

Note: Please complete in CAPITAL LETTERS and BLACK INK only. Any alteration made must be countersigned.

THIS INVESTOR SUITABILITY ASSESSMENT FORM (NOT APPLICABLE FOR ACCREDITED INVESTOR) 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 TO PROVIDE ACCURATE AND COMPLETE INFORMATION TO ENSURE THAT SUITABLE UNLISTED CAPITAL MARKET PRODUCTS ARE RECOMMENDED ACCORDING TO YOUR INVESTMENT NEEDS AND OBJECTIVES.

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

Part 1: Investor's Details

New Investor Existing (To specify Acc. No): _____

Date	
Name of Corporation	
Registration No.	

Part 2: Investment and Financial Profile

Category	Investor	Tick
High Net Worth Entity	An individual whose total net personal assets, or total net joint assets with his or her spouse, exceeding RM3 million or its equivalent in foreign currencies, provided that the net value of the primary residence of the individual contribute not more than RM1 million of the total net assets;	
	An individual whose total net joint assets with his or her spouse; or his or her child, exceeding RM3 million or its equivalent in foreign currencies, provided that the net value of the primary residence of the individual with his or her spouse or child contribute not more than RM1 million of the total net assets.	
	An individual who has a gross annual income exceeding RM300,000 or its equivalent in foreign currencies in the preceding twelve months.	
	An individual who jointly with his or her spouse or child, has a gross annual income exceeding RM400,000 or its equivalent in foreign currencies in the preceding twelve months.	
	An individual whose total net personal investment portfolio or total net joint investment portfolio** with his or her spouse or child, in any capital market produce exceeding RM1 million or its equivalent in foreign currencies.	
	An individual who holds any of the following qualifications and had five consecutive years of relevant working experience in finance, economics, actuarial science or accounting- a) holds a Bachelor's or Master's degree related to Finance Economics or Actuarial Science; b) holds a Bachelor's or Master's degree in accounting; or c) holds a Master of Business Administration;	
	7. An individual who holds the following membership in the associations as set out below: a) Active Member of Chartered Financial Analyst (CFA) Institute b) Active Member of Chartered Financial Analyst (CFA) Institute c) Ordinary Member of Financial Markets Association Malaysia (FMAM); d) Chartered Accountant(M) of Malaysian Institute of Accountants (MIA); e) Ordinary Member of Malaysia Association of Tax Accountants (MATA); f) Accredited Angel Investor of Malaysia Business Angel Network (MBAN); g) Certified Member of Financial Planning Association of Malaysia (FPAM); or h) Ordinary Member of Malaysian Financial Planning Council (MFPC); or	
	8. An Individual who has five consecutive years of working experience in a capital in a capital market intermediary relating to product development, corporate finance, deal advisory, financial analysis, or the provision of training in investment products.	
Accredited Investor	A unit trust scheme, private retirement scheme or prescribed investment scheme	
	Bank Negara.	
	A license person or a registered person.	
	An exchange holding company, a stock exchange, a derivatives exchange, an approved clearing house, a central depository or a recognized market operator.	
	A corporation that is licensed, registered or approved to carry on any regulated activity or capital market services by an authority in Labuan or outside Malaysia which exercises functions corresponding to the functions of the Securities Commission.	
	A bank licensee or an insurance licensee as defined under the Labuan Islamic Financial Services and Securities Act 2010 [Act 704]	
	An Islamic bank licensee or a takaful licensee as defined under the Labuan Islamic Financial Services and Securities Act 2010 [Act 705].	
	A chief executive office or a director of any person referred to in (3), (4), (5), (6) and (7) above.	
A closed-end fund approved by the Securities Commission		

Part 3: Investor's Risk Profile		Score
1.	Preferred Asset Allocation: - <input type="checkbox"/> 100% in Liquid Investment or Money Market (1) <input type="checkbox"/> A balanced portion in Liquid Investment and Equities (2) <input type="checkbox"/> 100% in Equities (3)	
2.	Company's Latest Audited Asset: - <input type="checkbox"/> < RM 1,000,000 (1) <input type="checkbox"/> RM 1,000,000 – 4,999,999 (2) <input type="checkbox"/> RM 5,000,000 – 9,999,999 (3) <input type="checkbox"/> RM 10,000,000 > (4)	
3.	Company's Latest Estimated Liability: - <input type="checkbox"/> RM 10,000,000 > (1) <input type="checkbox"/> RM 5,000,000 – 9,999,999 (2) <input type="checkbox"/> RM 1,000,000 – 4,999,999 (3) <input type="checkbox"/> < RM 1,000,000 (4)	
4.	Your investment objective: - <input type="checkbox"/> Capital Preservation (1) <input type="checkbox"/> Balanced (2) <input type="checkbox"/> Income & Growth (3) <input type="checkbox"/> Growth (4)	
5.	How long will your company hold investment for? <input type="checkbox"/> Less than 3 years (1) <input type="checkbox"/> 3 to 5 years (2) <input type="checkbox"/> More than 5 years (3)	
6.	Company's expectation of annualized gain: - <input type="checkbox"/> 0 - 4 % (1) <input type="checkbox"/> 4 - 6 % (2) <input type="checkbox"/> 6 - 8 % (3) <input type="checkbox"/> 8 - 12 % (4) <input type="checkbox"/> 12 % and above (5)	
7.	Your risk tolerance: - <input type="checkbox"/> Capital preservation is very important (1) <input type="checkbox"/> Capital preservation is our objective but I can accept some capital reduction (2) <input type="checkbox"/> We understand market risk and willing to accept capital reduction in our investment (3)	
8.	Your investment experience: - Unit Trust Funds <input type="checkbox"/> >5 years (4) <input type="checkbox"/> 1 – 4 years (3) <input type="checkbox"/> < 1 year (2) <input type="checkbox"/> No experience (1) Equities <input type="checkbox"/> >5 years (4) <input type="checkbox"/> 1 – 4 years (3) <input type="checkbox"/> < 1 year (2) <input type="checkbox"/> No experience (1) Bonds <input type="checkbox"/> >5 years (4) <input type="checkbox"/> 1 – 4 years (3) <input type="checkbox"/> < 1 year (2) <input type="checkbox"/> No experience (1) Derivatives: <input type="checkbox"/> >5 years (4) <input type="checkbox"/> 1 – 4 years (3) <input type="checkbox"/> < 1 year (2) <input type="checkbox"/> No experience (1) Average score: _____	
Total Score		

Part 4: Investor's Risk Tolerance Matrix				
Risk Profiling Total Score	8 - 14	15 - 21	22 - 27	28 and above
Risk Tolerance	Conservative	Moderate	Moderately Aggressive	Aggressive
Tick (✓)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Description <i>(Refer Appendix I for list of Funds)</i>	This portfolio seeks to preserve capital and generate a regular income stream over time, with capital growth being of secondary importance. It is expected to be more stable in portfolio value compared to other more aggressive portfolios.	This portfolio seeks to provide stable income with some potential for capital growth. Short-term fluctuation is expected in anticipation of a higher return.	This portfolio aims to generate capital growth. A fair level of fluctuations is expected in return of possible higher returns with some level of income (if any).	This portfolio aims to generate long-term capital growth. Significant fluctuations may be expected in the short-term in anticipation of the highest possible return over the long-term.

Part 5: Recommendation	
To be completed by Consultant/Distributor	
<i>(Refer Appendix I for list of Funds)</i> I recommended the following fund(s) to the investor <input type="checkbox"/> Yes <input type="checkbox"/> No Fund Name (If you tick Yes): 1. _____ 2. _____ 3. _____	If YES , I recommended the fund(s) because (multiple answers allowed) <input type="checkbox"/> Suitable to investor's risk profile <input type="checkbox"/> In line with investor's investment objective and investment horizon <input type="checkbox"/> Complements investor's portfolio of products to meet his/her financial goal <input type="checkbox"/> Others: (please specify): _____ If NO , the reason for the non-recommendation (multiple answers allowed) <input type="checkbox"/> Not suitable for investor's risk profile <input type="checkbox"/> Not in line with investor's objective and investment horizon <input type="checkbox"/> Others: (please specify): _____

