



### 3. INVESTMENT EXPERIENCE ( CAR and CKA )

Have you traded a total of at least **6** transactions in **any** of the following **investment products** in the preceding three years?

Customer Account Review (CAR)	Customer Knowledge Assessment (CKA)	Customer Knowledge Assessment (CKA)
1. Certificates 2. Futures 3. Covered/Structured Warrants or Options 4. Exchange Traded Funds (ETFs) 5. Exchange Traded Notes (ETNs) 6. Callable Bull/Bear Contracts (CBBCs)	1. Contract for Difference (CFD) 2. Equities Linked Notes (ELN) 3. Leveraged Foreign Exchange (LFX) 4. Other Unlisted Specified Investment Product	1. Unit Trust/ Mutual Funds 2. Investment-Linked Products (ILPs)

☐ Yes, I have traded at least six times in any of the investment products as indicated on the listed above.

☐ No, I have not traded a minimum total of six times in any of the investment products as indicated on the listed above.

If Yes, kindly provide the details below:-

Type of Investment Products	Name of Financial Institution	Most Recent Year of Transactions

### 4. WORK EXPERIENCE ( CAR and CKA )

Do you have a minimum of **three continuous years** of relevant\* working experience in the preceding ten years in the following areas? (Please tick one only)

*\*Support functions that are administration or clerical in nature will not be considered as relevant experience*

- |  |   |
|--|---|
| <input type="checkbox"/> Management of investment products                       | <input type="checkbox"/> Development / Structuring of investment products           |
| <input type="checkbox"/> Sale / Trading of investment products                   | <input type="checkbox"/> Research / Analysis of investment products                 |
| <input type="checkbox"/> Provision of training in investment products            | <input type="checkbox"/> Work experience in accountancy                             |
| <input type="checkbox"/> Work experience in actuarial science                    | <input type="checkbox"/> Work experience in treasury                                |
| <input type="checkbox"/> Work experience in financial risk management activities | <input type="checkbox"/> Provision of legal advice in any of the areas listed above |

If you have ticked any of the above, kindly provide details below:

Designation	Name of Company	Period of Service	
		From ( MM/YYYY )	To (MM/YYYY)

☐ No, I do not have any of the relevant working experience listed above.

### 5. SGX ONLINE EDUCATION PROGRAMME ( CAR )

Have you personally undergone and passed the SGX Learning Module? (<https://onlineeducation.sgx.com/specifiedinvestmentproducts>)

☐ Yes, my score is \_\_\_\_\_ % ☐ No

How many attempts before you passed the SGX Learning Module?

☐ 1<sup>st</sup> attempt ☐ More than one attempt ☐ Score of previous attempt \_\_\_\_\_ %

Have you previously been refused the opening of an account to trade in SIPs by any financial institutions?

☐ Yes ☐ No

#### DECLARATION

- I hereby declare that all information provided in this form is correct, true and accurate and I have not willfully withheld any material fact.
- I acknowledge that this form is strictly for the purpose of enabling UOB Kay Hian Pte Ltd to assess whether I have the knowledge or experience to trade listed and/or unlisted SIPs.
- I acknowledge that any inaccurate or incomplete information provided by me may adversely affect the outcome of your assessment.

SIGNATURE OF APPLICANT

DATE

For Office Use Only		
[ ] Approved / [ ] Not Approved		
Reviewed By / Date	Data Entry By / Date	Signature / Date