



I, _____, holder of NRIC No. _____, as a retail client, represent, warrant and undertake to Lim & Tan Securities Pte Ltd that I be allowed to trade in Listed SIPs, through you on the basis that I qualify under one of the below categories:

(To be eligible to trade in SIP, you are required to complete at least one of the following sections)

1) Educational Qualifications

Diploma or higher qualification(s) in:

- | | |
|---|--|
| <input type="checkbox"/> Accountancy | <input type="checkbox"/> Commerce |
| <input type="checkbox"/> Actuarial Science | <input type="checkbox"/> Computational Finance |
| <input type="checkbox"/> Business / Business Administration | <input type="checkbox"/> Economics |
| <input type="checkbox"/> Business Management / Business Studies | <input type="checkbox"/> Finance / Financial Engineering |
| <input type="checkbox"/> Capital Markets | <input type="checkbox"/> Financial Planning / Insurance |

Name of Institution: _____ Year of Graduation: _____

Professional finance-related qualifications in:

- | | |
|---|--|
| <input type="checkbox"/> Associate Financial Planner (AFP) | <input type="checkbox"/> Chartered Alternative Investment Analyst (CAIA) |
| <input type="checkbox"/> Associate Wealth Planner (AWP) | <input type="checkbox"/> Chartered Financial Analyst (CFA) |
| <input type="checkbox"/> Certified Financial Planner (CFP) | <input type="checkbox"/> Chartered Financial Consultant (ChFC) |
| <input type="checkbox"/> Certified Financial Technician (CFTe) | <input type="checkbox"/> Chartered institute of Securities & Investment (CISI) |
| <input type="checkbox"/> Certified Public Accountant (CFA) / ACCA | <input type="checkbox"/> Financial Risk Manager (FRM) |
| <input type="checkbox"/> CMFAS Module 6A - Securities & Futures Product Knowledge | |

2) Investment Experience

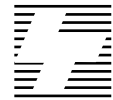
If you have accumulated at least 6 listed SIPs trades in the preceding 3 years, please provide the following information. (You are encouraged to provide the relevant documents to support the claim)

No. of listed SIPs trades in the preceding 3 years : _____

Name of Financial Institution(s) : _____

Counters traded : _____

Note: You are reminded to log onto the SGX's CAR platform at <https://onlineeducation.sg.com/specifiedinvestmentproducts/> to confirm your eligibility status to trade in listed SIPs



3) Work Experience

Please select your working experience(s) in the past 10 years within a minimum of 3 consecutive years in the areas mentioned below. Please note support functions that are administration or clerical in nature will not be considered as relevant experience.

- Development / Structuring of investments products
- Management of investment products
- Research / Analysis of investment products
- Provision of training in investment products
- Sale / Trading of investment products
- Work experience in accountancy
- Work experience in actuarial science
- Work experience in financial risk management activities
- Work experience in treasury
- Legal work experience
(ie including provision of legal advice or possession of legal expertise in the relevant areas)

Name of Company: _____
 Occupation : _____
 Department : _____
 Period of Service : _____ to _____

4) SGX e-Tutorial and Quiz

Completed SGX e-Tutorial and passed the Quiz on _____ (Attach printout of Quiz results)

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

Yours faithfully,

Signature of client

Date

| | |
|---|------------|
| Acknowledged by Trading Representative | |
| Signature _____ Name: | Date _____ |

For Official Use

| | |
|--|------------|
| Reviewed by Client Services _____ | Date _____ |
| Approved by CS/ Operations Manager _____ | Date _____ |