



HSBC Insurance (Singapore) Pte. Limited (Reg. No. 195400150N)
 www.insurance.hsbc.com.sg
 Customer Care Hotline: (65) 6225 6111 Email: e-surance@hsbc.com.sg
 Mailing Address: Robinson Road Post Office P.O. BOX 1538 Singapore 903038

Fund Switch/Premium Redirection/ Auto Rebalancing Form (HSBC Life Goal Builder – USD)

NOTE: * WE WILL UPDATE YOUR PERSONAL PARTICULARS AND CONTACT DETAILS IN OUR RECORDS WITH THE INFORMATION PROVIDED IN THIS FORM. IF WE DO SO, WE WILL NOTIFY YOU.

| | | | |
|---------------------------------------------------------------------|--|----------------------|--------------------------|
| Full Name of policyowner as shown in NRIC/Passport including alias* | | Policy no. | |
| | | NRIC / Passport no.* | |
| Email Address* | | Contact no.* | + Country/Region Code |

Electronic (e)-Statement Service* Opt in (Yes, I would like to receive e-statement) Opt out (No, I prefer to receive hardcopy)

- 1) Unless you opt-out, you will automatically be enrolled into the e-statement service if you have an email address registered with us.
- 2) Should you still prefer to receive paper statement to your mailing address, you can select opt out from e-Statement.
- 3) The e-Statement Service is currently available for all policy statement – Annual, Bonus and Monthly Statements.
- 4) We will notify you of any changes to your eStatement Option.

CONSENT TO USE OF PERSONAL DATA:
 HSBC's Data Privacy Policy (which may be found at <https://www.insurance.hsbc.com.sg/privacy-and-security/>) forms a part of the terms and conditions governing your relationship with HSBC. By submitting this form, you consent to the collection, use and disclosure of your personal data for the purposes set out in the Data Privacy Policy.

US INSURANCE REGULATORY REQUIREMENTS:
 Due to US insurance regulatory requirements, you are not to enter the US or any territory subject to US jurisdiction at the time of considering or deciding relevant matters on the insurance product, otherwise the request effected hereunder may be void.

By submitting this form, you confirm that you are in compliance with US laws and regulations and other laws having extra-territorial effect:

- you are not physically present in the US when executing the policy servicing request(s);
- you are aware of and understand the **policy servicing restrictions** applicable to any and all persons residing temporarily or permanently in the US;
- you will inform HSBC Insurance (Singapore) Pte. Limited should you decide to reside in the US either temporarily or permanently;

List of **policy servicing restrictions** is set out in our website <http://www.insurance.hsbc.com.sg/1/2/sqhi/customer-service>

PART A: WHAT YOU SHOULD KNOW ABOUT INVESTMENT-LINKED INSURANCE POLICIES

An insurance policy is intended to meet your long-term financial needs. Investing in units of an investment-linked Fund ("Fund") is meant to produce returns over the long term. You should not expect to obtain short term gains from such investments. You may switch your investment to other Funds offered by HSBC Insurance (Singapore) Pte. Limited or redirect your future premium to the Funds of your choice while the policy is in force.

Risk of Investing in a Fund: Before investing in any Funds, You should consider the risks of investing in the Fund. Generally, some of the risk factors that you should consider are market & credit risk, liquidity risk and product-specific risks. The degree of risk depends on the investment approach, the geographical area of investment and types of investment underlying the Fund. You should consider investing in Funds that are aligned with your investment risk appetite.

Fund Performance: The past performance of any Fund is not necessarily indicative of the future or likely performance of the Fund. You should note that the value of the units, and income accruing to the units, may fall or rise and that you may not get back your original investment. Fund prices are published on the day after valuation of the respective Funds and can be found on our website.

Should you need any clarification on the risks and implications of your request(s), you should consult your financial consultant, who will assess and advise you on the suitability of your request, before proceeding.

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Pursuant to the Notice on Recommendation on Investment Products (FAA-N16) issued by the Monetary Authority of Singapore pursuant to the Financial Advisers Act, where the underlying investment product is an unlisted Specified Investment Product (“SIP”), a Financial Adviser (i.e. HSBC Insurance (Singapore) Pte. Limited) is required to conduct a Customer Knowledge Assessment (“CKA”) before making any recommendation. The purpose of the CKA is to assess if you have the relevant knowledge or experience to understand the risks and features of unlisted SIPs, which include investment-linked insurance products (“ILP”).

If you are assessed to have the relevant experience and/or knowledge to transact in ILPs, you may proceed with the policy change(s). However, you are strongly encouraged to talk to your financial consultant to better understand the risks and implications involved in the policy change(s). The completed CKA form must be submitted together.

If you are assessed not to have the relevant experience and/or knowledge to transact in ILPs, you must approach your financial consultant or visit our Customer Service Centre to complete a Goal Planner / Personal Financial Review before you can proceed with the policy change(s). We will act on any policy change(s) only after the “Financial Consultant’s Declaration” section has been completed by a Financial Consultant.

Important Notes on Fund Switches:

- The value of units to be switched out from each Fund must be at least US\$1,000. If the value of the units of your Fund is lower than US\$1,000, you must switch out 100% of such value. If you wish to keep the Fund, the value of the remaining units in each Fund after the switch must be at least US\$500. The amount must be in multiples of US\$10 for dollar switch out, or multiples of 5% for percentage switch out.
- If you are switching into 2 or more Funds, the percentage share for each Fund must be at least 10% and in multiples of 5%. The total percentage allocation must add up to 100%.
- Switching in and out of the same Fund is not allowed in a single switch request.

Important Notes on Premium Redirection:

- If you are redirecting premiums to 2 or more Funds, the percentage share for each Fund must be at least 10% and in multiples of 5%. The total percentage allocation must add up to 100%.

PART B: FUND SWITCH

I would like to perform a Fund Switch as indicated below:

Note:

- For policies purchased under Supplementary Retirement Scheme (SRS) and with no Dividend Payout Option selected, we will proceed based on “Reinvestment” as the default.
- Please note that any existing fund rebalancing arrangement will be terminated upon any fund switch application. Please fill up Part E to continue this feature.

| Name of Fund | Fund Code | Dividend Payout Indicator | Switch Out (Indicate S\$ or %) | Switch In (Indicate % only) | Dividend Payout Option (Select one option) |
|---------------------------------------------------|-----------|---------------------------|--------------------------------|-----------------------------|--------------------------------------------------------------------------|
| Schroder Asian Growth Fund | YSAG | Yes | | | <input type="checkbox"/> Reinvestment <input type="checkbox"/> Payout |
| Aberdeen Standard Pacific Equity Fund | YAPE | No | | | N/A |
| FSSA Dividend Advantage Fund | YFDA | Yes | | | <input type="checkbox"/> Reinvestment <input type="checkbox"/> Payout |
| HGIF - Asia Pacific ex Japan Equity High Dividend | YHAP | Yes | | | <input type="checkbox"/> Reinvestment <input type="checkbox"/> Payout |
| Capital Group New Perspective Fund (LUX) | YCGN | No | | | N/A |
| BlackRock Global Equity Income Fund | YBGE | Yes | | | <input type="checkbox"/> Reinvestment <input type="checkbox"/> Payout |
| HGIF - Global Equity Climate Change | YHGE | No | | | N/A |
| AB Sustainable Global Thematic Portfolio | YASG | No | | | N/A |
| Schroder ISF Global Emerging Market Opportunities | YSEM | No | | | N/A |
| Franklin U.S. Opportunities Fund | YFUO | No | | | N/A |

