

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.

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.

INVESTOR SUITABILITY ASSESSMENT FORM

FILE SPECIFIC INFORMATION

Date Undertaken / Date of Review	
Adviser's/ Unit Trust Consultant (UTC)'s Name	
Product Issuer	UOB Asset Management (Malaysia) Berhad
Name of Product <i>(fund name)</i>	
Category of Product <i>(fund category to follow Prospectus)</i>	

Part 1: Know Your Investor Process

Name (as per NRIC/ Passport) : _____

NRIC/ Passport No. : _____

Age at time of Recommendation : _____

Contact No. : _____

Email Address : _____

Investor's Details and Employment Status (Tick the relevant boxes)

1) Marital Status: <input type="checkbox"/> Single <input type="checkbox"/> Divorced <input type="checkbox"/> Others, please specify _____ <input type="checkbox"/> Married, Number of dependents _____
2) Employment Status: <input type="checkbox"/> Employed, Occupation _____ <input type="checkbox"/> Self Employed, Nature of business _____ <input type="checkbox"/> Unemployed <input type="checkbox"/> Others, please specify _____ <input type="checkbox"/> Retired _____
3) Education Qualifications: <input type="checkbox"/> SPM & below <input type="checkbox"/> STPM <input type="checkbox"/> Diploma <input type="checkbox"/> Degree <input type="checkbox"/> Professional (i.e. Doctor, Engineer, lawyer etc) <input type="checkbox"/> None of the above
4) Annual income (RM) <input type="checkbox"/> 30,000 & below <input type="checkbox"/> 30,001 - 60,000 <input type="checkbox"/> 60,001-120,000 <input type="checkbox"/> Above 120,000

Part 2: Investor’s Financial Situation

1) Monthly disposable income (RM)			
<input type="checkbox"/> 5,000 & below	<input type="checkbox"/> 5,001 – 8,000	<input type="checkbox"/> 8,001-15,000	<input type="checkbox"/> 15,001 & above
2) Total monthly commitment (RM)			
<input type="checkbox"/> 2,000 & below	<input type="checkbox"/> 2,001 – 5,000	<input type="checkbox"/> 5,001-10,000	<input type="checkbox"/> 10,001 & above
3) Percentage of investment of your net assets (exclude your residential property)			
<input type="checkbox"/> 10% & below	<input type="checkbox"/> 11%-20%	<input type="checkbox"/> 21%-30%	<input type="checkbox"/> 31%-40% <input type="checkbox"/> 41%-50% <input type="checkbox"/> 50% & above

Part 3: Investor’s Investment Knowledge Assessment

Current investment portfolio (if any)	
<input type="checkbox"/> Unit trust/PRS funds ____ years	<input type="checkbox"/> Trading on Bursa Malaysia ____ years
<input type="checkbox"/> Futures/Options/Other derivatives ____ years	<input type="checkbox"/> Property ____ years

Part 4: Investor’s Need Analysis

1. How long do you intend to invest your money?

- a) Less than 1 year
- b) 1 to 3 years
- c) 3 to 5 years
- d) 5 to 10 years
- e) More than 10 years

Investor	Points
	1
	2
	3
	4
	5

2. When do you expect to begin taking withdrawal(s) from your account?

- a) In less than 2 years
- b) In 2 to 4 years
- c) In 5 to 7 years
- d) In 8 to 10 years
- e) In 11 years or more

Investor	Points
	1
	2
	3
	4
	5

3. Which of the following best describe your purpose of investing?

- a) You are a retiree or not working and want a regular stream of income to maintain your lifestyle.
- b) You have some specific objectives within the next 5 years for which you want to save enough money or you are nearing retirement and you are investing to ensure you have sufficient funds available to enjoy your retirement.
- c) You have a lump sum (for example, an inheritance, company bonus or a lottery win) and you are uncertain about what secure investment alternatives are available.
- d) You are not nearing retirement, have surplus funds to invest and you are aiming to accumulate long term wealth from a balanced portfolio, comprising shares, property, fixed interest and cash.
- e) You are investing for growth in assets and is accumulating long term wealth.

Investor	Points
	1
	2
	3
	4
	5

4. What is your investment objective?

- a) Capital Preservation
- b) Income
- c) Capital Preservation & Income
- d) Income & Growth
- e) Growth

Investor	Points
	1
	2
	3
	4
	5

5. How would you react if your investments were to decline in value by 20% over a one-year period?

- a) Withdraw all my funds immediately and move them to bank deposits.
- b) Withdraw part of my money and move it to an alternative strategy.
- c) Wait until I recovered the 20% loss and then consider alternative strategies.
- d) Remain invested and follow the recommended strategy.
- e) Increase the amount invested if possible because the market has become cheaper.

Investor	Points
	1
	2
	3
	4
	5

6. Which statement best describes your understanding of financial markets and investments?

- a) I am not familiar and have little interest in them.
- b) I am not very familiar.
- c) I have had enough experience to understand the importance of diversification.
- d) I understand that markets may fluctuate and that different market sectors offers different growth .
- e) I am experienced with all investment sectors and understand the various factors that influence performance.

Investor	Points
	1
	2
	3
	4
	5

Recommendation

The following table indicates the attitude towards investment risk that a typical investor is expected to have based on the overall points determined from your responses to the questions above.

Score	Risk Profile	Description
6-14	Conservative	You are a low risk investor. It is compatible with investments that aim to provide capital preservation and income.
15-22	Moderate	You have some tolerance for risk. It is compatible with investments that aim to provide both regular income and capital appreciation.
23-30	Aggressive	You are willing to accept greater level of risk and accept possible principal loss. It is compatible with investments that aim to provide higher capital appreciation.

Based on the answers you have provided, your total points is _____.

Using the above definition, your general attitude towards investment risk is likely to be _____.

Basis of Recommendation:

Please comment if the recommended fund(s) is not matched with the investor's risk profile.

Remarks: _____

Part 5: Acknowledgement

Please tick to acknowledge the appropriate statement(s) provided below.

1	I confirm that all information disclosed is true, complete and accurate.	
2	I acknowledge receipt of a copy of the Product Highlights Sheet (PHS) and all relevant disclosure documents and the Authorised Unit Trust Consultant has explained clearly and I have understood the features and risks of the fund.	
3	I agree with the result of this suitability assessment and wish to proceed with the investment recommendation.	
4	I have decided to purchase into another category of fund(s) that does not match with my risk profile and I understand the different risks of the fund(s).	
5	I hereby acknowledge that I have received a copy of this Investor Suitability Assessment Form.	

 Investor's Signature
 Name :
 Date :

Section E: Sign Off By (for Authorised Unit Trust Consultant)

Name:	UTC's Signature:
Date:	
<u>WARNING</u> 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.	