

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 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.

SECTION A: DETAILS OF CORPORATION

1 Name of Corporation (as per Certificate of Incorporation)	
2 Certificate of Incorporation No.	
Source of Wealth	<input type="checkbox"/> Bank Borrowings <input type="checkbox"/> Working Capital <input type="checkbox"/> Company Earnings / Profit <input type="checkbox"/> Dividends <input type="checkbox"/> Proceeds from Disposal of Asset <input type="checkbox"/> Other, please specify _____

Does your company own net asset of more than RM10 million (or equivalent in foreign currency)? Yes No

Sophisticated Investor Declaration

- Yes, we hereby declare we are Sophisticated Investor because we fulfil the category of Sophisticated Investor.
- No, we hereby declare that we are not Sophisticated Investor because we do not fulfil any of the criteria of Sophisticated Investor.

Note: For details of Sophisticated Investor Category, please refer to appendix.

SECTION B: INVESTMENT RISK PREFERENCE

Your risk preference and investment purpose may determine the type of unlisted capital market products that is most suitable for you.






	SCORE
<p>Tell us about your company's latest audited profit:</p> <input type="checkbox"/> Less than RM0 (2.5) <input type="checkbox"/> RM0 - RM100,000 (5.0) <input type="checkbox"/> RM100,001 - RM500,000 (7.5) <input type="checkbox"/> RM500,001 - RM1,000,000 (10.0) <input type="checkbox"/> More than RM1,000,000 (12.5)	
<p>Which of the below best describe your company's investment objective and risk attitude towards the investment portfolio?</p> <input type="checkbox"/> Capital preservation is our primary goal* (10) <input type="checkbox"/> Capital preservation and income generation are our priority. We understand that there may be small fluctuations in the value of our investment portfolio (20) <input type="checkbox"/> We are looking for a balance between income generation and capital growth. We understand that there may be moderate fluctuations in the value of our investment portfolio (30) <input type="checkbox"/> Capital growth is our primary objective and income generation is our secondary objective. We understand that there may be high fluctuations in the value of our investment portfolio to meet our objective (40) <input type="checkbox"/> Capital growth is our only priority. We understand that there may be trade-off between extreme fluctuations in the value of our investment portfolio and the potential for higher returns (50)	
<p><i>*If this option is selected, your risk profile will be defaulted to "Very Low (G1)" regardless of the total score. Please note that you are still required to complete the rest of the questionnaire.</i></p>	
<p>The company have invested in the following capital market products: You may select more than one product</p> <input type="checkbox"/> Money Market Unit Trust Funds only <input type="checkbox"/> Direct Stocks <input type="checkbox"/> Unit Trust Funds <input type="checkbox"/> Structured Products / Derivatives / Options / Futures <input type="checkbox"/> Exchange Traded Funds <input type="checkbox"/> Other, please specify _____ <input type="checkbox"/> Direct Bonds	

	SCORE
<p>How many years have your company been investing in capital market products?</p> <p><input type="checkbox"/> Never invested before (2.5)</p> <p><input type="checkbox"/> Less than 1-year (5.0)</p> <p><input type="checkbox"/> More than 1-year, but less than 3-years (7.5)</p> <p><input type="checkbox"/> More than 3-years, but less than 5-years (10.0)</p> <p><input type="checkbox"/> More than 5-years (12.5)</p>	
<p>How long will your company hold its investment for:</p> <p><input type="checkbox"/> Less than 3-years (2.5) <input type="checkbox"/> Between 10 to 15 years (10.0)</p> <p><input type="checkbox"/> Between 3 to 5 years (5.0) <input type="checkbox"/> More than 15 years (12.5)</p> <p><input type="checkbox"/> Between 6 to 9 years (7.5)</p>	
<p>Please describe your company's dependence on this investment to meet obligations that might emerge from unforeseen circumstances.</p> <p><input type="checkbox"/> We will certainly need to redeem our investment to meet any unforeseen liquidity obligations. (2.5)</p> <p><input type="checkbox"/> We may need to redeem our investment to address some of the unforeseen liquidity obligations. (7.5)</p> <p><input type="checkbox"/> We will not need to access the invested capital to fulfill unexpected liquidity obligations. (12.5)</p>	
TOTAL SCORE	

**SECTION C: INVESTOR'S RISK PROFILE, PRODUCT AND BASIS OF RECOMMENDATION
(TO BE COMPLETED BY AUTHORISED UTC)**

- The investor is not well versed and has insufficient experience in investing in capital market products.
- The investor is well versed and/or experienced in investing in capital market products.

