

Investment Product – Vulnerable Customer Assessment 星展銀行 DBS

Customer Details			
Customer Name			
HKID/Passport Number			
Final Vulnerable Customer Assessment Result	<input type="checkbox"/> Non-Vulnerable Customer (Non-VC) <input type="checkbox"/> a Vulnerable Customer for complex investment products only (VC for Complex Products) <input type="checkbox"/> a Vulnerable Customer (VC)		
Declaration for Investment Transaction Companion Arrangement (If applicable)^			
<p>The Customer understands that the Bank has recommended that he/she should be accompanied by:</p> <p>(1) a family member/close relative/friend (each hereinafter called a “Companion”); and/or</p> <p>(2) an independent Bank staff</p> <p>when he/she conducts relevant investment products transaction with the Bank (the “Investment Transaction”).</p> <p>The Customer has carefully considered the above recommendation and declares that:</p> <table border="1"> <tr> <td> <input type="checkbox"/> I DO NOT require ANY Companion or ANY independent Bank staff to accompany me*. </td> <td> I require <input type="checkbox"/> a Companion or <input type="checkbox"/> an independent Bank staff or <input type="checkbox"/> a Companion and an independent Bank staff to accompany me. </td> </tr> </table> <p>* Customer aged 85 or above Or Customer with education level at primary or below cannot pick this option)</p>		<input type="checkbox"/> I DO NOT require ANY Companion or ANY independent Bank staff to accompany me*.	I require <input type="checkbox"/> a Companion or <input type="checkbox"/> an independent Bank staff or <input type="checkbox"/> a Companion and an independent Bank staff to accompany me.
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<p>If I change my mind and selection subsequently to either (a) I want to be accompanied by a Companion and/or an independent Bank staff or (b) I do not want to be accompanied by any Companion and/or independent Bank staff (as the case may be) when I conduct an Investment Transaction, I will notify the Bank prior conducting any new Investment Transactions in the future.</p> <p>^ This section is applicable to (a) Customer aged 85 or above; (b) Customer with education level at primary or below; (c) Vulnerable Customers; or (d) Vulnerable Customer for Complex Products while conducting complex investment product transactions if customer does not belong to (a) or (b)</p>			
Customer Confirmation			
<p>I confirm to the Bank that:</p> <ol style="list-style-type: none"> I understand the Bank has conducted this Vulnerable Customer Assessment to determine whether I am a Vulnerable Customer according to my age, observable disability, investable assets, education level and investment experience, and I understand and agree with this Vulnerable Customer Assessment; Before making any investment decision, I will have (a) read, understood and agreed with the offering documentation of the investment product(s); and (b) taken steps (including seeking advice from my own independent advisor) to ensure that I have made an assessment of the appropriateness of my investment decision in view of my investment objectives and financial circumstances, including the potential risks and benefits of making such investment; I understand the Bank accepts no responsibility whatsoever for any losses or damages arising out of or in connection with my decision made in this Vulnerable Customer Assessment; I understand that from my 85th birthday onward, I will be accompanied by an independent Bank Staff when conducting any Investment Transactions; and the Bank has also reminded me that I should seriously consider bringing a family member / close relative / friend as a companion when I conduct Investment Transactions with the Bank; and I agree that this Vulnerable Customer Assessment will not be valid once I cease to be a Vulnerable Customer or Vulnerable Customer for Complex Products. 			

Customer Authorized Signature:

Name:

Date: