

**CKA****DECLARATION BY CLIENT ON ELIGIBILITY TO TRADE IN Unlisted SIP - CFD**

I, \_\_\_\_\_, holder of NRIC No. \_\_\_\_\_, as a (Full Name of Client) retail client, represent, warrant and undertake to Lim & Tan Securities Pte Ltd that I be allowed to trade in Unlisted SIP - CFD, through you on the basis that I qualify under one of the below categories:

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

**1) Educational Qualifications**

Submitted a copy of academic certificate(s)?  Yes  No

Diploma or higher qualification(s) in:

Accountancy

Commerce

Actuarial Science

Computational Finance

Business / Business Administration

Economics

Business Management / Business Studies

Finance / Financial Engineering

Capital Markets

Financial Planning / Insurance

Name of Institution: \_\_\_\_\_

Year of Graduation: \_\_\_\_\_

Professional finance-related qualifications in:

Associate Financial Planner (AFP)

Chartered Alternative Investment Analyst (CAIA)

Associate Wealth Planner (AWP)

Chartered Financial Analyst (CFA)

Certified Financial Planner (CFP)

Chartered Financial Consultant (ChFC)

Certified Financial Technician (CFTe)

Chartered institute of Securities & Investment (CISI)

Certified Public Accountant (CFA) / ACCA

Financial Risk Manager (FRM)

CMFAS Module 6A - Securities & Futures  
Product Knowledge

**2) Investment Experience**

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

Submitted a copy of CFD statements from other financial institution(s)?  Yes  No

No. of CFD trades in the preceding 3 years (excluding closing positions) : \_\_\_\_\_

Name of Financial Institution(s) : \_\_\_\_\_

Counters traded : \_\_\_\_\_

**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: \_\_\_\_\_  
 Designation : \_\_\_\_\_  
 Department : \_\_\_\_\_  
 Period of Service : \_\_\_\_\_ to \_\_\_\_\_

**4) E-Learning Portal CFD Tutorial and Quiz**

I have completed E-Learning CFD Tutorial and passed the Quiz on \_\_\_\_\_ (Attach printout of Quiz Result)  
 If you have taken the E-learning CFD Quiz previously, please list the previous scores of every assessment that you have taken: 1) \_\_\_\_\_ 2) \_\_\_\_\_ 3) \_\_\_\_\_ 4) \_\_\_\_\_ 5) \_\_\_\_\_

**5) Trading of Unlisted SIP in other Financial Institution**

Number of time(s) you have **not** been allowed to trade in Unlisted SIPs by another Financial Institution?

- Nil.
- Once or more. Please provide details: \_\_\_\_\_  
 Name of Financial institutions      Number of times not allowed to trade

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

Yours faithfully,

\_\_\_\_\_  
 Signature of client      Date

<b>Acknowledged by Trading Representative</b>	
Signature _____ Name:	Date _____

**For Official Use**

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