



Declaration of Expert and Institutional Investor Status - For Corporate / Institution

(For joint applicants, please complete 2 forms separately.)

Expert Investor

(Please provide supporting documents)

- We confirm that we are an **EXPERT INVESTOR** as defined in Section 4A(1)(b) of the Securities and Futures Act (Cap.289), being:
- a person whose business involves the acquisition and the disposal, or the holding, of capital markets products, whether as principal or agent;
 - the trustee of a trust as prescribed by the Monetary Authority of Singapore; or
 - such other person as the Monetary Authority of Singapore may prescribe.

We further confirm that you have disclosed to us that the Financial Advisers Act (Cap. 110), particularly, Section 25, (relating to obligations to disclose information on any investment product), Section 27 (relating to recommendations on any investment product having reasonable basis) and Section 36, Financial Advisers Act (Cap. 110), (relating to obligations to disclose interests in securities when sending circulars or other communication in which a recommendation is made with respect to securities) will not apply to us as an **EXPERT INVESTOR**.

Institutional Investor

(Please provide supporting documents)

- We confirm that we are an **INSTITUTIONAL INVESTOR** as defined in Section 4A(1)(c) of the Securities and Futures Act (Cap.289), being:
- the Government;
 - a statutory board as may be prescribed by regulations made under section 341;
 - an entity that is wholly and beneficially owned, whether directly or indirectly, by a central government of a country and whose principal activity is —
 - (a) to manage its own funds;
 - (b) to manage the funds of the central government of that country (which may include the reserves of that central government and any pension or provident fund of that country); or
 - (c) to manage the funds (which may include the reserves of that central government and any pension or provident fund of that country) of another entity that is wholly and beneficially owned, whether directly or indirectly, by the central government of that country;
 - any entity —
 - (a) that is wholly and beneficially owned, whether directly or indirectly, by the central government of a country; and
 - (b) whose funds are managed by an entity mentioned in sub-paragraph (iii);
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- a central bank in a jurisdiction other than Singapore;
 - a central government in a country other than Singapore;
 - an agency (of a central government in a country other than Singapore) that is incorporated or established in a country other than Singapore;
 - a multilateral agency, international organisation or supranational agency as may be prescribed by regulations made under section 341;
 - a bank that is licensed under the Banking Act (Cap. 19);
 - a merchant bank that is approved as a financial institution under section 28 of the Monetary Authority of Singapore Act (Cap. 186);
 - a finance company that is licensed under the Finance Companies Act (Cap. 108);
 - a company or co-operative society that is licensed under the Insurance Act (Cap. 142) to carry on insurance business in Singapore;
 - a company licensed under the Trust Companies Act (Cap. 336);
 - a holder of a capital markets services licence;
 - an approved exchange;
 - a recognised market operator;

- an approved clearing house;
- a recognised clearing house;
- a licensed trade repository;
- a licensed foreign trade repository;
- an approved holding company;
- a Depository as defined in section 81SF;
- an entity or a trust formed or incorporated in a jurisdiction other than Singapore, which is regulated for the carrying on of any financial activity in that jurisdiction by a public authority of that jurisdiction that exercises a function that corresponds to a regulatory function of the Authority under this Act, the Banking Act (Cap. 19), the Finance Companies Act (Cap. 108), the Monetary Authority of Singapore Act (Cap. 186), the Insurance Act (Cap. 142), the Trust Companies Act (Cap. 336) or such other Act as may be prescribed by regulations made under section 341;
- a pension fund, or collective investment scheme, whether constituted in Singapore or elsewhere;
- a person (other than an individual) who carries on the business of dealing in bonds with accredited investors or expert investors;
- the trustee of such trust as the Authority may prescribe, when acting in that capacity; or
- such other person as the Authority may prescribe.

Authorisation for Deduction of Client Money

The following applies if we are (1) an Expert Investor or Institutional Investor as indicated above (2) trading in unlisted derivatives (including contract for differences):

Pursuant to Regulation 21(1)(d) of the Securities and Futures (Licensing and Conduct of Business) Regulations, we authorise CGS-CIMB Securities, to deduct from CGS-CIMB Securities' segregated trust accounts client money (if any) to which we are entitled, for the purpose of meeting obligations which CGS-CIMB Securities may have to any counterparty with which CGS-CIMB Securities transacts a hedge position in order to hedge CGS-CIMB Securities' exposure.

We acknowledge that our trading in unlisted derivatives shall be subject to CGS-CIMB Securities' prevailing terms and conditions.

This authorisation shall remain in force until cancelled by us in writing and duly and properly received by CGS-CIMB Securities.

We acknowledge and are willing to accept the risks associated with this authorisation.

We agree to indemnify CGS-CIMB Securities (including its related entities, directors, shareholders, officers and employees) for any loss, claim or expenses (including legal costs) CGS-CIMB Securities sustains as a result of relying on information provided in this form.

AFFIX COMPANY STAMP



Authorised Signatory of Corporation

Authorised Signatory of Corporation

Name: _____

Name: _____

NRIC/Passport Number: _____

NRIC/Passport Number: _____

Date: _____

Date: _____

FOR OFFICIAL USE ONLY

I confirm that I have explained the implications of the Investor Status Declaration to the client.

<p>_____</p> <p>TR Name / Signature / Date</p>	<p>Trading Account No(s):</p> <p>_____</p> <p>_____</p>
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