

### IMPORTANT INFORMATION

StoneX Financial Pte. Ltd. (“SFP”) holds a Capital Markets Services license with the Monetary Authority of Singapore (“MAS”) and offers services in relation to Dealing in Capital Market Products (“Services”) in accordance with the classification of the customer as defined in Section 4A(a) of the Securities and Futures Act (Cap. 289) (the “SFA”).

This includes customers who are successfully classified as “Accredited Investor” as defined in the SFA. Your continued classification as an Accredited Investor remains valid unless SFP is notified by you in writing to be withdrawn from the classification through your submission of the SFP AI Opt-Out Form ; or if you fail to meet the criteria as stipulated in the SFA for the continued classification as an AI annually. The failure to be classified as an Accredited Investor may result in SFP being unable to provide the Services requested by you.

### SECTION 1: GENERAL WARNING *(in accordance with First Schedule of the Securities and Futures (Class of Investors) Regulations 2018)*

Accredited investors are assumed to be better informed, and better able to access resources to protect their own interests, and therefore require less regulatory protection. Investors who agree to be treated as accredited investors therefore forgo the benefit of certain regulatory safeguards. For example, issuers of securities are exempted from issuing a full prospectus registered with the Monetary Authority of Singapore in respect of offers that are made only to accredited investors, and intermediaries are exempted from a number of business conduct requirements when dealing with accredited investors. Investors should consult a professional adviser if they do not understand any consequence of being treated as an accredited investor.

There are additional disclosures in relation to the impact to the customer as a result of being classified as an AI which are detailed within “Section 5: Other Disclosures”.

### SECTION 2: GUIDANCE ON ACCREDITED INVESTOR CLASSIFICATION

The AI Classification is available for customers who are both Individuals or Non-Individuals (“Corporates”). The following maps out the process for being classified as an AI.

Step 1: Review the types of AI classifications, the basis for classification and note the supporting documentation required. This is detailed in “Section 3: Types of AI Classification”.

Step 2: Based on Section 3, identify the AI category under which you would like SFP to classify you.

Step 3: Complete Section 4 based on your preferred basis of classification identified in Step 2.

Step 4: Review Section 1 and Section 5: Other Disclosures, to ensure you fully understand the implications of being classified as an AI.

Step 5: Complete and sign Section 6. Return the signed copy of Section 4 and Section 6 with the required supporting documents to SFP.

In the event you wish to be declassified as an AI, you may do so at anytime by completing and signing the “Accredited Investors Opt-Out Form” and returning it to SFP. If you have any further queries, please email [Onboarding.Asia@stonex.com](mailto:Onboarding.Asia@stonex.com).

## SECTION 3: TYPES OF ACCREDITED INVESTOR CLASSIFICATION

The broad classifications for Non-Individuals (“Corporates”) are as detailed below. Customers intending to be classified as an AI must identify the basis for qualification and the relevant supporting documentation that must be submitted to SFP to validate the basis. These are summarised below:

<b>Corporate Accredited Investor</b>	CORP-1	Net Assets of a Corporation exceed SGD 10 million (or its equivalent in foreign currency)	(a) Latest audited financial statements (b) Where not required to be audited, then certified by the Corporate (through Directors)
	CORP-2	Entire Share Capital of a Corporation is owned (ultimate beneficial owners) by person(s) ALL of whom are either Individual or Corporate Accredited Investors	(a) ALL shareholders must submit the validating supporting documents as detailed within INDV-1 to INDV-3 and/or as detailed under CORP-1
	CORP-3	Net Assets of an entity (other than a Corporation) exceed SGD 10 million (or its equivalent in foreign currency)	(a) Latest audited financial statements (b) Where not required to be audited, then certified by the Corporate (through Directors)
	CORP-4	Each Partner of a partnership (other than a limited liability partnership) is an Accredited Investor	(a) ALL partners must submit the validating supporting documents as detailed within INDV-1 to INDV-3
	CORP-5	Trustee of a Trust where the property assets exceeds SGD 10 million	(a) Latest audited financial statements (b) Where not required to be audited, then certified by the Trustee
	CORP-6	Trustee of a Trust where ALL beneficiaries are Accredited Investors	(a) Declaration provided by a Professional/Licensed Trustee; <u>OR</u> (b) Beneficiaries to submit the validating supporting documents as detailed within INDV-1 to INDV-3
	CORP-7	Trustee of a Trust where ALL settlors are Accredited Investors and have reserved investment powers and revocation powers	(a) Declaration provided by a Professional/Licensed Trustee; <u>OR</u> (b) Beneficiaries to submit the validating supporting documents as detailed within INDV-1 to INDV-3

## SECTION 4: ACCREDITED INVESTOR CLASSIFICATION FOR CORPORATIONS

Please complete all the fields below if you represent a corporation.

Corporation Name <i>(as per the legal name in certificate of incorporation)</i>	
Business Registration No. <i>(or other Unique Identification Number)</i>	
Name of Authorised Signatory of the corporation <i>(as per National ID/Passport)</i>	
Registered Office Address <u>and</u> Principal Place of Business <i>(if different)</i>	
Title/Designation/Position of the Authorised Signatory in the corporation	
Contact Number of Authorised Signatory	
Email Address of Authorised Signatory	

I, the Authorised Signatory of *(please fill in corporation's full legal name)*

(the "**Corporation**"), confirm that the Corporation wishes to be assessed as an Accredited Investor as defined in Section 4A of the SFA; based on the following information that I have provided which I confirm as true, accurate and complete. The Corporation's basis for opting to be treated as an Accredited Investor is identified below:

*(Please select only ONE option below):*

Option	AI-Classification Code	AI Classification Basis
<input type="checkbox"/>	<b>CORP-1</b>	Net Assets of a Corporation exceed SGD 10 million (or its equivalent in foreign currency)
<input type="checkbox"/>	<b>CORP-2</b>	Entire Share Capital of a Corporation is owned (ultimate beneficial owners) by person(s) ALL of whom are either Individual or Corporate Accredited Investors
<input type="checkbox"/>	<b>CORP-3</b>	Net Assets of an entity (other than a Corporation) exceed SGD 10 million (or its equivalent in foreign currency)
<input type="checkbox"/>	<b>CORP-4</b>	Each Partner of a partnership (other than a limited liability partnership) is an Accredited Investor
<input type="checkbox"/>	<b>CORP-5</b>	Trustee of a Trust where the property assets exceed SGD 10 million
<input type="checkbox"/>	<b>CORP-6</b>	Trustee of a Trust where ALL beneficiaries are Accredited Investors
<input type="checkbox"/>	<b>CORP-7</b>	Trustee of a Trust where ALL settlors are AI and have reserved investment powers and revocation powers

I, enclose the supporting documents as indexed below to validate the basis of the Corporation's classification as an Accredited Investor:

1.		5.	
2.		6.	
3.		7.	
4.		8.	

Authorised Signatory's Signature	
Date <i>(dd-mmm-yyyy)</i>	

## SECTION 5: OTHER DISCLOSURES FOR ACCREDITED INVESTORS

This section provides further disclosures as to the effect under the consent provisions of the customer (“you”) being treated as an Accredited Investor by StoneX Financial Pte. Ltd. (“us”, “we”, “SFP”) and (where relevant) other members of the StoneX Group of companies (the “Group”). Where we deal with you as an accredited investor, we would be exempt from complying with certain requirements under the Financial Advisers Act, Chapter 110 of Singapore (the “FAA”) and certain regulations, notices and guidelines issued thereunder, as well as certain requirements under the Securities and Futures Act, Chapter 289 of Singapore (the “SFA”) and certain regulations and notices issued thereunder.

Please note that the regulatory requirements that we are exempted from when dealing with you as an Accredited Investor may be amended and updated from time to time due to regulatory changes or otherwise. You may at any time request for the current list of regulatory requirements that we are exempted from when dealing with you as an Accredited Investor.

These exemptions are set out below:

1. SFP is a Trading Member of SGX Derivatives Limited (“Approved Exchange”) and a Clearing Member of SGX Derivatives Clearing Limited. For SFP as a member of an approved exchange, an accredited investor that suffers financial loss because of embezzlement of money or other property received by a member of an approved exchange or its agents in connection with dealing in capital markets products will not be entitled to be compensated from an investor compensation scheme set up under section 186(1) of the SFA.
2. Before a prospectus or profile statement about an offer or intended offer of a securities-based derivative contract is registered by the MAS, a preliminary document which has been lodged with the MAS may be disseminated to accredited investors if certain conditions regarding the preliminary document are satisfied, and can provide verbal or written material on matters contained in the preliminary document.
3. Where an accredited investor directs SFP to deposit moneys received by SFP on account of the accredited investor in an account other than a trust account maintained in accordance with regulation 17 of the Securities and Futures (Licensing and Conduct of Business) Regulations (“SFLCBR”), SFP may deposit such moneys in an account into which the accredited investor directs that the moneys be deposited in which the accredited investor may not have legal and beneficial title or which account may not be maintained with a specified financial institution as defined in regulation 16 of the SFLCBR.
4. When depositing customer’s assets in a custody account held on trust for the customer, in the case of an accredited investor, the custody account held on trust does not have to be maintained in accordance with regulation 27 of the SFLCBR. Where an accredited investor directs SFP to deposit assets in any other account other than such a custody account held on trust for the customer, SFP may deposit the accredited investor’s assets in an account into which the accredited investor directs that the assets be deposited but in which the accredited investor may not have legal and beneficial title or which account may not be maintained with a specified custodian.
5. SFP does not have to, before depositing moneys received on account of accredited investors in a trust account mentioned in regulation 17 SFLCBR or before depositing assets received on account of accredited investors in a custody account mentioned in regulation 27 SFLCBR, provide the disclosure that would be required to be provided to retail customers as set out in regulations 18A and 27A SFLCBR respectively which disclosure includes how the account is held and the terms on which the account is held.

6. SFP may enter into a contract, arrangement or transaction that has the purpose or effect of transferring any right, interest, benefit or title in any moneys or assets received from accredited investors to itself or any other person where the contract, arrangement or transaction is not entered into in connection with borrowing or lending of the accredited investor's specified products and SFP does not comply with regulations 45(1), (3) and (4) SFLCBR in relation to the borrowing or lending of the accredited investor's specified products.
7. SFP may transfer an accredited investor's assets to meet any obligation of SFP in relation to any transaction, arrangement or contract entered into by SFP for the benefit of SFP.
8. SFP may withdraw money from an accredited investor's trust account for the purpose of making a payment to any other person or account to meet any obligation of SFP in relation to any transaction, arrangement or contract entered into by SFP for the benefit of SFP.
9. SFP does not have to, before mortgaging, charging, pledging or hypothecating an accredited investor's assets inform the customer that SFP may mortgage, charge, pledge or hypothecate such assets but only for a sum not exceeding the amount owed by the customer to the holder, explain to the customer the risks of mortgaging, charging, pledging or hypothecating the customer's assets and obtain the customer's written consent to mortgage, charge, pledge or hypothecate the customer's assets.
10. SFP may, for the purpose of depositing moneys received on account of accredited investors in respect of over-the-counter ("OTC") derivatives contracts that are entered into by SFP with the accredited investors which are denominated in a foreign currency in a trust account, maintain the trust account with a custodian outside Singapore which is licensed, registered or authorised to conduct banking business in the country or territory where the account is maintained.
11. SFP may deposit, for accredited investors, moneys received on account of the customer in respect of OTC derivatives contracts with an approved clearing house, a recognised clearing house, a member of an organised market or a member of a clearing facility for:
  - 11.1 the purpose of entering into, facilitating the continued holding of a position in, or facilitating a transaction in, any capital markets products on behalf of the customer on the organised market;
  - 11.2 for the purpose of clearing or settlement of any capital markets products on the clearing facility for the customer;
  - 11.3 for any other purpose specified under the business rules and practices of the approved clearing house, recognised clearing house, organised market or clearing facility, as the case may be.
12. SFP may deal with an accredited investor as an agent when dealing in capital markets products that are OTC derivatives contracts or spot foreign exchange contracts for the purposes of leveraged foreign exchange trading.
13. SFP may open a trading account for the purposes of trading in futures contracts, spot foreign exchange contracts for the purposes of trading in futures contracts, spot foreign exchange contracts for the purposes of leveraged foreign exchange trading or foreign exchange OTC derivatives contracts for accredited investors that are not related corporations of SFP without furnishing the customer with a separate written risk disclosure document in a specified form and receiving from the customer an acknowledgement signed and dated by the customer that he has received and understood the nature and contents of the risk disclosure document.
14. SFP may open a trading account for an accredited investor for the purpose of trading in capital markets products other than future contracts, spot foreign exchange contracts for the purposes of leveraged foreign exchange trading or foreign exchange OTC derivatives contracts without furnishing the customer with a written risk disclosure document that discloses the material risks of the capital markets products and receiving from the customer an acknowledgement signed and dated by the customer that he has received and understood the nature and contents of the risk disclosure document.

