



Specified Investment Products

Customer Account Review (CAR) & Customer Knowledge Assessment (CKA) Form

(This form is applicable to all individuals who are (1) Singaporean, (2) Singapore PR or (3) Non-Singaporean residing in Singapore)

Name:	NRIC/Passport No.:
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In view of the new requirements introduced by MAS for retail customers who wish to transact Specified Investment Products (SIPs), Phillip Securities Pte Ltd (PSPL) requires customers to update their profile to assess if they possess the relevant knowledge or experience to understand the risks of SIPs. These requirements are introduced to protect investors' interest. For your information, SIPs refer to investment products that may be more complex in nature and/or have features and risks that may be more difficult to understand. SIPs generally include but are not limited to Options, Listed Futures, Structured Warrants, Unit Trusts, Contracts for Differences (CFDs), Equity Linked Notes, Exchange Traded Funds (ETFs)* and Overseas Listed Investment Products*.

To ensure that retail customers have the relevant knowledge or experience to understand the risks and features of the SIPs before transacting, PSPL will conduct the following assessment(s) for retail customers:

- i. Customer Account Review ("CAR") for **listed SIPs**, and/or
- ii. Customer Knowledge Assessment ("CKA") for **unlisted SIPs**.

The below assessments are in addition to all the other account opening procedures and terms and conditions of trading accounts before you can trade/invest in SIPs. You are required to satisfy the criteria of the respective/relevant assessment(s) before you can proceed/continue to transact in SIPs. For more information, please visit www.phillip.com.sg/sip. Should you require advice concerning SIPs, please contact your Trading/Financial Adviser Representative for arrangement to be made.

To assess if you have the relevant knowledge or experience to transact in Specified Investment Products ("SIPs"), please answer all the questions below and check the relevant boxes with a "tick".

Note: Some criteria qualify you for CAR, CKA or both.

(1) Educational Qualifications

a) Do you hold a diploma or higher qualification in one or more of the following:

Please tick the appropriate box(es)

CAR & CKA	
<input type="checkbox"/> Accountancy <input type="checkbox"/> Actuarial Science <input type="checkbox"/> Business / Business Administration / Business Management / Business Studies <input type="checkbox"/> Capital Markets <input type="checkbox"/> Commerce	<input type="checkbox"/> Computational Finance <input type="checkbox"/> Economics <input type="checkbox"/> Finance / Financial Engineering <input type="checkbox"/> Financial Planning / Insurance <input type="checkbox"/> Others, please specify _____ <input type="checkbox"/> No
Year of graduation: _____ Name of College / Educational Institution: _____	

b) Do you have professional finance-related qualification(s) in one or more of the following:

Please tick the appropriate box(es)

CAR & CKA	
<input type="checkbox"/> Associate Financial Planner (AFP) <input type="checkbox"/> Associate Wealth Planner (AWP) <input type="checkbox"/> Certified Financial Planner (CFP) <input type="checkbox"/> Certified Financial Technician (CFTe) <input type="checkbox"/> Certified Public Accountant (CPA)/ACCA <input type="checkbox"/> Chartered Alternative Investment Analyst (CAIA) <input type="checkbox"/> Chartered Financial Analyst (CFA) <input type="checkbox"/> Chartered Financial Consultant (ChFC)	<input type="checkbox"/> Financial Risk Manager (FRM) <input type="checkbox"/> Chartered Institute of Securities & Investments (CISI) <input type="checkbox"/> CMFAS Exam Module 6 AND 7 – Securities & Futures Products and Analysis <input type="checkbox"/> CMFAS Exam Module 6A – Securities & Futures Product Knowledge <input type="checkbox"/> Others, please specify _____ <input type="checkbox"/> No
Year of completion: _____ Issuing Organisation: _____	

(2) Investment Experience

Have you transacted **at least six (6) times** in any or more of the listed SIPs below in the preceding three (3) years?

CAR		Date of last transaction (MM/YYYY)
A	<input type="checkbox"/> Yes <input type="checkbox"/> No	<ul style="list-style-type: none"> ▪ Exchange Traded Funds (ETFs) /Notes (ETNs) (not defined as "Excluded Investment Products") ▪ Covered / Structured Warrants ▪ Futures/Stock Options ▪ Callable Bull/Bear Contracts (CBBC) ▪ Certificates

*not identified/classified as "Excluded Investment Products".



Have you transacted **at least six (6) times** in any or more of the unlisted SIPs below in the preceding three (3) years?
 Please do not combine the counts in items B, C, D, E and F below.

CKA		Date of last transaction (MM/YYYY)
B	<input type="checkbox"/> Yes <input type="checkbox"/> No	Contracts For Difference
C	<input type="checkbox"/> Yes <input type="checkbox"/> No	Foreign Exchange Margin Trading
D	<input type="checkbox"/> Yes <input type="checkbox"/> No	Structured Deposits and Dual Currency Investments
E	<input type="checkbox"/> Yes <input type="checkbox"/> No	Structured Products
F	<input type="checkbox"/> Yes <input type="checkbox"/> No	Unit Trusts and Investment-linked Insurance Policies

(3) Work Experience

Do you have a **minimum of three (3) consecutive years** of working experience in the past ten (10) years in one or more of the following areas? Please tick the appropriate box(es). (Note: Support functions in any of the below areas are not considered relevant working experience).

CAR & CKA			
<input type="checkbox"/> Accountancy <input type="checkbox"/> Actuarial Science <input type="checkbox"/> Development / Structuring of Investment Products <input type="checkbox"/> Financial Risk Management Activities <input type="checkbox"/> Provision of legal advice or possession of legal expertise in the relevant areas		<input type="checkbox"/> Management of Investment Products <input type="checkbox"/> Research / Analysis of Investment Products <input type="checkbox"/> Sale of / Trading of / Training in Investment Products <input type="checkbox"/> Treasury <input type="checkbox"/> Others, please specify _____ <input type="checkbox"/> No	
Employer Name:		Job Title:	Years of Service
1)			Current Employer
2)			Yes / No

(4) SGX Online Education Programme

CAR	a) Have you personally undergone and passed the SGX Online Education and Quiz?
	<input type="checkbox"/> No <input type="checkbox"/> Yes, please provide number of attempts and score(s) _____
	b) Have you been declined the opening of SIP account by another financial institution(s)?
	<input type="checkbox"/> No <input type="checkbox"/> Yes, _____ (state number of time/s)

(5) SAS-ABS E-Learning (Please print and attach certificate with this form)

CKA	a) Have you personally undergone and passed the SAS-ABS E-Learning and Quiz? <input type="checkbox"/> No <input type="checkbox"/> Yes	
Products	No. of Attempts	Please state all score(s)
Contracts For Difference		
Foreign Exchange Margin Trading		
Structured Deposits and Dual Currency Investments		
Structured Products		
Unit Trusts and Investment-linked Insurance Policies		

b) Have you been declined by other financial institution(s) to transact in any unlisted SIPs mentioned above?
 No Yes, _____ (state number of time/s & type of unlisted SIPs)

Notes:

- If all your relevant answers to the above questions are negative, you are considered as not possessing the relevant knowledge or experience to transact and/or invest in the relevant SIPs. To be able to still be considered to be allowed to trade or continue trading and/or investing in SIPs, please see the requirements set out earlier.
- You are requested to provide complete and accurate information to enable PSPL to properly assess that you have the relevant knowledge or experience to understand the risks and features of the products you intend to continue trading and/or investing in accordance with the criteria set down by the MAS.
 We repeat that inaccurate and incomplete information may affect the outcome of your assessment.
- Should you require any clarification, please contact your representative and arrangements can be made.
- Please be informed that you are bound by the Terms and Conditions of Phillip Securities Trading Accounts.

I hereby declare that the above information provided by me is true and accurate.

Official Use Only:
Processed By:

Signature and Date