>
</thead>
<tbody>
<tr>
<td>Customer Knowledge Assessment (CKA)</td>
<td>Yes/No</td>
<td>Unlisted unit trusts, Investment Linked Policies (ILP)</td>
</tr>
<tr>
<td>Customer Knowledge Assessment (CKA)</td>
<td>Yes/No</td>
<td>Structured investment products like foreign exchange derivatives, dual currency plus, equity linked notes, structured deposits and notes, market access platform</td>
</tr>
<tr>
<td>Customer Account Review (CAR)</td>
<td>Yes/No</td>
<td>Exchange traded funds, Listed bonds that are asset-backed securities or structured notes, overseas listed shares and bonds*</td>
</tr>
</tbody>
</table>

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

Please note that any inaccurate or incomplete information provided by you may affect the outcome of your CKA/CAR assessment.
## Your Selection**

<table>
<thead>
<tr>
<th>Product Name</th>
<th>Product Risk Rating</th>
<th>Investment Currency</th>
<th>Initial Investment</th>
<th>Monthly Investment</th>
</tr>
</thead>
</table>

*Investments are not bank deposits and are subject to investment risks, including the possible loss of the principal amount invested. The price and value of any investment in securities and the income, if any, from them, can fluctuate and may fall against your interest.

**The products were selected by you based on your preferences as indicated above.

### About this transaction

The bank recommends diversification of your financial assets at all times.

I confirm that I have not received any investment advice, suggestions or order guidance from HSBC relating to the investment(s) detailed above. I further confirm that any transaction I have decided to make is being made at my volition and at my own risk having read and understood all relevant product literature. I acknowledge and understand that the arrangement of any transaction by HSBC on my behalf is not in any way a confirmation or an endorsement from HSBC that it is suitable for me. I will also waive my right to receive any advice on the suitability of the product under the Financial Advisers Act (Cap. 110) from HSBC.

I choose to buy the above product without receiving advice from my Financial Consultant. I acknowledge that the above product may be unsuitable with reference made to my risk profile/objective/financial situation.

I confirm that I have independently considered the above product to be suitable for me. I understand that I am unable to rely on Section 27 of the Financial Advisers Act (Cap. 110) to file a civil claim against HSBC if I suffer any loss. I wish to proceed without advice.
Customer has a companion

<table>
<thead>
<tr>
<th>Date of Meeting:</th>
</tr>
</thead>
<tbody>
<tr>
<td>Companion Name:</td>
</tr>
<tr>
<td>Companion ID Number:</td>
</tr>
<tr>
<td>Relationship with me:</td>
</tr>
</tbody>
</table>

Reflection Period (Please tick one of the option)

☐ I confirm no reflection period is needed as I have understood the features and risks of the product(s) clearly.

☐ I confirm to accept the reflection period offering.
Unit Trust (Excluding Liquid Alternative) (Examples: fixed income funds, equity funds, multi asset funds)

Why you may select this product

- The fund(s) selected by you should fit your investment strategy, choice of market, currency and sectoral preference.
- You choose fund(s) with regular dividend payouts, as you prefer to receive income (in the form of cash or investment units) instead of only relying on potential capital growth.
- Other reasons:

Key risks that you must understand before purchasing this product

- Value of unit trust may rise or fall - previous track records may not be continued. You are aware that any past track records of dividend payout does not represent the future trend and is therefore not guaranteed.
- Any changes in your country of residency may result in foreign currency exchange risks and foreign tax implications. In some cases it may mean you cannot continue with the investment anymore. Please consult your tax consultant for more information on your tax obligations and how a change in your country of residency may impact you.
- In the event that the fund(s) selected is / are of higher risk rating than your risk profile, you are aware that you are taking a higher risk than what you may be comfortable with.
- Even though a fund may be in the currency of your preference, it could carry foreign exchange risk since the underlying investment may not be the same currency as the fund.

Please refer to the fund’s Product Highlight Sheet(s) for a full list of the risks that you must take note of.

Documents that you must receive from us:

- Customer Profile Form
- Risk Profiling Questionnaire
- Prospectus
- Transaction Form
- Fund factsheet (Not applicable for newly launched
- Product Highlight Sheet

^ Not applicable if previous version has been provided within the past one year

Please read all documents provided.

With HSBC’s 30-day Service Pledge, should you change your mind after purchasing any of our open-end authorized funds, speak to us within 30 days to cancel the purchase and we will refund the initial sales charges paid. Please refer to our 30-day Service Pledge brochure for the terms and conditions.

Declaration

I confirm that I agree with the content stated above. I understand that this disclosure section does not equate to an endorsement by HSBC Bank (Singapore) Limited that the product is suitable to me.
I have read and understood the information contained in this document (including the product features and all the relevant risks).
Liquid Alternative Unit Trust (Examples: multi asset liquid alt funds)

Why you may select this product

- You are looking at portfolio diversification (low correlation to traditional asset classes) using fund that may have derivatives.
- You have a specific interest in alternative asset class.
- You have a long investment horizon.
- You have a higher risk appetite and are prepared to invest in a product that has a potential for a higher volatility and possibly higher returns.
- Other reasons:

Key risks that you must understand before purchasing this product

- Alternatives use derivatives to achieve their investment objective which can result in long/short positions which can cause higher volatility and potential drawdown in the investment.
- Liquid alternatives use leverage that can go as high as 500% or more. In an extreme scenario, investments made through derivative may cause the investor to lose his entire principal amount invested
- Liquid alternative products may have liquidity issues in times of extreme crisis.
- Any changes in your country of residency may result in foreign currency exchange risks and foreign tax implications. In some cases it may mean you cannot continue with the investment anymore. Please consult your tax consultant for more information on your tax obligations and how a change in your country of residency may impact you.

Please refer to the fund’s Product Highlight Sheet(s) for a full list of the risks that you must take note of.

Knowledge & Experience:
Your choice of investment in liquid alternative is based on your confirmation prior to specific product discussion that:

1. Over the past 5 years, you have held alternative / liquid alternative funds, funds that invests in derivatives or structured products; or
2. You are an experienced or knowledgeable investor who is confident to make investment decisions on the above strategies/vehicle; and
3. You understand the following that are generally relevant for investing in liquid alternatives:
   - Use of derivatives which may result in leverage and long/short positions
   - Volatility and potential drawdown
   - Concept of risk-adjusted return, correlation
Documents that you must receive from us:

- Customer Profile Form
- Prospectus
- Fund factsheet (Not applicable for newly launched
- Risk Profiling Questionnaire
- Transaction Form
- Product Highlight Sheet

^ Not applicable if previous version has been provided within the past one year

Please read all documents provided.

With HSBC’s 30-day Service Pledge, should you change your mind after purchasing alternative/liquid alternative fund, speak to us within 30 days to cancel the purchase and we will refund the initial sales charges paid. Please refer to our 30-day Service Pledge brochure for the terms and conditions.

Declaration

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I have read and understood the information contained in this document (including the product features and all the relevant risks).
Bonds

Why you may select this product

• You are looking for a regular return/payout from your investment.
• You want an investment that can provide 100% capital on maturity; and whilst you understand that the bond maybe subjected to the credit and default risk, you believe in the credibility of the issuer.
• Other reasons:

Key risks that you must understand before purchasing this product

• Bonds are for medium to long term investment and not for short term speculation.
• Interest coupon and principal amount at maturity is subject to the credit risk and default risk of the Issuer.
• Credit ratings assigned by credit rating agencies may not reflect all of the risks related to the Bonds and the Issuer.
• Bond prices typically moves in the opposite direction to a change in interest rates. You may realize capital loss if you choose to sell the bond before maturity when interest rate rises (i.e. bond value may decrease).
• The value of cash flows in terms of their purchasing power will decrease in times of inflation as the payments of a bond (with the exception of Floating Rate Notes) are fixed during the tenor of the bond.
• HSBC may, but is not obliged to repurchase Bond from you based on the prevailing market conditions.
• Factors affecting the market price of the Bonds include, but are not limited to, fluctuations in interest rates, credit spreads, and liquidity premiums.
• Foreign currency denominated bonds may be exposed to foreign exchange risk upon conversion to your home currency.

Additional Risk Factors for Callable Bonds

• The Issuer has the right (but not the obligation) to early redeem Bonds prior to maturity date.
• You may incur substantial loss and may not be able to reinvest the amount received at the same return.

Additional Risk Factors for Unrated Bonds

• These are Bonds issued without a credit rating by any credit rating agencies and you may need to assess the credit risks associated with the issuer on your own.
• Generally unrated Bonds have small issue size in the market and carry higher risk of default, liquidity, volatility, vulnerability to economic cycles and non-payment of principal and coupon.

Additional Risk Factors for High Yield/ Below Investment Grade Bonds/ Non-Investment Grade Bonds

• Non-investment grade bonds are rated below BBB- or Baa3 by established rating agencies and some unrated bonds may be high yield.
• Non-investment grade bonds typically carry higher risk of default, liquidity, volatility, vulnerability to economic cycles and non-payment of principal and coupon.
Additional risk factors for Bail-in bonds

- All or part of the bonds may be cancelled or converted into shares (or other instruments), or their terms may be changed, by the relevant authorities if the issuer starts to face difficulties in its operations or performance of its functions. You may lose all your investment in the bonds. Please read the risk factors in the offering document of the bonds carefully.

Concentration of Non-Investment Grade Bonds in your Portfolio

- High concentration of non-investment grade bond investments over liquid investment portfolio is not advisable. General rule of thumb of more than 20% of non-investment grade bonds over liquid assets declared will pose a higher risk.

Documents that you must receive from us:

- Transaction Form
- Bond Information Sheet

^Not applicable if previous version has been provided within the past one year

Please read all documents provided. For full details of the risks applicable to Bonds, please refer to the risk disclosures set out in the Bank’s Investment Account Opening Booklet and/or the relevant offering document.

You should ensure regular portfolio review to keep up to date with the latest credit quality of the bonds held and its concentration in one’s portfolio.

Declaration

I confirm that I agree with the content stated above. I understand that this disclosure section does not equate to an endorsement by HSBC Bank (Singapore) Limited that the product is suitable to me. I have read and understood the information contained in this document (including the product features and all the relevant risks).
Dual Currency Plus (DCP)

Why you may select this product

- You are indifferent towards foreign currency risk as both the currency pair will be of use to you.
- You have investment views in FX and want to use DCP for this investment purpose.

Key risks that you must understand before purchasing this product

1. Nature of Product

The DCP is a dual currency investment product that offers me the potential to earn higher returns through investing in a currency-linked option. By selecting a currency pair I am comfortable with and indifferent to holding, it allows me to take advantage of exchange rate movements to earn potentially higher returns. In exchange for this enhanced return, I will give the Bank the right to repay my investment and return in either the base or linked currency at maturity depending on exchange rate movements in respect of the currency pair. Where the proceeds are repayable in the linked currency, the principal and return on investment (calculated in the base currency) are converted to the linked currency at a pre-agreed conversion rate.

2. Early Withdrawal

The tenor of the DCP is fixed. I will receive the principal sum and return on investment (in the base or linked currency) in full only if the DCP is held to maturity. I cannot terminate or withdraw the DCP prior to maturity without the consent of the Bank. In the event that the Bank gives such consent, the Bank may impose such conditions as it may determine.

