DIFC Branch
HDFC BANK
We understand your world

Application Date : D D / M M / Y Y Y Y

Client Questionnaire: Financial Experience And Understanding

	Portfolio holdings	Gross Investment Value $ Million	Leverage/Mortgage Value (if any) $ Million	Net Investment Value $ Millions	%
Approximately, what is the value and composition of your existing portfolio?	Cash & money market instruments				
	Government bonds				
	Convertible debt securities				
	CDOs and ABSs				
	Other corporate bonds				
	Common stocks & equities				
	Capital-protected & other structured products				
	Currencies				
	Commodities				
	Options, futures & contracts for differences				
	Other *(please specify)*				

On what basis has your portfolio been managed? *(Please tick as appropriate)*	☐ Self-managed
	☐ Advisory
	☐ Discretionary
	☐ Other *(please specify)*

For how many years have you been active in financial markets? *(Please tick as appropriate)*	☐ Between 1 and 3
	☐ Between 3 and 7
	☐ Between 7 and 14
	☐ More than 14

With what frequency have you dealt in financial markets?	
	Please state the approximate average number of transactions per annum

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What types of transaction have you undertaken? (Please tick as appropriate)	☐ Margined transactions
	☐ Repurchase agreements/Stock lending
	☐ Derivative strategies, e.g. option writing, swaps, etc.
	☐ Specific strategies, e.g. risk arbitrage, merger arbitrage
	☐ Emerging markets
	☐ Structured products
	☐ Hedge funds, private equity funds and other alternative investments
	☐ Domestic funds
	☐ Foreign funds
	☐ New issues
	☐ Private placements
	☐ Other *(please specify)*

What is the typical size of your investment transactions?	☐ More than $10,000
	☐ More than $50,000
	☐ More than $1,00,000
	☐ More than $5,00,000

What is your understanding of markets, investment and risk?	[ ] Company risk: management; earnings; possibility of bankruptcy
	[ ] Country risk: political; economic; demographic factors
	[ ] Credit risk: failure to pay interest or capital on time or at all
	[ ] Currency risk: adverse currency fluctuations
	[ ] Inflation risk: erosion of asset values and investment returns
	[ ] Interest rate risk: erosion of income and capital when interest rates rise
	[ ] Liquidity risk: the inability to readily liquidate an investment
	[ ] Volatility risk: the variability of asset values and investment returns
	[ ] Market risk: risks applicable to an entire asset class, e.g. recession
	(In each case, please indicate G – Good, M – Moderate or L – Low)

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RELEVANT ACADEMIC QUALIFICATIONS

Do you hold a relevant financial market or investment qualification?	☐ Chartered Financial Analyst ☐ Member of Securities & Investments Institute ☐ Other *(please specify)*

What other knowledge or experience do you have that may be relevant?	*(Please specify)*

Client Name: ______________________________

Signature

Date: ______________________________

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Comments:

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Reviewed by:

Relationship Manager

Name: ______________________________

Date: ______________________________

Signature

Compliance Officer

Name: ______________________________

Date: ______________________________

Signature