

Knowledge Assessment Form
For Investment in Funds That Are High Risk or Complex

1. Educational qualifications

1.1 Do you hold a diploma or education degree in any of the following fields.

- ☐ Yes, I have a diploma or degree ☐ Lower than bachelor's degree ☐ Bachelor's degree or higher in the following fields:
- | | |
|--|--|
| <input type="radio"/> Accounting | <input type="radio"/> Actuarial science |
| <input type="radio"/> Capital market | <input type="radio"/> Commerce |
| <input type="radio"/> Business administration | <input type="radio"/> Economics |
| <input type="radio"/> Financial engineering | <input type="radio"/> Financial planning |
| <input type="radio"/> Applied computer science in finance | |
| <input type="radio"/> Others related to finance and investment. Please specify | |
- ☐ No, I do not hold any of the aforementioned diplomas or education degrees.

1.2 Have you earned any of the following professional financial certifications.

- ☐ Yes, I have the following professional financial certifications:
- ☐ Chartered Financial Analyst (CFA)
 - ☐ Certified Investment and Securities Analyst Program (CISA)
 - ☐ Certified Financial Planner (CFP)
 - ☐ Financial Risk Manager (FRM)
 - ☐ Others
- ☐ No, I do not have any of the aforementioned professional financial certifications.

2. Work Experience

Over the past 10 years, have you received any work experience in the following areas for a period of at least 3 years or more.

☐ Yes, I had work experience in this area:

- | | |
|--|--|
| <input type="radio"/> Manage/develop/sell/analyze financial products | <input type="radio"/> Accounting work experience |
| <input type="radio"/> Course lecturer on investment products | <input type="radio"/> Treasury work experience |
| <input type="radio"/> Insurance work experience | |
| <input type="radio"/> Financial risk management work experience | |
| <input type="radio"/> Legal advice on financial investments | |

If you have any other expertise or work experience in finance not shown above, please describe

.....

☐ No, I do not have any of the aforementioned work experiences.

3. Experience with investment products that are high risk or complex.

Over the past 10 years, have you received any investment experience in the following areas for a period of at least 3 years or more.

☐ Yes, I had investment experience in these investment products:

- | | |
|---|--|
| <input type="radio"/> Hedge funds | |
| <input type="radio"/> Funds invested in derivatives, complex strategic investments, or exotic derivatives deploying VaR. approach to assess state of investments. | |
| <input type="radio"/> Complex return funds | |
| <input type="radio"/> Gold/oil funds that do not track spot prices | |
| <input type="radio"/> Funds invested in non-investment grade / unrated bonds over 60% of NAV | |
| <input type="radio"/> Hybrid securities | <input type="radio"/> Perpetual bonds |
| <input type="radio"/> Unrated bonds | <input type="radio"/> Structured notes |
| <input type="radio"/> Basel III | <input type="radio"/> Derivatives |

☐ No, I do not have any of the aforementioned investments.

Investor's signature

(.....)

Date/...../.....

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Result of the Customer Knowledge Assessment

Section 1 Evaluation of Customer Knowledge Assessment

- ✓ If **every question** pertaining to educational qualifications, work experience, and experience with investment products that are high risk or complex was **replied "No"**, this customer must receive additional advice.

Result of Assessment

- ☐ Customer is ready to invest (apply normal procedures) and
 (1) Proceed to ☐ Request customer's signature to confirm acknowledgement through method prescribed by KTAM.
- ☐ Customer must receive additional advice (proceed to continue procedures in Section 2)

Section 2 For customers who must receive additional advice, please complete these 2 procedures:

- (1) Proceed to ☐ Explain facts about the key features and risks of the investment product, especially details regarding potential of loss from the investment if expected returns are not achieved or contains greater complexity than general funds, **again**.
- (2) Proceed to ☐ Request customer's signature to confirm acknowledgement through method prescribed by KTAM.

Mutual Fund Registration Department									
Signature of Reviewer (.....) Department Date/...../.....	<table border="0" style="width: 100%;"> <tr> <td style="width: 50%;">Data Entry Person</td> <td style="width: 50%;">Checker</td> </tr> <tr> <td>.....</td> <td>.....</td> </tr> <tr> <td>(.....)</td> <td>(.....)</td> </tr> <tr> <td>Date/...../.....</td> <td>Date/...../.....</td> </tr> </table>	Data Entry Person	Checker	(.....)	(.....)	Date/...../.....	Date/...../.....
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