

KNOWLEDGE ASSESSMENT FORM

For Investment in High Risk or Complex of Capital Market Products

(You can select more than one answer)

Company Name

Authorized person who do this Suitability Assessment

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.....)

Authorized Person Signature