3. Risks

The DCP is inherently speculative in nature and carry risks. In particular:

Foreign currency risk

Foreign currency market movements are unpredictable and may result in my receiving on maturity of the DCP an amount in the linked currency which, if converted at the prevailing exchange rate back to my original base currency, is less than the amount of the base currency initially invested.

Country Risk

I may also suffer a loss as a result of foreign exchange controls imposed by the country issuing the foreign currency paid. Repayment or payment of amounts due to me may be delayed or prevented by exchange controls or other actions imposed by governmental or regulatory bodies.

4. Reliability of Information

I understand that the Bank’s market views, if given (whether express or implied), are based on information believed to be reliable at that time. I will not hold the Bank responsible or liable if actual market movements adversely affect my investment in DCP.

5. Final Term Sheet

Upon my agreement to proceed with the transaction, a final term sheet setting out the confirmed terms of the transaction entered will be sent to me. I agree that the final term sheet shall be conclusive of the terms of the transaction entered by me and shall be binding on me.

6. Changes in residency

Any changes in your country of residency may result in foreign currency exchange risks and foreign tax implications. In some cases it may mean you cannot continue with the investment anymore. Please consult your tax consultant for more information on your tax obligations and how a change in your country of residency may impact you.
Documents that you must receive from us:

- Product Sheet*  
- DCP Terms and Conditions`  
- Customer Profile Form^  
- Term Sheet

^ Not applicable if previous version has been provided within the past one year  
* Not applicable for renewal.

Declaration

My Relationship Manager has explained the features and risk involved in a DCP investment and I am willing to accept the foreign exchange risk on my principal and return on investment for the opportunity to earn enhanced returns.

I hereby declare that, in relation to all current and future DCP investments transacted/to be transacted with the Bank, I am and will be transacting for my own account and not on behalf of any other person or entity. Prior to me transacting on such DCP investments for an account other than my own, I undertake to inform the Bank immediately so as to allow the Bank, at its absolute discretion, to refuse to enter into such transactions with me.

I hereby agree to be bound by the final Term Sheet, Dual Currency Plus Terms and Conditions and the Terms and Conditions Governing Personal Deposit Accounts (in particular, the section relating to ‘foreign currency time deposit’).

I confirm that the Bank is authorised to debit funds in my designated account/s on or before the Start Date (which will be agreed and stipulated in the Final Term Sheet) in order that the above DCP transaction may be completed.

I am encouraged to seek financial advice from a financial adviser before making a commitment to invest in the Dual Currency Plus. In the event that I choose not to seek advice from a financial adviser, I should consider whether the Dual Currency Plus is suitable for me.

I understand that I am required to open an Renminbi Everyday Global Account (or such other account as may be required by the Bank) with the Bank, for the purpose of debiting and crediting of any Renminbi denominated DCP transaction proceeds. I understand that any withdrawals of Renminbi from the Renminbi Everyday Global Account (or such other account as may be required by the Bank) shall only be by way of foreign exchange conversion into non-Renminbi denominated currency(ies) and the prevailing terms and conditions governing Everyday Global Accounts and Renminbi deposit accounts will apply. For details of the terms and conditions governing Everyday Global Accounts and Renminbi deposit accounts, please refer to www.hsbc.com.sg.

I understand that Deposit Insurance Scheme means that Singapore dollar deposits of non-bank depositors are insured by the Singapore Deposit Insurance Corporation, for up to SGD 75,000 in aggregate per depositor per Scheme member by law. Foreign currency deposits, dual currency investments, structured deposits and other investment products are not insured.

I understand that the Account and related services are provided to me on the basis that I am NOT a (1) resident, (2) citizen, (3) company incorporated in a state in the United States of America (“US”) or an overseas branch of such a company or (4) taxpayer of the US, whether for US foreign exchange transactions laws or for any other purposes and that I am not acting as agent on behalf of any US resident(s), US citizen(s), US company/ies (or its/their branches) or US taxpayer(s). I undertake to immediately notify the bank should I become or be deemed to be a resident, citizen, company (or a branch of a company) or taxpayer of the US at any future time, in which circumstances the bank may be obliged to redeem or terminate the contracts/transactions I previously entered into.