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| Name of Fund | Fund Code | Dividend Payout Indicator | Switch Out (Indicate S\$ or %) | Switch In (Indicate % only) | Dividend Payout Option (Select one option) |
|------------------------------------------------------|-----------|---------------------------|--------------------------------|-----------------------------|--------------------------------------------------------------------------|
| BlackRock European Equity Income Fund | YBEE | Yes | | | <input type="checkbox"/> Reinvestment <input type="checkbox"/> Payout |
| Schroder Singapore Trust | YSST | No | | | N/A |
| JPMorgan ASEAN Equity Fund | YJAE | No | | | N/A |
| Allianz China A-Shares | YALC | No | | | N/A |
| FSSA Regional China Fund | YFSR | No | | | N/A |
| Franklin Technology Fund | YFTF | No | | | N/A |
| Allianz Global Artificial Intelligence | YAGA | No | | | N/A |
| Franklin Biotechnology Discovery Fund | YFBD | No | | | N/A |
| AB International Healthcare Portfolio | YAIH | No | | | N/A |
| BlackRock World Gold Fund | YBWG | No | | | N/A |
| BlackRock Asian Tiger Bond Fund | YBAT | No | | | N/A |
| HGIF - Global Short Duration Bond | YHGS | No | | | N/A |
| HGIF - Global High Income Bond Fund | YHGH | Yes | | | <input type="checkbox"/> Reinvestment <input type="checkbox"/> Payout |
| PIMCO Emerging Markets Bond Fund | YPEM | No | | | N/A |
| Capital Group Global High Income Opportunities (LUX) | YCGG | Yes | | | <input type="checkbox"/> Reinvestment <input type="checkbox"/> Payout |
| HGIF - Singapore Dollar Income Bond | YHSD | Yes | | | <input type="checkbox"/> Reinvestment <input type="checkbox"/> Payout |
| AB American Income Portfolio | YAAI | Yes | | | <input type="checkbox"/> Reinvestment <input type="checkbox"/> Payout |
| BlackRock Global High Yield Bond Fund | YBGH | Yes | | | <input type="checkbox"/> Reinvestment <input type="checkbox"/> Payout |
| HGIF - Managed Solutions – Asia Focused Income | YHMS | Yes | | | <input type="checkbox"/> Reinvestment <input type="checkbox"/> Payout |
| BlackRock Global Allocations Fund | YBGA | No | | | N/A |
| HSBC Portfolios - World Selection 1 | YHW1 | No | | | N/A |
| HSBC Portfolios - World Selection 2 | YHW2 | No | | | N/A |
| HSBC Portfolios - World Selection 3 | YHW3 | No | | | N/A |
| HSBC Portfolios - World Selection 4 | YHW4 | No | | | N/A |
| HSBC Portfolios - World Selection 5 | YHW5 | No | | | N/A |
| Schroder ISF Emerging Multi-Asset | YSIE | Yes | | | <input type="checkbox"/> Reinvestment <input type="checkbox"/> Payout |
| Schroder ISF Sustainable Multi-Asset Income | YSIS | Yes | | | <input type="checkbox"/> Reinvestment <input type="checkbox"/> Payout |
| TOTAL | | | | 100% | |

PART C: PREMIUM REDIRECTION

- I would like to apply future premium payable to be invested as indicated below:
- Regular premium; or
 - Regular premium and recurring top up - RSP (if applicable)

Note:

- For policies purchased under Supplementary Retirement Scheme (SRS) and with no Dividend Payout Option selected, we will proceed based on "Reinvestment" as the default.
- Please note that any existing fund rebalancing arrangement will be terminated upon any fund switch application. Please fill up Part E to continue this feature.

| Name of Fund | Fund Code | Dividend Payout Indicator | Allocation (%) | Dividend Payout Option (Select one option only) |
|---------------------------------------------------|-----------|---------------------------|----------------|--------------------------------------------------------------------------|
| Schroder Asian Growth Fund | YSAG | Yes | | <input type="checkbox"/> Reinvestment <input type="checkbox"/> Payout |
| Aberdeen Standard Pacific Equity Fund | YAPE | No | | N/A |
| FSSA Dividend Advantage Fund | YFDA | Yes | | <input type="checkbox"/> Reinvestment <input type="checkbox"/> Payout |
| HGIF - Asia Pacific ex Japan Equity High Dividend | YHAP | Yes | | <input type="checkbox"/> Reinvestment <input type="checkbox"/> Payout |
| Capital Group New Perspective Fund (LUX) | YCGN | No | | N/A |
| BlackRock Global Equity Income Fund | YBGE | Yes | | <input type="checkbox"/> Reinvestment <input type="checkbox"/> Payout |
| HGIF - Global Equity Climate Change | YHGE | No | | N/A |
| AB Sustainable Global Thematic Portfolio | YASG | No | | N/A |
| Schroder ISF Global Emerging Market Opportunities | YSEM | No | | N/A |
| Franklin U.S. Opportunities Fund | YFUO | No | | N/A |
| BlackRock European Equity Income Fund | YBEE | Yes | | <input type="checkbox"/> Reinvestment <input type="checkbox"/> Payout |
| Schroder Singapore Trust | YSST | No | | N/A |
| JPMorgan ASEAN Equity Fund | YJAE | No | | N/A |
| Allianz China A-Shares | YALC | No | | N/A |
| FSSA Regional China Fund | YFSR | No | | N/A |
| Franklin Technology Fund | YFTF | No | | N/A |
| Allianz Global Artificial Intelligence | YAGA | No | | N/A |
| Franklin Biotechnology Discovery Fund | YFBD | No | | N/A |
| AB International Healthcare Portfolio | YAIH | No | | N/A |
| BlackRock World Gold Fund | YBWG | No | | N/A |
| BlackRock Asian Tiger Bond Fund | YBAT | No | | N/A |
| HGIF - Global Short Duration Bond | YHGS | No | | N/A |

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| Name of Fund | Fund Code | Dividend Payout Indicator | Allocation (%) | Dividend Payout Option* (Select one option only) |
|------------------------------------------------------|-----------|---------------------------|----------------|--------------------------------------------------------------------------|
| HGIF - Global High Income Bond Fund | YHGH | Yes | | <input type="checkbox"/> Reinvestment <input type="checkbox"/> Payout |
| PIMCO Emerging Markets Bond Fund | YPEM | No | | N/A |
| Capital Group Global High Income Opportunities (LUX) | YCGG | Yes | | <input type="checkbox"/> Reinvestment <input type="checkbox"/> Payout |
| HGIF - Singapore Dollar Income Bond | YHSD | Yes | | <input type="checkbox"/> Reinvestment <input type="checkbox"/> Payout |
| AB American Income Portfolio | YAAI | Yes | | <input type="checkbox"/> Reinvestment <input type="checkbox"/> Payout |
| BlackRock Global High Yield Bond Fund | YBGH | Yes | | <input type="checkbox"/> Reinvestment <input type="checkbox"/> Payout |
| HGIF - Managed Solutions – Asia Focused Income | YHMS | Yes | | <input type="checkbox"/> Reinvestment <input type="checkbox"/> Payout |
| BlackRock Global Allocations Fund | YBGA | No | | N/A |
| HSBC Portfolios - World Selection 1 | YHW1 | No | | N/A |
| HSBC Portfolios - World Selection 2 | YHW2 | No | | N/A |
| HSBC Portfolios - World Selection 3 | YHW3 | No | | N/A |
| HSBC Portfolios - World Selection 4 | YHW4 | No | | N/A |
| HSBC Portfolios - World Selection 5 | YHW5 | No | | N/A |
| Schroder ISF Emerging Multi-Asset | YSIE | Yes | | <input type="checkbox"/> Reinvestment <input type="checkbox"/> Payout |
| Schroder ISF Sustainable Multi-Asset Income | YSIS | Yes | | <input type="checkbox"/> Reinvestment <input type="checkbox"/> Payout |
| TOTAL | | | 100% | |

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PART D: DIVIDEND PAYMENT OPTION - PAYOUT

(Not applicable for policies bought under Supplementary Retirement Scheme Accounts)

Please indicate the option if you have selected dividend payout option. If no payment option is selected, a cheque will be sent to you.

Cheque * Direct credit to my bank Name of Bank: _____
 Account Number: _____

* If the Direct Credit option is selected, please **submit a copy of your bank book / statement** for account verification. The account number provided will supersede previous bank details submitted for purpose of dividend payment option.

