

PART 1 | GENERAL

- Many thanks for your interest in opening an account with Saxo Capital Markets Pte. Ltd. (hereafter either “SCMPL” or “We” or “Us”).
- This Guide and Cautionary Notes is provided to you in the interest of transparency and fair dealing for you to properly understand the limits of the services we are willing to provide and the choices you will have to make if you wish to have our services.
- You first need to know that our services to you are limited. Specifically we are neither your financial adviser nor financial planner and we do not provide the full needs analysis of your investment objectives, financial situation and particular needs that a professional investment adviser or financial planners typically provide.
- Fundamentally, we provide you execution services only and if at all any advice is provided to you, it is provided on a non-specific incidental basis. This means that any advice you receive from us will not be based on, nor take into consideration, your specific investment objectives, financial situation or needs. You are hereby warned of this and advised to assess whether any of our advice as may be provided to you is specifically appropriate or suitable to your individual investment objectives, financial situation or particular needs. In particular, the mere fact that our advice is to buy or sell or hold any investment product does not necessarily mean, and must not be taken to mean, that the recommendation is suitable for you and you should therefore either make your own assessment (if you are able to) or (if you cannot properly or reasonably make your own assessment) consult with your own financial adviser before acting on any such advice. You should do this before making any decision on the basis of any incidental advice that we may provide to you.
- The resources and materials (including any general incidental advice) that you may be provided by or may have access from us are provided with the sole aim of enabling you to manage and control your own investments and this also means that you need to be able and willing to accept sole responsibility for ensuring the suitability of any and all investments that you may make with or through us before making any investment or effecting any transaction with or through us.

PART 2 | ACCREDITED AND EXPERT INVESTOR EXEMPTION NOTICE

Please also note that we are expressly exempted from assuming and will not assume (short of an express agreement otherwise) any suitability obligation under the Financial Advisers Act (Cap. 110) or any obligation to provide product information under the Financial Advisers Act (Cap. 110) to any person who is either an accredited investor or an expert investor for the purposes of the Financial Advisers Act (Cap. 110).

PART 3 | ACKNOWLEDGMENT OF RECEIPT OF GUIDE AND CAUTIONARY NOTES IN APPLYING FOR AN ACCOUNT WITH SAXO CAPITAL MARKETS PTE. LTD.

This acknowledges that I/we* have reviewed the GUIDE AND CAUTIONARY NOTES IN APPLYING FOR AN ACCOUNT WITH SAXO CAPITAL MARKETS PTE. LTD. and have read and understood its contents and/or obtained necessary explanations and confirm the following:

1. Having read and understood the GUIDE AND CAUTIONARY NOTES IN APPLYING FOR AN ACCOUNT WITH SAXO CAPITAL MARKETS PTE. LTD., I/we* am/are* formally confirming that I/we* understand and accept that the services being provided to me/us* are limited in nature and in particular are limited to an execution services only basis and where any advice is incidentally provided, it is provided to me/us* specifically on a non-specific incidental basis, without regard to my/our* individual financial circumstances, needs or objectives.
2. I/We* specifically confirm that in no circumstances therefore will it be reasonable for me to expect or rely on any incidental advice provided by SAXO CAPITAL MARKETS PTE. LTD. as being specifically suitable for me/us* within the meaning of section 27 of the Financial Advisers Act (Cap. 110). I/We* specifically confirm that I/we* understand and accept that the appropriateness or suitability of any recommendation or advice as may be provided to me/us* by SAXO CAPITAL MARKETS PTE. LTD. will and must depend on my/our* individual circumstances and objectives and should and will be independently evaluated and confirmed by me/us*, and, where appropriate, with my/our* professional advisers independently before adoption or implementation.

Signature of Applicant/Authorised Officer of Applicant

Name:

Designation (where applicable):

Date: