

INVESTOR SUITABILITY ASSESSMENT FORM

This Investor Suitability Assessment Form will guide you in choosing the unlisted capital market products that suit your investment objectives, risk tolerance, financial profile and investment experience. The information you provide will form the basis of our recommendation. It is important that you provide accurate and complete information to ensure that suitable unlisted capital market products are recommended according to your investment needs and objectives.

A. KNOW-YOUR-INVESTOR

Name (as per NRIC/Passport No.):		NRIC/Passport No.:	
		Nationality:	
Marital Status: <input type="checkbox"/> Single <input type="checkbox"/> Married <input type="checkbox"/> Others, Please specify: _____			
Residential Address:		Email Address:	
		Contact No.:	
Employer:		Annual Income (RM):	
Occupation:		<input type="checkbox"/> Less Than 30,000	
<input type="checkbox"/> Accounting/Finance		<input type="checkbox"/> 30,001 - 60,000	
<input type="checkbox"/> Consulting		<input type="checkbox"/> 60,001 - 100,000	
<input type="checkbox"/> Customer Service		<input type="checkbox"/> 100,001 - 150,000	
<input type="checkbox"/> Educational/Training		<input type="checkbox"/> 150,001 - 200,000	
<input type="checkbox"/> Engineering		<input type="checkbox"/> Above 200,000	
<input type="checkbox"/> Executive/Senior Management		<input type="checkbox"/> No Income	
<input type="checkbox"/> General Administration/Supervisory			
<input type="checkbox"/> Government/Military			
<input type="checkbox"/> Manufacturing/Operations			
<input type="checkbox"/> Professional Services			
<input type="checkbox"/> Research & Development			
<input type="checkbox"/> Retired			
<input type="checkbox"/> Sales/Marketing/Advertising			
<input type="checkbox"/> Student			
<input type="checkbox"/> Self-Employed			
<input type="checkbox"/> Unemployed			
<input type="checkbox"/> Others			

B. INVESTOR'S INVESTMENT PROFILE

Part I: Investment Objective, Experience & Current Investment Portfolio

For questions i & ii, you can choose more than one response.

<p>i. What is your primary investment objective?</p> <input type="checkbox"/> Capital Preservation <input type="checkbox"/> Capital Gain <input type="checkbox"/> Retirement Planning <input type="checkbox"/> Children Education <input type="checkbox"/> Others, Please specify: _____	<p>ii. My investment experience pertains to</p> <input type="checkbox"/> Savings and fixed deposits <input type="checkbox"/> Bonds <input type="checkbox"/> Unit Trusts <input type="checkbox"/> Equities <input type="checkbox"/> Others, Please specify: _____
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iii. My current investment portfolio includes

Investment Instrument	Product Provider	Performance
<i>For eg. Savings & fixed deposits, bonds, unit trusts, equities & etc</i>		

Part II: Risk Profile

Please answer the following questions by selecting only one response to each question.

<p>1. What is your current age?</p> <input type="checkbox"/> 18 to 30 years old [5] <input type="checkbox"/> 31 to 40 years old [4] <input type="checkbox"/> 41 to 47 years old [3] <input type="checkbox"/> 48 to 55 years old [2] <input type="checkbox"/> Above 55 years old [1]	<p>2. How many months of expenses can your emergency funds cover?</p> <input type="checkbox"/> I currently have no emergency funds [1] <input type="checkbox"/> Less than 3 months [2] <input type="checkbox"/> 4 to 6 months [3] <input type="checkbox"/> 7 to 9 months [4] <input type="checkbox"/> More than 9 months [5]
<p>3. What percentage of monthly income can be invested?</p> <input type="checkbox"/> I currently have no income [1] <input type="checkbox"/> 0 to 10% [2] <input type="checkbox"/> 11% to 20% [3] <input type="checkbox"/> 21% to 30% [4] <input type="checkbox"/> More than 30% [5]	<p>4. When do you expect to liquidate your investment?</p> <input type="checkbox"/> Less than 1 year [1] <input type="checkbox"/> 1 to 2 years [2] <input type="checkbox"/> 3 to 5 years [3] <input type="checkbox"/> 6 to 7 years [4] <input type="checkbox"/> More than 7 years [5]
<p>5. How many people depend on you financially?</p> <input type="checkbox"/> 0 [5] <input type="checkbox"/> 1, but he/she works [4] <input type="checkbox"/> 1 [3] <input type="checkbox"/> 2 to 3 [2] <input type="checkbox"/> More than 3 [1]	<p>6. In order to achieve high returns, I am willing to choose high risk investments.</p> <input type="checkbox"/> Strongly agree [5] <input type="checkbox"/> Agree [4] <input type="checkbox"/> Neutral [3] <input type="checkbox"/> Disagree [2] <input type="checkbox"/> Strongly disagree [1]

7. Which investment would you make?

- Portfolio that has a potential loss of less than 5% per annum with a potential return of 3% per annum [1]
- Portfolio that has a potential loss of less than 5% - 10% per annum with a potential return of 5% per annum [2]
- Portfolio that has a potential loss of less than 10% - 15% per annum with a potential return of 7% per annum [3]
- Portfolio that has a potential loss of less than 15% - 25% per annum with a potential return of 9% per annum [4]
- Portfolio that has a potential loss of more than 25% - 50% (or even more) per annum with a potential return of 12% per annum [5]

8. How do you normally feel after making a significant financial decision?

- Oh my god! What if it fails? [1]
- Concerned that it could be a wrong decision [2]
- A little uneasy [3]
- Content that it is a right decision [4]
- Optimistic that the decision will bring substantial benefits [5]

9. I prefer to keep capital safe rather than have high returns

- Strongly agree [1]
- Agree [2]
- Neutral [3]
- Disagree [4]
- Strongly disagree [5]

Total Score: _____

The following table indicates the risk profile of a typical investor based on the total score. Please be reminded that this questionnaire is designed to assist you to evaluate your risk profile from the responses to the questions above.

Total Score	Risk Profile
<input type="checkbox"/> 9 to 16	Conservative
<input type="checkbox"/> 17 to 23	Moderately Conservative
<input type="checkbox"/> 24 to 30	Balanced
<input type="checkbox"/> 31 to 37	Moderately Aggressive
<input type="checkbox"/> 38 and > 38	Aggressive

C. RECOMMENDATION

Based on the information provided in Section B, the following category(ies) of funds is/are considered to be suitable for the investor.

Categories	<input type="checkbox"/> Money Market Funds	<input type="checkbox"/> Fixed Income Funds	<input type="checkbox"/> Balanced Funds	<input type="checkbox"/> Equity Funds	<input type="checkbox"/> Alternative Funds
Funds/Portfolio*					
Basis of Recommendation					

*The investment portfolio is constructed by the Client Investment Specialist (CIS) according to the investor's investment objective, risk appetite and time horizon. The Client Investment Specialist (CIS) may/will construct the investment portfolio based on the above category(ies) of funds that is/are considered to be suitable for the investor.

D. ACKNOWLEDGEMENT (to be completed by investors)

- I confirm that the information disclosed is true, complete and accurate.
- I confirm that the Client Investment Specialist (CIS) has explained and I have understood the features and risks of the category(ies) of funds that is/are suitable for me.
- I acknowledge receipt of a copy of the Product Highlight Sheet and relevant disclosure documents which have been given to me.
 - (if applicable) I decline to provide certain information required for product suitability assessment and I understand that this may adversely affect my suitability assessment.
 - (if applicable) I have decided to purchase another category(ies) of funds that is/are not recommended by the Client Investment Specialist (CIS). Please state the new category(ies): _____

Investor's Signature:	Intern's signature:	Client Investment Specialist (CIS)'s signature:
Name: Date:	Name: Date:	Name: Date:

WARNING
THE RECOMMENDATION IS MADE BASED ON INFORMATION OBTAINED FROM THE SUITABILITY ASSESSMENT. INVESTORS ARE ADVISED TO EXERCISE JUDGMENT IN MAKING AN INFORMED DECISION IN RELATION TO THE UNLISTED CAPITAL MARKET PRODUCT.