

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

**IMPORTANT:** Please complete in CAPITAL LETTERS and BLACK INK only, and tick  where applicable. Any alterations made must be countersigned.

**Full Name (as per NRIC / Passport / Others)**

NRIC No.

Passport No. / Other

FINANCIAL CAPACITY	SCORE
<b>What is your age?</b> <input type="checkbox"/> > 60 (0) <input type="checkbox"/> 50 - 60 (1) <input type="checkbox"/> 40 - 49 (2) <input type="checkbox"/> 30 - 39 (3) <input type="checkbox"/> < 30 (4)	
<b>Tell us about your annual income:</b> <input type="checkbox"/> RM0 - RM149,999 (0) <input type="checkbox"/> RM150,000 - RM299,999 (1) <input type="checkbox"/> RM300,000 and above (2)	
<b>As of the date of this assessment, share with us your estimated liability:</b> <input type="checkbox"/> RM3,000,000 and above (0) <input type="checkbox"/> RM150,000 - RM2,999,999 (1) <input type="checkbox"/> RM0 - RM149,999 (2)	
<b>As of the date of this assessment, share with us your estimated net worth:</b> <input type="checkbox"/> RM0 - RM149,999 (0) <input type="checkbox"/> RM150,000 - RM2,999,999 (2) <input type="checkbox"/> RM3,000,000 and above (4)	
<b>What is your investment objective?</b> <input type="checkbox"/> Capital Preservation (0) <input type="checkbox"/> Income (1) <input type="checkbox"/> Income and Growth (3) <input type="checkbox"/> Growth (4)	
<b>How long will you hold your investments for?</b> <input type="checkbox"/> < 3 years (0) <input type="checkbox"/> 3 to 5 years (2) <input type="checkbox"/> > 5 years (4)	
<b>What is your expected annualised gain?</b> <input type="checkbox"/> 0% - 4% (0) <input type="checkbox"/> > 4% - 6% (1) <input type="checkbox"/> > 6% - 8% (2) <input type="checkbox"/> > 8% - 12% (3) <input type="checkbox"/> > 12% and above (4)	
<b>What is your risk tolerance?</b> <input type="checkbox"/> Capital preservation is very important (0) <input type="checkbox"/> Capital preservation is my objective but I can accept some capital reduction (2) <input type="checkbox"/> I understand market risk and willing to accept capital reduction in my investment (4)	
<b>Share with us your investment experience:</b> Bonds <input type="checkbox"/> < 1 year (0) <input type="checkbox"/> > 1 year (1); and Derivatives <input type="checkbox"/> < 1 year (0) <input type="checkbox"/> > 1 year (1); and Equities <input type="checkbox"/> < 1 year (0) <input type="checkbox"/> > 1 year (1); and Unit Trust Fund <input type="checkbox"/> < 1 year (0) <input type="checkbox"/> > 1 year (1) Please specify fund category <input type="checkbox"/> Balance <input type="checkbox"/> Bond <input type="checkbox"/> Income <input type="checkbox"/> Equity	
<b>Grand Total</b>	

Based on the above, your risk profile falls under Group:

Score	Group	Risk Category
0 - 5	<input type="checkbox"/> G1	Very Low
6 - 11	<input type="checkbox"/> G2	Low
12 - 18	<input type="checkbox"/> G3	Moderate
19 - 25	<input type="checkbox"/> G4	High
26 - 32	<input type="checkbox"/> G5	Very High

## RECOMMENDATION BY AUTHORISED UTC / PRC

### Basis of recommendation

The client is / is not\* well versed in capital market products and has \_\_\_\_\_ years of investing experience in Bonds / Equities / Derivatives / Unit Trust Funds\*. The client's investment goal is \_\_\_\_\_.

Having considered the client's high / medium / low\* risk tolerance, it is recommended that the client invests in Money Market Funds / Bond Funds / Mixed Funds / Equity Funds / Others \_\_\_\_\_ (please specify)\* to meet the client's investment goal.

\*Delete where not applicable.

## DECLARATION

### I hereby declare that I:

- Agree with both the basis of recommendation and the SAT risk profile rating;
- Agree with the SAT risk profile rating but disagree with the basis of recommendation; or
- Disagree with both the basis of recommendation and the SAT risk profile rating.

All information disclosed is true, complete, and accurate.

The adviser has explained and I have understood the features and risks of the product.

I acknowledge receipt of a copy of Product Highlights Sheet and the disclosure document which have been given to me.

Signature of Client

Date:

### WARNING:

The recommendation is made based on information obtained from the suitability assessment. Investors are advised to exercise judgement in making an informed decision in relation to the unlisted capital market product.

## COMPULSORY FOR DISTRIBUTOR (AUTHORISED UTC / PRC)

Name of \*UTC / PRC (as per NRIC): \_\_\_\_\_

\*UTC / PRC Contact No.: \_\_\_\_\_

\*UTC / PRC Code: \_\_\_\_\_

\*Delete where not applicable.

Signature

Date: