

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.

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

Date	Registration No
Name of Corporation	

Part 1: Investor's Need Analysis/Risk Profiling		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.	Company's investment experience: - Unit Trust Fund: <input type="checkbox"/> < 1 year (1) <input type="checkbox"/> > 1 year (2) Bond: <input type="checkbox"/> < 1 year (1) <input type="checkbox"/> > 1 year (2) : and Equities: <input type="checkbox"/> < 1 year (1) <input type="checkbox"/> > 1 year (2) Derivatives: <input type="checkbox"/> < 1 year (1) <input type="checkbox"/> > 1 year (2)	
8.	Company's 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)	
Grand Total		

Part 2: Recommendation		
Risk Profile (Total Score)	Description	Category of fund that match with the risk level
Conservative (6-13)	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.	Apex Dana Al-Kanz Apex Dana Aman
Moderate (14-22)	This portfolio seeks to provide stable income with some potential for capital growth. Short-term fluctuation is expected in anticipation of a higher return.	Apex Dana Aslah Apex Quantum Fund Apex Dana Al-Faiz-I
Moderately Aggressive (23-30)	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).	Apex Dana Al-Sofi-I
Aggressive (31 and above)	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.	Apex Dynamic Fund Apex Malaysia Growth Trust Apex Asian (Ex Japan) Fund

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

Part 3: Declaration			
<p>Please tick (v) whichever applicable.</p> <p><input type="checkbox"/> A. We agree with the recommendation by consultant.</p> <p><input type="checkbox"/> B. We have decided to purchase another unlisted capital market product that is/are not recommended by the Consultant. <i>(please specify below)</i> (This could be in addition to the recommended funds)</p> <p>Name of Fund(s) that we wish to purchase but are not recommended by the Consultant, are:</p> <table border="1" style="width:100%; border-collapse: collapse;"> <tr><td>1. _____</td></tr> <tr><td>2. _____</td></tr> <tr><td>3. _____</td></tr> </table> <p><input type="checkbox"/> C. We decline to provide certain information required for product suitability assessment and that this may adversely affect our suitability assessment. <i>(Applicable for qualified investors only)</i></p> <p>The Consultant has explained and we have understood the features, nature, associated risks and terms and conditions of the relevant fund(s).</p> <p>All information disclosed/provided by us is true, complete and accurate. We understand our risk profile and the recommendation as prescribed in Part 3 above.</p> <p>We acknowledge receipt of the copy of the Product Highlight Sheet and the relevant Disclosure Document (e.g. Prospectus, Information Memorandum and including any supplemental thereof) which have been given to us.</p>	1. _____	2. _____	3. _____
1. _____			
2. _____			
3. _____			

<p>For Investor,</p> <p>Authorized Signatory Company's Stamp/Common Seal Date:</p>	<p>For Consultant,</p> <p>Signature: Name: Code: Date:</p>
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Category of Investors Qualifying Criteria		
High Net-Worth Individual	High Net-Worth Entity	Accredited Investor
<ul style="list-style-type: none"> An individual whose total net personal assets, or total net joint assets with his or her spouse, exceeds RM3 million or its equivalent in foreign currencies, excluding the value of the individual's primary residence An individual who has a gross annual income exceeding RM300,000 or its equivalent in foreign currencies per annum in the preceding 12 months An individual who, jointly with his or her spouse, has a gross annual income of RM400,000 or its equivalent in foreign currencies per annum in the preceding 12 months 	<ul style="list-style-type: none"> A corporation with total net assets exceeding RM10 million or its equivalent in foreign currencies based on the last audited accounts A partnership with total net assets exceeding RM10 million or its equivalent in foreign currencies A company that is registered as a trust company under the Trust Companies Act 1949 which has assets under management exceeding RM10 million or its equivalent in foreign currencies A corporation that is a public company under the Companies Act 1965 which is approved by the SC to be a trustee under the CMSA and has assets under management exceeding RM10 million or its equivalent in foreign currencies A pension fund approved by the Director General of Inland Revenue under the Income Tax Act 1967 A statutory body established by an Act of Parliament or an enactment of any State 	<ul style="list-style-type: none"> Central Bank of Malaysia established under the Central Bank of Malaysia Act 2009 A holder of a Capital Markets Services License An executive director or chief executive officer of a holder of a Capital Markets Services License A unit trust scheme or a prescribed investment scheme A closed end fund approved by the SC A licensed institution as defined in the Banking and Financial Institutions Act 1989 or an Islamic bank as defined in the Islamic Banking Act 1983 A Labuan bank as defined under the Labuan Financial Services and Securities Act 2010 An insurance company registered under the Insurance Act 1996 An insurance licensee licensed under the Labuan Financial Services and Securities Act 2010 A takaful licensee licensed under the Labuan Islamic Financial Services and Securities Act 2010 A takaful operator registered under the Takaful Act 1984 A private retirement scheme as defined in the CMSA

WARNING
YOU SHOULD NOT MAKE PAYMENT IN CASH TO A UNIT TRUST CONSULTANT OR ISSUE A CHEQUE IN THE NAME OF A UNIT TRUST CONSULTANT