



**2. INVESTMENT EXPERIENCE**

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

Yes, I have traded a minimum of six transactions in the following over the preceding three years.

<input type="checkbox"/> Listed SIPs*	<input type="checkbox"/> Unlisted SIPs (Group 1)	<input type="checkbox"/> Unlisted SIPs (Group 2)
<ul style="list-style-type: none"> <li>▪ Certificates</li> <li>▪ Futures</li> <li>▪ Covered / Structured Warrants or Options</li> <li>▪ Exchange Traded Funds</li> <li>▪ Exchange Traded Notes</li> <li>▪ Callable Bull / Bear Contracts</li> </ul>	<ul style="list-style-type: none"> <li>▪ Contract for Difference</li> <li>▪ Leveraged Foreign Exchange</li> <li>▪ Over-the-counter structured notes (Equity Linked Notes, Fixed Coupon Notes, Accumulator, etc)</li> <li>▪ Over-the-counter bonds</li> </ul>	<ul style="list-style-type: none"> <li>▪ Unit Trust / Mutual Fund</li> <li>▪ Investment-linked Products (ILPs)</li> </ul>

\*Note: The types of investment products that may be classified as listed SIP may change from time to time by MAS.

Kindly provide details below:

Type of Product	Name of Financial Institution	Most Recent Year of Transactions

No, I have not traded a minimum of six transactions in any of the above listed investment products over the preceding three years.

**3. WORK EXPERIENCE**

Do you have a minimum of three continuous years of relevant\* working experience in the preceding ten years in the following areas? (\*Support functions that are administration or clerical in nature will not be considered as relevant experience.)

Yes, I have working experience in the following area(s):

- |  |   |
|--|---|
| <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 listed areas |

If you have selected 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 a minimum of three continuous years of relevant working experience in the areas listed above.

**4. SGX ONLINE EDUCATION PROGRAMME (Applicable to Listed SIPs only)**

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

Yes, my score is \_\_\_\_\_%.  No.

How many attempts did you make 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 by any financial institution to open account to trade in SIPs?  Yes.  No.

**5. ABS-SAS e-LEARNING MODULE (Applicable to Unlisted SIPs only)**

Have you personally undergone and passed the ABS-SAS e-Learning Module? (<http://sips.abs.org.sg/>)  Yes.  No.

Indicate email address used to enroll in ABS-SAS e-Learning Module: \_\_\_\_\_

Please indicate which module you have passed and provide us a copy of the Certificate:

- |   |  |
|---|--|
| <input type="checkbox"/> Contracts for Difference | <input type="checkbox"/> Foreign Exchange Margin Trading                     |
| <input type="checkbox"/> Structured Products      | <input type="checkbox"/> Unit Trust and Investment-linked Insurance Policies |

How many attempts did you make before you passed the ABS-SAS e-Learning Module?

1<sup>st</sup> attempt.  More than one attempt.

Have you previously been refused by any financial institution to open account to trade in Unlisted SIPs?  Yes.  No.

**DECLARATION**

- I hereby declare that all the information provided in this form is correct, true and accurate and I have not withheld any material fact and information.
- I acknowledge that this form is strictly for the purpose of enabling UOBKH 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 the assessment.

\_\_\_\_\_  
Signature of Applicant

\_\_\_\_\_  
Date

**For Office Use Only**

Signature Verified By / Date:

Reviewed By / Date:

Data Entry By / Date:

Approved By / Date:

Products	Item	A/C No.	Approval	Products	Item	A/C No.	Approval
<input type="checkbox"/> CAR (Listed SIPs)			Y / N	<input type="checkbox"/> CKA (OTC)			Y / N
<input type="checkbox"/> CKA (CFD Equities)			Y / N	<input type="checkbox"/> CKA (Unit Trust)			Y / N
<input type="checkbox"/> CKA (CFD FX, Commodities, indices)			Y / N	<input type="checkbox"/> CKA (LFX/ Commodities)			Y / N