

Accredited Investor Opt-In Form
New Accredited Investor (Individual / Joint Account Applicant)

Important Information

Phillip Nova Pte. Ltd. (“**PNPL**”) is required under Laws of Singapore to provide certain information before the Applicant make a decision on whether the Applicant(s) wish to be identified as an “**Accredited Investor**” as defined in Section 4A of the Securities and Futures Act (Cap. 289) (“**SFA**”). Accordingly, the Applicant agrees, understands and acknowledges that:

- (a) PNPL has assessed the Applicant to be an Accredited Investor as defined in Section 4A of the SFA based on the information and documentations provided to PNPL;
- (b) the Applicant may, but is not obliged to, consent to being identified as an Accredited Investor 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) the Applicant may subsequently withdraw its identity as an Accredited Investor at any time, as outlined in above paragraph (b). Upon the receipt of the Applicant(s) written request, PNPL will cease to regard and treat the Applicant as an Accredited Investor within fourteen (14) calendar days’ from the date of such withdrawal of consent.

Please note that being identified as an Accredited Investor means, among other things, that the Applicant will be deemed knowledgeable, possesses the ability to understand and to manage the risks of the financial products that the Applicant chooses to invest in.

PNPL shall assume that the Applicant possesses a certain level of understanding of financial products, including but not limited to collective investment schemes, and not obliged to determine the Applicant’s precise level of understanding of such financial products. In addition, PNPL shall deemed that the Applicant sought sound independent advice(s) prior to purchasing or participating in any financial products or investments. Lastly being an Accredited Investor, the Applicant will be afforded with fewer statutory protections and remedies comparing to retail investors when holding certain financial instruments or participate in certain investments.

Where the Applicant purchases any capital markets products offered by PNPL pursuant to Sections 275 or 305 of the SFA, the Applicant is aware of the application of the same restrictions and prohibitions on the initial and subsequent transfers of such products. Pursuant to Regulations 33 and 34 of the Financial Advisers Regulations, the Applicant consents and acknowledges that PNPL has no obligation to disclose any material information relating to designated products nor have a duty to determine suitability of the recommendations provided to the Applicant.

General Warning

The Applicant is aware that being an Accredited Investor is assumed to be better informed, and better able to access resources to protect its own interests, and therefore require less regulatory protection. The Applicant who agree to be treated as Accredited Investor 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 (“**MAS**”) in respect of offers that are made only to Accredited Investor, and intermediaries are exempted from a number of business conduct requirements when dealing with Accredited Investor. The Applicant should consult a professional adviser if the Applicant do not understand any consequence of being treated as an Accredited Investor.

Personal Information of the Applicant (“Accredited Investor”) (Please fill in all the fields below)

Full Name (as per NRIC/Passport) : _____

NRIC/Passport Number : _____

I confirm and consent to be identified as an Accredited Investor as defined in Section 4A of the SFA. I accept, understand and acknowledge that, opting into and being identified as an Accredited Investor, PNPL shall apply the treatment as explained above and apply to all and any of my transactions.

I confirm that I meet at least one of the following requirements to be identified as an Accredited Investor:

- (a) Have net personal assets exceed S\$2,000,000 (or its equivalent in foreign currency) in value, of which no more than S\$1,000,000 (or its equivalent in foreign currency) in value is contributed by the net estimated fair market value of my primary residence;
The calculation of the net personal assets by subtracting the liabilities from the total value of the 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):
 - a copy of the title deed of your primary residence; and
 - your latest bank account statement; and/or
 - your latest statement of holdings from CDP or brokerage firm(s).

- (b) Have financial assets (net of any related liabilities) exceed S\$1,000,000 in value (or its equivalent in foreign currency); or
The calculation is the financial assets by totalling the value of any of the following assets that is owned:
- 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) Have an annual income in the preceding twelve (12) months is not less than S\$300,000 (or its equivalent in foreign currency).
Supporting documents required:
- a copy of your latest Income Tax Assessment; or
 - a copy of your pay slip(s); or
 - a copy of your employment contract stating your position and income.

Personal Information of Joint Applicant (For Joint Account Only)

Full Name (as per NRIC/Passport) : _____

NRIC/Passport Number : _____

I understand and acknowledge that I need not be an Accredited Investor to be eligible as an Accredited Investor in respect of the joint account. A retail investor holding a joint account with an Accredited Investor may opt-in to be treated as an accredited investor in respect of the joint account.

When the above Applicant who is an Accredited Investor on our account ceases to be eligible as an Accredited Investor or any joint account holder ceases to opt-in to be regarded/treated as an Accredited Investor, all parties will cease to be eligible for Accredited Investor status in respect of the joint account.

Declaration

By completing, signing and returning this form to PNPL, I/We declare and confirm that:

- (a) I/We represent and warrant that the information and confirmation made in this form, any documentation provided to PNPL are true, accurate and complete;
- (b) I/We read, understood and accept the contents highlighted in this form, the risks of opting in or opting out to be regarded/treated as an Accredited Investor with respect to my/our account with PNPL;
- (c) I/We may, at any time, withdraw my/our consent to be regarded/treated as an Accredited Investor with respect to my/our account with PNPL;
- (d) I/We understand that this form is subject to a review and assessment by PNPL and PNPL retains its absolute discretion in determining the account holder's declaration as an Accredited Investor; and
- (e) I/We agree and undertake to promptly inform PNPL in writing of any change in circumstances (including but not limited to the requirements of Accredited Investor) that affects the information provided in this form or causes the information provided to become incorrect or incomplete. If such changes cannot be rectified, I/We acknowledge and accept that PNPL has full discretion to decide to refrain from treating me/us as an Accredited Investor.

<p>_____ Name and Signature of Applicant Date: _____</p>	<p>_____ Name and Signature of Applicant Date: _____ <small>(Kindly assist to struck off this box if you are an individual account holder.)</small></p>
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For Official Use Only	
<p>_____ Name and Signature of CAU Officer Designation: _____ Date: _____</p>	<p>Account Type: Individual / Joint Account Number: _____ Remarks (If any):</p>