



Accredited Investor Opt-In Form (For New Accredited Investors) – Individual

Important Information

CMC Markets Singapore Pte Ltd (“we”, “us”, “our”) is required under Singapore law to provide you with certain information before you make a decision on whether you wish to be treated as an accredited investor as defined in section 4A of the Securities and Futures Act (Cap. 289) (the “SFA”). Accordingly, we hereby inform you that:

- (a) we have assessed you to be an “accredited investor” as defined in section 4A of the SFA based on the information you have provided to us;
- (b) you may, but are not obliged to, consent to being treated by us as an accredited investor (until 8 July 2020) for the purposes of the statutory provisions set out in regulation 3(9) of the Securities and Futures (Classes of Investors) Regulations 2018; and
- (c) if you consent to the treatment outlined in paragraph (b) above, you may withdraw your consent at any time, upon which we will cease to treat you as an accredited investor.

Please note that being treated as an accredited investor means, among other things, that you will be deemed to have more knowledge and the ability to understand and manage the risks of the financial products that you choose to invest in. This means that we are allowed to assume that you have a certain level of understanding of financial products, including collective investment schemes, and are not obliged to determine your precise level of understanding of such products. We are also allowed to assume that you have sought independent advice prior to purchasing or participating in any financial instrument or investment. In addition, when you hold certain financial instruments or participate in certain activities, you will be afforded fewer statutory protections and remedies than retail investors.

Where you are purchasing capital markets products offered pursuant to section 275 or 305 of the SFA, you should be aware that the restrictions and prohibition on subsequent transfers of those products will apply to you. Pursuant to regulation 33 and 34 of the Financial Advisers Regulations, you acknowledge that we have no obligation to disclose all material information relating to designated investment products nor have a duty to determine suitability of the recommendations provided to you.

General Warning

Accredited investors are assumed to be better informed, and better able to access resources to protect their own interests, and therefore require less regulatory protection. Investors who agree to be treated as accredited investors therefore forgo the benefit of certain regulatory safeguards. For example, issuers of securities are exempted from issuing a full prospectus registered with the Monetary Authority of Singapore in respect of offers that are made only to accredited investors, and intermediaries are exempted from a number of business conduct requirements when dealing with accredited investors. Investors should consult a professional adviser if they do not understand any consequence of being treated as an accredited investor.

Personal Information

Please fill in all the fields below if you are an individual.

Name (as per NRIC/passport) : _____
NRIC/Passport Number : _____
Age : _____
Contact Number : _____
Email Address : _____

I (the “**Accredited Investor**”) confirm that I wish to be treated as an accredited investor as defined in section 4A of the SFA. I acknowledge and accept that, having opted in to accredited investor status, this treatment will apply to all of my transactions with you. My basis for opting to be treated as an accredited investor is that my:

- (a) net personal assets exceed S\$2,000,000 (or its equivalent in a foreign currency) in value, of which no more than S\$1,000,000 (or its equivalent in a foreign currency) in value is contributed by the net estimated fair market value of my primary residence;

You may calculate your net personal assets by subtracting your liabilities from the total value of your assets.

Supporting documents required (except for the title deed, each to be dated no earlier than 3 months before the date of submitting this form):

- *your latest bank account statement or CPF statement;*
- *your latest statement of holdings from CDP or brokerage firm(s); or*
- *a copy of the title deed of your primary residence.*

- (b) financial assets (net of any related liabilities) exceed S\$1,000,000 in value (or its equivalent in a foreign currency); or

You may calculate your financial assets by totalling the value of any of the following assets that you own:

- *a deposit as defined in section 4B of the Banking Act (Cap. 19);*
- *an investment product as defined in section 2(1) of the Financial Advisers Act (Cap. 110); or*
- *any other asset prescribed as a “financial asset” for purposes of establishing accredited investor status by MAS.*

- (c) income in the preceding twelve (12) months is not less than S\$300,000 (or its equivalent in a foreign currency).

Supporting documents required (each to be dated no earlier than 3 months before the date of submitting this form):

- *a copy of your pay slip; or*
- *a copy of your employment contract stating your position and income.*

Declaration

I confirm that I have read the above in full and:

- (a) know and understand the consequences of consenting to being treated by you as an accredited investor;
- (b) consent to being treated by you as an accredited investor; and
- (c) know that I may at any time withdraw my consent to the treatment outlined in paragraph (b) above, upon which you will cease to treat me as an accredited investor from the day that I informed you that I was withdrawing my consent.

In completing, signing, and returning this form to you, I represent and warrant that the information and confirmations I have provided in this form, and all information contained in this document and any other documentation that I provide to you, are complete, true, and accurate. If there is any change in circumstances relating to my (i) net personal or financial asset holdings or income that may affect any of my declarations and representations set out above or (ii) status as an accredited investor under Singapore law such that I cease to be an accredited investor at any time, I undertake to inform you within 7 working days of such change in circumstances. If such changes cannot be rectified, I acknowledge and accept that you have full discretion to decide to refrain from treating me as an accredited investor.

Signature

Name:

Date