

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.

Signature of Customer

	SV
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Full name _____

NRIC/ Passport no. _____

Date _____

For Bank use only

Customer no. -

Witnessed/ Verified by

	SV
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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>.