

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. :

SECTION 3: CATEGORY OF INVESTOR (Please refer to Appendix for Sophisticated Investor Category)

We hereby declare

- We are Sophisticated Investor under the Category Code
- We are not a Sophisticated Investor as defined in the Sophisticated Investor Category.

SECTION 4: ASSESSMENT DECLARATION

- We are a **High-Net-Worth entity or accredited investor and choose to opt-out**. We will **NOT** proceed with the suitability assessment questionnaire and investment product recommendations.
(Please proceed to Section 7).
- We **will proceed** with the suitability assessment questionnaire and investment product recommendations.

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

- The information provided in this suitability assessment is strictly confidential and serves as a GUIDANCE ONLY for the purpose of fact finding in the process of assessing your company's risk tolerance level.
- 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 / Unit Trust Consultant (UTC) from time-to-time to meet your company's latest investment objective.
- 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> <p>a) Capital Preservation 1</p> <p>b) Income 2</p> <p>c) Growth / Capital Gain 3</p> <p>d) Aggressive Growth 4</p>	<p>2) How long has your company been investing (in general)?</p> <p>a) Nil 1</p> <p>b) Less than 1 year 2</p> <p>c) 1 to 3 years 3</p> <p>d) More than 3 years 4</p>																									
<p>3) Currently, we are mostly invested in...</p> <p>a) Cash / Fixed Deposits (FDs) 1</p> <p>b) Fixed Income Securities 2</p> <p>c) Properties 3</p> <p>d) Equities / Derivatives 4</p>	<p>4) How many years does your company intend to invest in OpusAsset?</p> <p>a) Less than 1 year 1</p> <p>b) 1 to 3 years 2</p> <p>c) 3 to 5 years 3</p> <p>d) More than 5 years 4</p>																									
<p>5) What sort of returns/losses does your company expect from your investments (per annum)?</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th></th> <th>Best Scenario</th> <th>Average</th> <th>Worst Scenario</th> <th>Score</th> </tr> </thead> <tbody> <tr> <td>a)</td> <td>8%</td> <td>4%</td> <td>0%</td> <td>1</td> </tr> <tr> <td>b)</td> <td>12%</td> <td>8%</td> <td>-5%</td> <td>2</td> </tr> <tr> <td>c)</td> <td>18%</td> <td>12%</td> <td>-10%</td> <td>3</td> </tr> <tr> <td>d)</td> <td>25%</td> <td>18%</td> <td>-20%</td> <td>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.)

- 1) What is your company’s investment objective?
 - Capital Preservation
 - Income
 - Growth / Capital Gain
 - Aggressive Growth
- 2) What is your company’s tolerance towards investment risk?
 - Conservative
 - Moderate
 - Aggressive
- 3) How long has your company been investing (in general)?
 - Nil
 - Less than 1 year
 - 1 to 3 years
 - More than 3 years
- 4) How many years does your company intend to invest?
 - Less than 1 year
 - 1 to 3 years
 - 3 to 5 years
 - More than 5 years

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

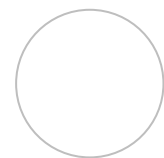
We hereby declare and confirm that:

- 1. All information disclosed in this suitability assessment form is true, complete and accurate.
- 2. The Unit Trust Consultant (UTC) which is registered under Opus Asset Management Sdn Bhd [Registration No. 199601042272 (414625-T)] has shown me/us his/her active and valid digital authorisation on Federation of Investment Managers Malaysia (FIMM) via website <https://www.fimm.com.my>.
- 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):

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Name:	Name:
Designation:	Designation:
Date:	Date:



Please Affix Company Stamp

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

* License Holder refers to CMSRL Holder / Unit Trust Consultants

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

OpusAsset / Distributor’s License Holder’s Signature:

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.

Name
Company Name
Date: