

## Customer Profile Form

### Important Notes

The Monetary Authority of Singapore (MAS) requires all financial institutions that act as intermediaries for Specified Investment Products<sup>1</sup> (SIP) to assess whether a customer has the relevant knowledge or experience to understand the risks and features of a SIP before offering the product to them.

To adhere to the MAS' requirement, we will go through a set of questions with you prior to your purchase of the SIPs (Customer Knowledge Assessment) or the opening of trading accounts for SIPs (Customer Account Review). We will rely on the information that you provide us so that we can process your investment instructions promptly.

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**

Please note that any inaccurate or incomplete information provided by you may affect the outcome of the assessment.

To update CKA, please complete Q1, Q2, Q3a, Q3b

To update CAR, please complete Q1, Q2, Q3c

Computational Finance or Insurance		(please tick (✓) where applicable)		YES	NO
1)	<p><b>Finance Related Education</b></p> <p>Do you hold a diploma or higher qualification in any of the following:</p> <ul style="list-style-type: none"> <li>• accountancy</li> <li>• actuarial science</li> <li>• business/ business administration/ business management/ business studies</li> <li>• capital markets</li> <li>• commerce</li> <li>• economics</li> <li>• finance</li> <li>• financial engineering</li> <li>• financial planning</li> <li>• computational finance or insurance</li> </ul> <p>Do you have a professional finance-related qualification such as:</p> <ul style="list-style-type: none"> <li>• Chartered Financial Analyst Examination conducted by the CFA Institute, USA</li> <li>• Association of Chartered Certified Accountants (ACCA) Qualifications</li> <li>• Associate Wealth Planner or Certified Financial Planner by the Certified Financial Planners Board of Standards, USA</li> <li>• Certified Financial Risk Manager Programme by the Global Association of Risk Professionals, USA</li> <li>• Chartered Alternative Investment Analyst Examination conducted by the Chartered Alternative Investment Analyst Association, USA</li> <li>• Chartered Financial Consultant by the American College, USA</li> </ul>	<input type="checkbox"/>	<input type="checkbox"/>		
2)	<p><b>Working Experience</b></p> <p>In the past 10 years, do you have a minimum of 3 consecutive years of working experience in:</p> <ul style="list-style-type: none"> <li>• developing, structuring, managing or selling or trading an investment product</li> <li>• research or analysis of investment products</li> <li>• providing of training in investment products</li> </ul> <p>Work experience in accountancy, actuarial science, treasury or financial risk management activities, including the provision of legal advice or possession of legal expertise, on the areas listed above will also be considered relevant experience.</p>	<input type="checkbox"/>	<input type="checkbox"/>		
3)	<p><b>CKA Investment Experience, Questions 3a and b.</b></p> <p>In the last 3 years, have you invested at least 6 times in:</p> <p>a) Collective Investment Schemes (CISs) such as unit trust or Investment Linked Policies (ILPs)?</p> <p>b) Other unlisted Specified Investment Products such as:</p> <ul style="list-style-type: none"> <li>• DCP</li> <li>• Structured notes</li> <li>• Structured deposits</li> <li>• Market access platforms</li> <li>• Equity linked notes</li> </ul> <p><b>CAR Investment Experience, Question 3c only.</b></p> <p>c) any Specified Investment Products (e.g. shares listed on the Hong Kong Stock Exchange, shares listed on the New York Stock Exchange) which are not listed on an exchange in Singapore but only listed on overseas exchanges?</p>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

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

\*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.

## 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 \_\_\_\_\_

## Data Protection Policy

The personal data you are submitting is being collected for the purposes stated in HSBC Data Protection Policy, a copy of which may be found at <https://www.hsbc.com.sg/privacy-statement>