15. SFP may trade capital markets products other than future contracts, spot foreign exchange contracts for the purposes of leveraged foreign exchange trading or foreign exchange OTC derivatives contracts with an accredited investor without furnishing the customer whether SFP is acting in that or all trades as either principal or agent.
16. SFP does not have to in relation to any provisional or temporary representative under the SFA or any provisional representative under the Financial Advisers Act (“FAA”) ensure that the representative in the course of carrying on business in any regulated activity under the SFA or in the course of providing any financial advisory service:
  - 16.1 is accompanied at all times when meeting an accredited investor by a person referred to in paragraph 3A(6) SFLCBR or paragraph 4A(5) FAR;
  - 16.2 sends concurrently to a person referred to in paragraph 3A(6) SFLCBR or paragraph 4A(5) FAR all electronic mail that he sends to any accredited investor in the course of carrying on business in any regulated activity or in the course of providing financial advisory service; and
  - 16.3 does not communicate by telephone with any accredited investor other than by telephone conference in the presence of a person referred to in paragraph 3A(6) SFLCBR or paragraph 4A(5) FAR.
17. SFP may subject to other provisions of regulation 33 SFLCBR lend or arrange for a custodian to lend the assets of an accredited investor which are specified products without explaining the risks involved to an accredited investor and obtaining the accredited investor’s written consent.
18. SFP does not need to furnish monthly to each accredited investor a statement of account containing the particulars referred to in regulation 40(2) SFLCBR if SFP has made available to the accredited investor on a real-time basis, those particulars in the form of electronic records stored on an electronic facility and the customer has consented to those particulars being made available to him in this manner or the accredited investor has requested, in writing, not to receive the statement of account on a monthly basis from SFP.
19. SFP does not need to provide collateral (defined in regulation 45(9) SFLCBR) to an accredited investor when borrowing specified products from an accredited investor that owns those specified products, but must ensure that the terms and conditions of the borrowing are recorded in a prior written agreement complying with regulation 45(7) of the SFLCBR.
20. SFP does not have to, in making any recommendation to an accredited investor on an investment product, base that recommendation on a consideration and investigation of the investment objectives, financial situation and particular needs of the accredited investor or reasonably considered the subject matter of the recommendation. SFP shall however disclose that SFP is not required to so comply to the accredited investor.
21. SFP does not have to establish a remuneration framework for reviewing and assessing the performance of its representatives and its supervisors and their remuneration that contains certain terms consistent with prescribed requirements or have an independent sales audit unit to audit the quality of the financial advisory services provided by its representatives.
22. When sending a circular or other written communication in which a recommendation is made in respect of securities-based derivatives contracts that are not futures contracts (as defined in section 2 SFA) to accredited investors, SFP is not required to include a concise statement meeting certain legibility standards of the nature of any interest in, or any interest in the acquisition or disposal of, those specified products that it or any of its associated or connected persons has at the date on which the circular or other communication is sent.
23. SFP does not have to carry out a due diligence exercise to ascertain whether any new product SFP wishes to sell or market to accredited investors is suitable.

## SECTION 6: DECLARATION FOR CORPORATES OPTING TO BE CLASSIFIED AS AN ACCREDITED INVESTOR

Customer Name <i>(Corporation name as per legal certificate name of incorporation)</i>	
Authorised Signatory's Name	
Business Registration Number	

We agree and acknowledge that:

1. We consent to be assessed by StoneX Financial Pte. Ltd. ("SFP") and if successful, to be classified as an Accredited Investor as described in section 4A of the Securities and Futures Act, Chapter 289 of Singapore.
2. We have reviewed "Section 5: Other Disclosures" where an explanation of the regulatory requirements that SFP is exempted from complying with when SFP engages in business relationships with Accredited Investors. We confirm that we fully understand the consequences of being treated by SFP as an Accredited Investor.
3. We consent to be treated as an Accredited Investor in respect of (i) all accounts which we hold with SFP, and (where relevant) other members of the StoneX Group of companies (the "Group"); (ii) all transactions booked with or through SFP or the Group; and (iii) the relevant services and products offered by or through SFP and the Group to us. This consent is for the purposes of my business relationship with SFP and (where relevant) other members of the Group. We further consent to SFP disclosing this to any person that relies on our status as an Accredited Investor to be eligible to be treated as an Accredited Investor.
4. Our consent is subject to a processing period to effect the instruction. SFP will notify us of our investor status within an estimated 14 business days from the date of receipt of this form (or as soon as practicable thereafter).
5. We acknowledge that we may at any time withdraw our consent by notifying SFP in writing. The withdrawal is subject to a processing period of 30 business days from the date of receipt of SFP's "Accredited Investor Opt-Out Form". SFP will notify us once our investor status as a Non-Accredited Investor customer has been updated in its records. Until such time, we will still be treated as an Accredited Investor by SFP and the Group. Any offerings or recommendations of investment products to us, and transactions entered into by us, during this processing period will continue to be exempted under the relevant consent provisions.

*General Warning: Accredited investors are assumed to be better informed, and better able to access resources to protect their own interests, and therefore require less regulatory protection. Investors who agree to be treated as accredited investors therefore forgo the benefit of certain regulatory safeguards. For example, issuers of securities are exempted from issuing a full prospectus registered with the Monetary Authority of Singapore in respect of offers that are made only to accredited investors, and intermediaries are exempted from a number of business conduct requirements when dealing with accredited investors. Investors should consult a professional adviser if they do not understand any consequence of being treated as an accredited investor.*

Authorised Signatory Signature	
Date <i>(dd-mmm-yyyy)</i>	

Attention: Customer Onboarding Desk  
STONEX FINANCIAL PTE. LTD.  
One Raffles Place  
#18-61 Tower 2  
Singapore 048616  
Email: [Onboarding.Asia@stonex.com](mailto:Onboarding.Asia@stonex.com)  
Business Registration No. 201130598R