

TD Ameritrade Singapore Pte. Ltd.

Please answer all the following questions as accurately as possible. Providing inaccurate or incomplete information may affect the outcome of this review. For joint account, please complete another questionnaire for the secondary account holder.

Account Owner Name:

Account Number:

**Have you transacted in Listed Specified Investment Products\* at least 6 times in the preceding 3 years?**  Yes  No

\* A Listed Specified Investment Products means a Specified Investment Product which is approved in-principle for listing and quotation on, or listed for quotation or quoted on, an organized market in accordance to the Securities and Futures Act (Cap.289) Notice SFA 04-N12 Sales of Investment Products. For example, US Listed Securities, Options, Futures, Exchange Traded Funds.

**Do you hold a diploma or higher qualification for the following:**

- |  |   |
|--|---|
| <input type="checkbox"/> Accountancy   | <input type="checkbox"/> Economics                        |
| <input type="checkbox"/> Business/Business Administration/Business Management/<br>Business Studies | <input type="checkbox"/> Commerce                         |
| <input type="checkbox"/> Actuarial Science   | <input type="checkbox"/> Finance or Financial Engineering |
| <input type="checkbox"/> Computational Finance   | <input type="checkbox"/> Financial Planning/Insurance     |
| <input type="checkbox"/> Capital Markets   | <input type="checkbox"/> None of the above                |

**Do you have any of the following professional finance-related qualification:**

- |  |   |
|--|---|
| <input type="checkbox"/> Chartered Financial Analyst Examination                 | <input type="checkbox"/> Chartered Alternative Investment Analyst Examination |
| <input type="checkbox"/> Association of Chartered Certified Accountants (ACCA)   | <input type="checkbox"/> Chartered Financial Consultant                       |
| <input type="checkbox"/> Associate Wealth Planner of Certified Financial Planner | <input type="checkbox"/> None of the above                                    |
| <input type="checkbox"/> Certified Financial Risk Manager                        |   |

**Do you have a minimum of 3 consecutive years of working experience in the past 10 years in the following:**

- |  |  |
|--|--|
| <input type="checkbox"/> Development or structuring of investment products | <input type="checkbox"/> Actuarial Science         |
| <input type="checkbox"/> Sales or trading of investment products           | <input type="checkbox"/> Treasury                  |
| <input type="checkbox"/> Research or analysis of investment products       | <input type="checkbox"/> Financial Risk Management |
| <input type="checkbox"/> Provision of training in investment products      | <input type="checkbox"/> None of the above         |
| <input type="checkbox"/> Accountancy                                       |  |



**If you have not transacted 6 or more times of Listed Specified Investment product in the preceding 3 years and have selected “None of the above” for all the above questions, please complete the following section.**

Have you personally undergone and passed the SGX Online Education on Listed Specified Investment Products tutorial and assessment or examination for CMFAS Modules 6A, 8A or 9A:  Yes  No

If you have selected “Yes”, please provide answers to the following questions

Have you been refused the opening of a Listed Specified Investment Product trading account before?  Yes  No

Have you failed the above mentioned assessment or examination before?  Yes  No

Have your previous score(s) of the assessment or examination fall below 50%?  Yes  No

X

Beneficial Owner's Signature:

Date:

***Original signatures required; electronic signatures and/or signature fonts are not acceptable.***

**TD Ameritrade Singapore Pte. Ltd.**  
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