Having considered the information provided in this questionnaire, your investment purpose, and risk profile / tolerance, it is recommended that you invest in unit trust funds with the following product risk ratings:

Total Score	Your Risk Profile	Product Risk Rating
Up to 36 <input type="checkbox"/>	VERY LOW (G1) You have a very low tolerance towards investment risks, and potential capital losses. As such, you are more suitable for investment products that are likely to produce returns that are based on prevailing interest rates.	 Funds rated G1 only
Between 37 - 52 <input type="checkbox"/>	LOW (G2) You have a low tolerance towards investment risks, and potential capital losses. As such, you are more suitable for investment products that may potentially provide you with returns that are marginally higher than prevailing interest rates.	 Funds rated G1 - G2
Between 53 - 68 <input type="checkbox"/>	MODERATE (G3) You have a moderate tolerance for investment risks and potential capital losses. As such, you are more suitable for investment products that may potentially provide you with returns that are moderately higher than the prevailing interest rates.	 Funds rated G1 - G3
Between 69 - 84 <input type="checkbox"/>	HIGH (G4) You have a high tolerance for investment risks, and potential capital losses. As such, you are suitable for investment products that may potentially provide you with higher returns but may display high price fluctuations.	 Funds rated G1 - G4
Between 85 - 100 <input type="checkbox"/>	VERY HIGH (G5) You have a very high tolerance for investment risks, and potential capital losses. As such, you are suitable for investment products that may expose you to very high price fluctuations in return for potentially very high returns.	 Funds rated G1 - G5

SECTION D: INVESTOR'S DECLARATION

I / We hereby declare that:

- All information disclosed in this document is true, complete, and accurate.
- The adviser has explained, and I / We have understood the features and risks of the recommended products.
- I / We acknowledge receipt of a copy of the Product Highlights Sheet, and the disclosure document which have been given to me / us.

Based on the recommendation above, I / We hereby declare that:

- I / We agree with the product recommendation.
- I / We disagree with the product recommendation. My / our investment decisions are made without the recommendation of my / our consultant, and all my / our transactions are by execution only.

Signature (s) of Authorised Signatory (ies):

Date:

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

SECTION E: NON-PARTICIPATION (ONLY FOR HIGH NET-WORTH ENTITY)

- I / We do not agree to participate in this assessment.

Note: For details of High Net-worth Entities, please refer to appendix.

Signature (s) of Authorised Signatory (ies)

Date:

SECTION F: COMPULSORY FOR DISTRIBUTOR (AUTHORISED UTC)

Name of UTC (as per NRIC): _____

UTC Contact No.: _____

UTC Code: _____

Signature

Date:

APPENDIX

Updated Categories of Sophisticated Investors (For Entities) as of 05 February 2024

Category of Investors	Definition
A. Accredited Investor	<ol style="list-style-type: none">1. A unit trust scheme, private retirement scheme or prescribed investment scheme.2. Bank Negara.3. A licensed person or a registered person.4. An exchange holding company, a stock exchange, a derivatives exchange, an approved clearing house, a central depository, or a recognised market operator.5. 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 Malaysia ("SC").6. A bank licensee or an insurance licensee as defined under the Labuan Financial Services and Securities Act 2010 [Act 704].7. An Islamic bank licensee or a takaful licensee as defined under the Labuan Islamic Financial Services and Securities Act 2010 [Act 705].8. A chief executive officer or a director of any person referred to in paragraphs 3, 4, 5, 6 and 7 above.9. A closed-end fund approved by the SC.
B. High Net-worth Entities	<ol style="list-style-type: none">10. A company that is registered as a trust company under the Trust Companies Act 1949 and has assets under its management exceeding ten million ringgit or its equivalent in foreign currencies.11. A corporation that -<ol style="list-style-type: none">(a) is a public company under the Companies Act 2016 which is approved by the SC to be a trustee under the Act and has assets under its management, exceeding ten million ringgit or its equivalent in foreign currencies; or(b) is carrying on the regulated activity of fund management solely for the benefit of its related corporations and has assets under its management exceeding ten million ringgit or its equivalent in foreign currencies.12. A corporation with total net assets exceeding ten million ringgit or its equivalent in foreign currencies based on the last audited accounts.13. A partnership with total net assets exceeding ten million ringgit or its equivalent in foreign currencies.14. A statutory body established under any law whose function or mandate is investment in capital market products.15. A pension fund approved by the Director General of Inland Revenue under the Income Tax Act 1967.