

CUSTOMER ACCOUNT REVIEW FORM:

PLEASE TAKE NOTE - THIS FORM DOES NOT APPLY TO:

ACCREDITED INVESTORS and EXPERT INVESTORS and CORPORATE APPLICANTS

As defined in Securities and Futures Act(Cap. 289) section 4A.

NON-RESIDENTS OF SINGAPORE

We formally notify all of our customers or potential customers who are not Singapore citizens or Singapore Permanent Residents or a dependent of either that we are not required to and will not conduct any Customer Account Review.

As part of optionsXpress Singapore’s ongoing legal and regulatory requirements, you, as a Retail Singapore Customer, are required to provide some specific information about your qualifications, experience and/or your knowledge of the products we offer (and, if so required by us, supporting documentation or other evidence) to enable us to properly assess that you have the relevant knowledge or experience to understand the risks and features of the products you intend to continue trading in accordance with the criteria set down by the Monetary Authority of Singapore.

Inaccurate and incomplete information may affect the outcome of this assessment.

EDUCATION

- 1) Do you hold a degree or diploma in economics, accounting, commerce, actuarial science, finance, financial engineering, financial planning, business studies/business management/business administration or similar?

Response: Yes No

If Yes, please provide: Name of Degree/Qualification: _____
 Name of Issuing body: _____
 Year attained: _____

PROFESSIONAL QUALIFICATION

- 2) Do you hold any professional finance-related qualifications (CFA, ACCA, or similar)?

Response: Yes No

If Yes, please provide: Name of Qualification: _____
 Name of Issuing body: _____
 Year attained: _____

EMPLOYMENT

- 3) Have you been employed or are you currently employed by a financial institution (3 consecutive years in the past 10 years), in the development of, sale of, trading of, analysis of investment products, or have work experience in accountancy, actuarial science, treasury or financial risk management?

Response: Yes No

If Yes, please provide: Job Title: _____
 Name of Company: _____
 Last Year of Employment: _____

TRADING EXPERIENCE

4) Have you traded at least 6 times in any of the following Specified Investment Products in the preceding 3 years?

	Yes	No		Yes	No
Certificates			Contract for Difference		
Futures			Equity-linked Notes		
Structured Warrants or Options			Bonds, structured notes		
Exchange Traded Funds or Notes			Leveraged Foreign Exchange		
Extended Settlement Contracts			Unit Trusts/Mutual Funds		
Callable Bull / Bear Contracts					

If you have answered "Yes" to any of the above products, please provide details:

Name of Broker: _____
 Year of Last Trade: _____

NOTE: If you have answered "No" for all of the previous questions (1 to 4) but would still like to proceed with undertaking transactions in Specified Investment Products, you would need to register for, undergo and successfully complete the Online Education Programme offered by the Singapore Exchange (SGX) and provide confirmation of the modules attended and successfully completed. Only once this is received we will be able to proceed with opening your account.

SGX ONLINE EDUCATION PROGRAMME

Have you personally completed the SGX Online Education Programme and successfully passed the Quiz? (<https://onlineeducation.sgx.com/specifiedinvestmentproducts>)

Response: Yes No

If Yes, please provide:
 Passing Score: _____
 Year passed: _____
 Number of attempts: _____
 Previous score(s): _____

I verify that I have understood the requirements of the assessment and that the information provided above is true and accurate.

 Customer Signature
 For Online Submission: Type your name above to act as your signature.

 Date
 (dd/mm/yyyy)

Name: _____
 Account Number: _____
 Email Address: _____

Once you have completed the form please save a copy and email it to support@optionsxpress.com.sg