

INVESTOR SUITABILITY ASSESSMENT FORM (CORPORATE)



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 suitable unlisted capital market products are recommended according to your investment needs and objectives.

IMPORTANT: Please complete this form and tick (✓) the box where applicable. **Any alterations made must be countersigned.**

SECTION 1: KNOW OUR PROFILE

- This is our first suitability assessment.
- We have done this suitability assessment before. Our last suitability assessment was dated
and the said assessment was rated as: Conservative Moderate Aggressive Opt-out

SECTION 2: PARTICULARS OF CORPORATE APPLICANT

Name of Corporation :

Company Registration No. :

Country of Incorporation :

Contact Person :

Contact Number :

E-mail Address :

SECTION 3: CATEGORY OF INVESTOR *(Please tick one option only.)*

Please indicate your category of investor:

Category	Investor	Tick
High-Net-Worth Entity	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 Commission to be a trustee under the Act 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 Section 150 of the Income Tax Act 1967.	
	A statutory body established by an Act of Parliament or an enactment of any State.	
Accredited Investor	Central Bank of Malaysia established under the Central Bank of Malaysia Act 2009.	
	A holder of Capital Markets Services Licence.	
	An executive director or chief executive officer of a holder of a Capital Markets Services Licence.	
	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.		
Retail Investor	Neither a high-net-worth entity nor accredited investor as defined above.	

SECTION 4: ASSESSMENT DECLARATION

- We are a **High-Net-Worth entity and choose to opt-out**. We wish to invest in the wholesale fund(s) and/or unit trust fund(s) of our choice and do **NOT** want to proceed with the suitability assessment questionnaire and investment product suggestions.
(Please proceed to Section 7).
- We are an **accredited investor** and will **NOT** proceed with the suitability assessment and investment product suggestions.
(Please proceed to Section 7).
- We are a High-Net-Worth entity, accredited investor or retail investor. We **will proceed** with the suitability assessment questionnaire and investment product suggestions.

SECTION 5: SUITABILITY ASSESSMENT QUESTIONNAIRE *(Please circle one option per question.)*

- 1) The information provided in this suitability assessment is strictly confidential and serves as a GUIDE for the purpose of fact finding in the process of assessing your company's risk tolerance level.
- 2) This suitability assessment recommendation is valid for 2 years from the date of this suitability assessment form. However, you may request to re-assess your company's risk profile with your financial advisor / CMSRL holder / UTC from time-to-time to meet your company's latest investment objective.
- 3) This suitability assessment need not be conducted if the investor tops-up the investment in an existing fund where the suitability assessment has been conducted before.

<p>1) What is your company's primary investment objective?</p> <table style="width: 100%;"> <tr><td>a) Capital Preservation</td><td style="text-align: right;">1</td></tr> <tr><td>b) Income</td><td style="text-align: right;">2</td></tr> <tr><td>c) Growth / Capital Gain</td><td style="text-align: right;">3</td></tr> <tr><td>d) Aggressive Growth</td><td style="text-align: right;">4</td></tr> </table>	a) Capital Preservation	1	b) Income	2	c) Growth / Capital Gain	3	d) Aggressive Growth	4	<p>2) How long has your company been investing (in general)?</p> <table style="width: 100%;"> <tr><td>a) Nil</td><td style="text-align: right;">1</td></tr> <tr><td>b) Less than 1 year</td><td style="text-align: right;">2</td></tr> <tr><td>c) 1 to 3 years</td><td style="text-align: right;">3</td></tr> <tr><td>d) More than 3 years</td><td style="text-align: right;">4</td></tr> </table>	a) Nil	1	b) Less than 1 year	2	c) 1 to 3 years	3	d) More than 3 years	4														
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<p>3) Currently, we are mostly invested in...</p> <table style="width: 100%;"> <tr><td>a) Cash / Fixed Deposits (FDs)</td><td style="text-align: right;">1</td></tr> <tr><td>b) Fixed Income Securities</td><td style="text-align: right;">2</td></tr> <tr><td>c) Properties</td><td style="text-align: right;">3</td></tr> <tr><td>d) Equities / Derivatives</td><td style="text-align: right;">4</td></tr> </table>	a) Cash / Fixed Deposits (FDs)	1	b) Fixed Income Securities	2	c) Properties	3	d) Equities / Derivatives	4	<p>4) How many years does your company intend to invest in OpusAM?</p> <table style="width: 100%;"> <tr><td>a) Less than 1 year</td><td style="text-align: right;">1</td></tr> <tr><td>b) 1 to 3 years</td><td style="text-align: right;">2</td></tr> <tr><td>c) 3 to 5 years</td><td style="text-align: right;">3</td></tr> <tr><td>d) More than 5 years</td><td style="text-align: right;">4</td></tr> </table>	a) Less than 1 year	1	b) 1 to 3 years	2	c) 3 to 5 years	3	d) More than 5 years	4														
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<p>5) What sort of returns/losses does your company expect from your investments (per annum)?</p> <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 5%;"></th> <th style="width: 20%;">Best Scenario</th> <th style="width: 20%;">Average</th> <th style="width: 20%;">Worst Scenario</th> <th style="width: 10%;"></th> <th style="width: 15%;">Score</th> </tr> </thead> <tbody> <tr><td>a)</td><td>8%</td><td>4%</td><td>0%</td><td></td><td style="text-align: right;">1</td></tr> <tr><td>b)</td><td>12%</td><td>8%</td><td>-5%</td><td></td><td style="text-align: right;">2</td></tr> <tr><td>c)</td><td>18%</td><td>12%</td><td>-10%</td><td></td><td style="text-align: right;">3</td></tr> <tr><td>d)</td><td>25%</td><td>18%</td><td>-20%</td><td></td><td style="text-align: right;">4</td></tr> </tbody> </table>			Best Scenario	Average	Worst Scenario		Score	a)	8%	4%	0%		1	b)	12%	8%	-5%		2	c)	18%	12%	-10%		3	d)	25%	18%	-20%		4
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Total Score

Suitability Assessment – Corporate Risk Tolerance Matrix

Risk Profiling Total Score	5 – 10	11 – 15	16 – 20
Risk Tolerance	CONSERVATIVE	MODERATE	AGGRESSIVE
Tick (√)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>

SECTION 6: FINANCIAL ADVISOR / CMSRL HOLDER / UTC RECOMMENDATION

Low risk funds have the lowest volatility, whereas high risk funds may bring substantial losses to your capital.

High Risk	Medium Risk	Low Risk
1.	1.	1.
2.	2.	2.
3.	3.	3.

SECTION 7: INVESTOR'S PROFILE *(Only applicable for investors who choose to opt-out.)*

(Please tick (√) where appropriate.)

- | | |
|--|---|
| <p>1) What is your company's investment objective?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Capital Preservation <input type="checkbox"/> Income <input type="checkbox"/> Growth / Capital Gain <input type="checkbox"/> Aggressive Growth | <p>2) What is your company's tolerance towards investment risk?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Conservative <input type="checkbox"/> Moderate <input type="checkbox"/> Aggressive |
| <p>3) How long has your company been investing (in general)?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Nil <input type="checkbox"/> Less than 1 year <input type="checkbox"/> 1 to 3 years <input type="checkbox"/> More than 3 years | <p>4) How many years does your company intend to invest in OpusAM?</p> <ul style="list-style-type: none"> <input type="checkbox"/> Less than 1 year <input type="checkbox"/> 1 to 3 years <input type="checkbox"/> 3 to 5 years <input type="checkbox"/> More than 5 years |

SECTION 8: DECLARATION (Please tick (✓) where appropriate.)

We hereby declare and confirm that:

1. All information disclosed in this suitability assessment form is true, complete and accurate.
2. My Unit Trust Consultant (UTC) has shown me his/her valid Federation of Investment Managers Malaysia (FiMM) authorisation card. [For Unit Trust product recommendations only.]
3. We have understood the features and risks of the category(ies) of recommended fund(s) as suitable for us based on the assessment and shall bear full responsibility for our investment decision.

OR

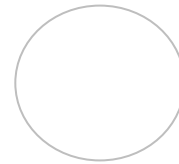
- We have understood the features and risks of the category(ies) of recommended fund(s) as suitable for us based on the assessment / We have **CHOSEN TO OPT-OUT**.
We have decided to purchase other fund(s) based on our own judgment / preference which is not recommended as suitable for us. We shall bear full responsibility for our investment decision and have understood the features and risks of the fund(s) that we intend to invest in as follows:

- i. Fund Name: _____ ii. Fund Name: _____

4. We acknowledge receipt a copy of the abovementioned fund(s) Product Highlights Sheet and the disclosure document which has been given to us.

A scanned copy of the duly completed suitability assessment form and application form will be sent to your stated correspondence e-mail address(es) within 3 business days together with the confirmation of investment, upon submission of the duly completed application documents as stipulated in the respective fund's disclosure documents.

Authorised Signatory(ies):



Name:

Designation:

Date:

Name:

Designation:

Date:

Please Affix Company Stamp

SECTION 9: LICENSE HOLDER* DECLARATION (FOR DISTRIBUTOR AND OPUSAM USE ONLY)

** License Holder refers to CMSRL Holder / Unit Trust Consultants*

I have explained to the investor the features and risks of investing in the abovementioned fund(s) and provided the necessary documentation as listed above.

OpusAM / Distributor's License Holder's Signature:

Name:

Company Name:

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 PRODUCTS.