I declare that I am not a citizen and/or resident of the countries (including but not limited to Canada) who are not permitted to invest in the funds as set out in the documents referred to in above. I undertake to inform the Bank immediately if I become a citizen and/or resident of these countries, in which circumstances I may be obliged to redeem the units of the respective funds or terminate the contracts/transactions I previously entered into.

I acknowledge that I have been furnished copies of (1) ABS guide on “What You Should Know About Investment Products” and (2) MAS guide on “Understanding Structured Notes” for my reference.

I confirm that I agree with the content stated above. I understand that this disclosure section does not equate to an endorsement by HSBC Bank (Singapore) Limited that the product is suitable to me. I have read and understood the information contained in this document (including the product features and all the relevant risks).
Structured Products (Examples, Structured Deposit, Structured Notes, Equity linked notes)

Why you may select this product

• The specific structured product, including the underlying, selected by you should fit your investment strategy, choice of underlying market, currency and payoff preference.
• You should be familiar with the underlying and willing to hold them in the event of a conversion, if the underlying is shares.

Key risks that you must understand before purchasing this product

• Even though a Structured product may be aiming to provide 100% capital on maturity, it is subject to capital risk if the Structured product is terminated before maturity.
• You are aware that for Notes that do not aim to return capital at maturity, you may end up with the selected underlying security upon maturity. And the value of these securities can lead to a full capital loss in extreme scenarios.
• Any changes in your country of residency may result in foreign currency exchange risks and foreign tax implications. In some cases it may mean you cannot continue with the investment anymore. Please consult your tax consultant for more information on your tax obligations and how a change in your country of residency may impact you.
• In the event that the Note(s) selected is / are of higher risk rating than your risk profile, you are aware that you are taking a higher risk than what you may be comfortable with.

Please refer to the Risk Disclosures section in the All-In-One Document (AIOD) for a full list of the risks that you must take note of.

Documents that you must receive from us:

• Customer Profile Form^ • All-In-One Document (AIOD) • Transaction Form

^ Not applicable if previous version has been provided within the past one year

*Please be aware this list may not represent the full range of Structured Products that the Bank can offer. For a full range of Structured Products and payoffs that are available, kindly contact your Relationship Manager for further assistance.

Declaration

I confirm that I agree with the content stated above. I understand that this disclosure section does not equate to an endorsement by HSBC Bank (Singapore) Limited that the product is suitable to me. I have read and understood the information contained in this document (including the product features and all the relevant risks).

Please ensure that you have read all the information in this report before providing your signature below. By signing this report, you are acknowledging receipt of the report and that you have read and understood its contents.

Please sign here

Sign Date: ____________________
For Bank use only

Financial Consultant Declaration
I understand and acknowledge that all customer information in this Execution Only Report is strictly confidential and will be subject to the banking secrecy provisions of the Banking Act (Cap.19).

Signature of Financial Advisor

Full name

Date

RNF registration no.

Supervisor declaration and approval (Tick as appropriate)

☐ I have spoken to the customer and am satisfied that the customer understood the product(s).

☐ I have reviewed CKA results and taken note to ensure the required process (i.e. escalation to senior management for approval) is adhered to if the customer is buying product(s) not suitable and not recommended by the Bank.

☐ I have reviewed the Enhanced Diligence and provided my comments for approving the sale.

☐ I have checked that the customer has signed off the Risk Warning Statement (RWS) and there is valid senior management approval for the account.

☐ I have reviewed the customer’s answers to CKA and CAR questionnaire made recently.

I declare that I have reviewed all documents relating to EO report of the selected product(s) and hereby endorse in agreement.

Additional comments (if any)

Signature of Supervisor

Full name

Date