We will send a cheque to you if:

- 1) "PayNow" option is selected but you have indicated a mobile number/ FIN number, or your Singapore NRIC number is not linked to a PayNow account.
- 2) "Direct Credit" option is selected and
 - you have indicated a bank account belonging to a third-party or
 - you have not submitted a copy of bank book / statement
- 3) No payment option is selected

- Notes:
- Where we make any direct credit payout to you, the amount you receive may be subject to fees and charges levied by your bank and such fees and charges will be borne by you;
 - Payment requests to banks outside of Singapore are subject to HSBC Life's evaluation of applicable cross-border laws and regulations.
 - For payment via Direct Credit, bank charges, currency exchange and all other incidental costs related to the transfer will be borne by you. If the Direct Credit option is selected, please **submit a copy of your bank book / statement** for account verification.

PART E: AUTOMATIC FUND REBALANCING

Note: Automatic fund rebalancing arrangement will be based on your pre-specified Regular Premium(s) allocation if not stated in Part C

- Automatic Fund Rebalancing will occur on the policy anniversary and only when the portfolio variance from the pre-specified Regular Premium(s) allocation exceeds 5%.
- This feature is available from the 1st policy anniversary onwards.
- Please refer to your Policy General Provisions for the specific terms and conditions.

Yes (I would like to **activate** Automatic fund rebalancing arrangement)

No (I would like to **cancel** existing Automatic fund rebalancing arrangement)

Note: If you wish to change the Regular Premium(s) allocation percentage, you will need to submit a new premium redirection request.

PART F: DECLARATION AND AUTHORISATION (MANDATORY)

Please tick one option which applies to you:

| | |
|--------------------------|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | <p>(1) Applicable only if you are assessed to have the relevant experience and/or knowledge to transact in unlisted SIPs</p> <p>I have chosen NOT to receive advice from any Financial Consultant. I understand that (a) it is my responsibility to ensure the suitability of the requested ILP transaction(s); and (b) I will not be able to rely on Section 27 of the FAA to file a civil claim in the event I allege I have suffered a loss. (c) Applicable to customers of HSBC Bank (Singapore) Limited (the "Bank"). I understand that the features and/or risk level of my selected mix of Investment-Linked Sub-Funds may not be suitable for me, and that there may be a mismatch between the investment risk ratings and my risk profile indicated in the Bank's Risk Profile Questionnaire (RPQ), however, I confirm that is my intention to proceed with the requested ILP transaction(s).</p> <p>I have received advice from a Financial Consultant* and a) I accept the Financial Consultant's advice.</p> <p>b) I have chosen NOT to accept the Financial Consultant's advice. I understand that (i) it is my responsibility to ensure the suitability of the requested ILP transaction(s); and (ii) I will not be able to rely on Section 27 of the FAA to file a civil claim in the event I allege I have suffered a loss.</p> |
| <input type="checkbox"/> | <p>(2) Applicable only if you are assessed <u>NOT</u> to have the relevant experience and/or knowledge to transact in unlisted SIPs</p> <p>I have received advice from a Financial Consultant* and a) I accept the Financial Consultant's advice</p> <p>b) I DO NOT accept the Financial Consultant's advice and I confirm that I would like to proceed with the requested ILP transaction(s). The Financial Consultant has explained to me that (i) it is my responsibility to ensure the suitability of the requested ILP transaction(s); (ii) I will not be able to rely on Section 27 of the FAA to file a civil claim in the event I allege I have suffered a loss; and (iii) I am aware of the implications and consequences of proceeding with the requested ILP transaction(s).</p> |
| <input type="checkbox"/> | <p>Applicable to customers of HSBC Bank (Singapore) Limited (the "Bank") for a Fund switch only*</p> <p>I confirm that the decision to switch is initiated by me and I understand that: (i) the features and/or risk level of my selected mix of Investment-Linked Sub-Funds may not be suitable for me, and that there may be a mismatch between the investment risk ratings and my risk profile indicated in the Bank's Risk Profile Questionnaire (RPQ). However, I confirm it is my intention to proceed with the Fund switch; (ii) where there is an enhanced diligence section below my Fund selection in the Bank's Goal Planner, the Financial Consultant has already explained the advantages and disadvantages of the transaction and obtained my confirmation on the understanding; and (iii) I will not be able to rely on Section 27 of the FAA to file a civil claim in the event I allege I have suffered a loss.</p> |

* Please request your Financial Consultant to sign the "Financial Consultant's Declaration" section below.

I understand and agree that:

- Only an original, duly completed and signed application form is considered a valid request. The request is irrevocable once it is received by HSBC Insurance (Singapore) Pte. Limited;
- For a Fund switch request, the application form must reach HSBC Insurance (Singapore) Pte. Limited by 3:30pm on a business day for the request to be processed on same day. Any application form received after 3.30pm will be deemed submitted on the next business day. If any supporting documents are required, the request will be processed on the date of receipt of the final document;
- A premium redirection request will be processed within 3 business days after the date of receipt of the application form or any required supporting documents, whichever is later. The change will be effected on the next premium due date;
- I should read the relevant Fund Summaries and Product Highlights Sheets of the new Fund(s) before investing in this/these new Fund(s). These documents can be obtained from my financial consultant;
- My application is subject to the terms and conditions as stated in the Policy General Provisions and is effective only when it has been officially accepted and notified to me by HSBC Insurance (Singapore) Pte. Limited;
- The information provided in this form is correct and complete. By signing below, I authorize HSBC Insurance (Singapore) Pte. Ltd to update my/our particulars in your records with the information provided in this form and disclosed the updated information to HSBC Bank (Singapore) Limited to update their records accordingly.

Signature of policyowner/ trustee/ assignee

Date (dd/mm/yyyy)



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PART G: FINANCIAL CONSULTANT'S DECLARATION

| | | | |
|-----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--|-----------------------------|--|
| Name of Financial Consultant | | Financial Consultant's code | |
| I have explained the advantages and disadvantages of the transaction(s) to the policyowner/ trustee/ assignee. I have completed the CKA form / Customer Profile Form as well as the Goal Planner / Personal Financial Review with the policyowner /trustee /assignee. | | | |
| _____ Signature of Financial Consultant | | _____ Date (dd/mm/yyyy) | |

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Customer Knowledge Assessment Form

Please complete this form and submit it together with the relevant policy amendment form(s).

| | | |
|------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|---------------------|--------------------------|
| Full Name of policyowner as shown in NRIC/Passport including alias | Policy no. | |
| | NRIC / Passport no. | |
| | Contact no. | + Country/Region Code |
| For Takaful policy, please read "certificate" for policy, "certificate holder" for policyowner, "Wakil" for financial consultant, "participant" for life insured, "takaful benefit" for sum insured. | | |

Pursuant to the Notice on Recommendation on Investment Products (FAA-N16) issued by the Monetary Authority of Singapore pursuant to the Financial Advisers Act, where the underlying investment product is an unlisted Specified Investment Product ("SIP"), a Financial Adviser (i.e. HSBC Insurance (Singapore) Pte. Limited) is required to conduct a Customer Knowledge Assessment ("CKA") before making any recommendation. The purpose of the CKA is to assess if you have the relevant knowledge or experience to understand the risks and features of unlisted SIPs, which include investment-linked insurance products ("ILP"). The list of policy changes to an unlisted SIP for which a CKA is required is as follows:-

- a) Fund switch
- b) Top-up (One-time or recurring)
- c) Premium redirection
- d) Increase in premium

If you are assessed **to have** the relevant experience and/or knowledge to transact in ILPs, you may proceed with the policy change(s). However you are strongly encouraged to talk to your financial consultant to better understand the risks and implications involved in the policy change(s).

If you are assessed **not to have** the relevant experience and/or knowledge to transact in ILPs, you **must** approach your financial consultant or visit our Customer Service Centre to complete a Personal Financial Review ("PFR") before you can proceed with the policy change(s).

