

KNOWLEDGE ASSESSMENT FORM

For Investment in High Risk or Complex of Capital Market Products

(You can select more than one answer)

Name-Surname

1. Educational Background

1.1 Have you received certificate(s) or degree(s) in these fields or not?

☐ Yes, I have received certificate(s) or degree(s) in these fields.

- ☐ Accounting

☐ Actuarial Science

☐ Capital Market

☐ Commerce

☐ Business Administration

☐ Economics

☐ Financial Engineering

☐ Financial Planning

☐ Computer Applications in Financial Management

Institute Name
Year of graduated

☐ No, I never have certificate or graduate in those fields above. (Skip to No.2)

1.2 Have you received Financial designation(s) in these fields or not?

☐ Yes, I have Financial designation(s) which is/are..... (Please select and skip to No.3)

- ☐ Chartered Financial Analyst (CFA)

☐ Certified Investment and Securities Analyst Program (CISA)

☐ Certified Financial Planner (CFP)

☐ Financial Risk Manager (FRM)

☐ No, I have never received any Financial designation above (In case of others, please identify and answer No.2)

☐ Others

2. Working Experience

Have you ever had working experience for 3 consecutive years in these fields in the past of 10 years or not?

☐ Yes, I have had working experience in these fields.

- ☐ Investment Products Administration

☐ Investment Product Development

☐ Selling Investment Products

☐ Investment Product Analyst

☐ Lecturer for Investment Products Course

☐ Accounting

☐ Insurance

☐ Public Finance

☐ Financial Risk Management

☐ Legal Consultant

If you have any other working experience apart from mentioned above, please kindly specify.

Position	Company	Working period	
		From	To

☐ No, I have no working experience as mentioned above.

3. Investment Experience in High-Risk or Complex of Financial Products.

Have you ever had investment experience in these products for 3 consecutive years in the past of 10 years or not?

☐ Yes, I have had investment experience for these products.

- ☐ Hedge fund

☐ Hybrid securities

☐ Perpetual bond

☐ Unrated bond

☐ Structured notes

☐ Basel III

☐ Derivatives

☐ Mutual fund for complex return

☐ Gold Mutual fund/Oil which is not track spot

☐ Mutual fund that invested in Fixed income, non-investment grade/unrated bond over 60% of NAV

☐ Mutual fund that invested in derivatives product which has complex strategic investment or in exotic derivatives that use VaR

approach for calculate instrument investment status

☐ No, I have no investment experience as stated above.

(X.....)

Client Signature