

Expert Investor Declaration Form
(Individual / Joint Account Applicant)

General Warning

The Applicant is aware that being an Expert 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 Expert 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 Expert Investor, and intermediaries are exempted from a number of business conduct requirements when dealing with Expert Investor. The Applicant should consult a professional adviser if the Applicant does not understand any consequence of being treated as an Expert Investor.

Personal Information of the Applicant (“Expert 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 Expert Investor as defined in Section 4A of the SFA. I accept, understand and acknowledge that, opting into and being identified as an Expert 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 Expert Investor:

- I am currently working as a proprietary trader, dealer or trader with a financial institution for a minimum of 1 year.
- I am currently an SGX Trading member (Individual).
 - Please provide a copy of your SGX trading membership confirmation
- I am currently a licence representative* in Singapore / overseas.
 - *Licence representative refers to individual who conduct regulated activities under the Securities and Futures Act and provide financial advisory services under the Financial Advisers Act or however appropriate.
 - For licence representative in Singapore, please provide your MAS rep number: _____
 - For overseas licence representative, please indicate the country that you are currently licensed with. _____
- I am currently working as trader with a proprietary trading firm for a minimum of 1 year.

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 Expert Investor to be eligible as an Expert Investor in respect of the joint account.

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