Consent to use of personal data

I understand that HSBC's Data Privacy Policy (which may be found at <https://www.insurance.hsbc.com.sg/privacy-and-security/>) forms a part of the terms and conditions governing my relationship with HSBC. I consent to the collection, use and disclosure of my personal data for the purposes set out in the Data Privacy Policy.

| PART A: CUSTOMER KNOWLEDGE ASSESSMENT | | |
|--------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|
| Please note that any inaccurate or incomplete information provided by you may affect the outcome of the CKA. Therefore, please ensure that all information provided by you is accurate and complete. | | |
| Educational Qualifications | Yes | No |
| 1a) Do you hold a diploma or higher qualification in any of the following fields? Accountancy Actuarial science Business / Business administration Capital markets Commerce Economics Finance Financial engineering Financial planning Computational finance Insurance | <input type="checkbox"/> | <input type="checkbox"/> |
| If yes, please specify the name of the qualification and the year the qualification is obtained: Name of academic qualification: _____ Year qualification obtained: _____ | | |
| 1b) Do you have a professional finance-related qualification#? Name of academic qualification: _____ Year qualification obtained: _____ | <input type="checkbox"/> | <input type="checkbox"/> |
| # Examples of this would include <ul style="list-style-type: none"> • Chartered Financial Analyst Examination conducted by the CFA Institute • Association of Chartered Certificate Accountants Qualifications • Associate Wealth Planner or Certified Financial Planner by the Certified Financial Planners Board of Standards • Certified Financial Risk Manager Programme by the Global Association of Risk Professionals • Chartered Alternative Investment Analyst Examination conducted by the Chartered Alternative Investment Analyst Association • Chartered Financial Consultant by the American College | | |

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| Investment Experience | Yes | No |
|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|--------------------------|--------------------------|
| <p>2) Have you made at least 6 transactions in the following unlisted "Specified Investment Products" in the past 3 years? If yes, please indicate the type of products (you may select more than one) and specify date of most recent transaction:</p> <p><input type="checkbox"/> Collective Investment Schemes (e.g. Unit trusts) <input type="checkbox"/> Investment-Linked Insurance Policies <input type="checkbox"/> Other Unlisted Specified Investment Products*</p> <p>Type of transactions: _____ Date of most recent transaction: _____</p> <p><small>* Unlisted Specified Investment Product means a Specified Investment Product ("SIP") that is not approved in-principle for listing and quotation on, or listed for quotation nor quoted on, a securities market or a futures market. Please check with your financial institution if you are not sure whether the prior transactions you have made are transactions in unlisted SIPs.</small></p> | <input type="checkbox"/> | <input type="checkbox"/> |
| Work Experience | Yes | No |
| <p>3) Do you have a minimum of 3 consecutive years of working experience in the past 10 years in the following fields? If yes, please indicate as appropriate and specify the number of years of service:</p> <p><input type="checkbox"/> Development / Structuring / Management / Sale / Trading / Research / Analysis of investment products <input type="checkbox"/> Provision of training on investment products <input type="checkbox"/> Accountancy, Actuarial Science, Treasury, Financial Risk Management and Legal Work in financial areas</p> <p>Areas of relevance: _____ Number of years of service: _____</p> | <input type="checkbox"/> | <input type="checkbox"/> |

PART B: CKA OUTCOME/DECLARATION AND AUTHORISATION (MANDATORY)

Please tick one option which applies to you.

| | |
|--------------------------|----------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|
| <input type="checkbox"/> | <p>I have answered "Yes" to at least one of the questions in Part A.</p> <p>I am assessed to have the relevant knowledge and/or experience to transact in the relevant ILPs and I wish to proceed with the policy change(s). I understand that I have been offered advice and that if I have chosen not to receive advice, I have also waived the right to seek compensation under Section 27 of the Financial Adviser's Act (Cap 110).</p> |
| <input type="checkbox"/> | <p>I have answered "No" to all the questions in Part A.</p> <p>I am assessed not to have the relevant knowledge and/or experience to transact in ILPs. I understand that I need to approach my financial consultant or visit your Customer Service Centre to complete a Personal Financial Review ("PFR") before I can proceed with the policy change(s).</p> |

- I understand the purpose of the CKA and the outcome of my CKA;
- I declare that the above information provided by me is true and accurate, and any inaccurate or incomplete information provided by me may affect the CKA outcome.

 Signature of policyowner/trustee/assignee

 Date (dd/mm/yyyy)