

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.

SECTION 1: KNOW OUR PROFILE

Note : Please tick (✓) where appropriate.

- 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 Others: Opt out

SECTION 2: CATEGORY OF INVESTOR

Please indicate your category of investor:

Category	Investors	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.	<input type="checkbox"/>
	A partnership with total net assets exceeding RM10 million or its equivalent in foreign currencies.	<input type="checkbox"/>
	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.	<input type="checkbox"/>
	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.	<input type="checkbox"/>
	A pension fund approved by the Director General of Inland Revenue under Section 150 of the Income Tax Act 1967.	<input type="checkbox"/>
	A statutory body established by an Act of Parliament or an enactment of any State.	<input type="checkbox"/>
Accredited Investor	Central Bank of Malaysia established under the Central Bank of Malaysia Act 2009.	<input type="checkbox"/>
	A holder of Capital Markets Services Licence.	<input type="checkbox"/>
	An executive director or chief executive officer of a holder of a Capital Markets Services Licence.	<input type="checkbox"/>
	A unit trust scheme or a prescribed investment scheme.	<input type="checkbox"/>
	A closed end fund approved by the SC.	<input type="checkbox"/>
	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.	<input type="checkbox"/>
	A Labuan bank as defined under the Labuan Financial Services and Securities Act 2010.	<input type="checkbox"/>
	An insurance company registered under the Insurance Act 1996.	<input type="checkbox"/>
	An insurance licensee licensed under the Labuan Financial Services and Securities Act 2010.	<input type="checkbox"/>
	A takaful licensee licensed under the Labuan Islamic Financial Services and Securities Act 2010.	<input type="checkbox"/>
	A takaful operator registered under the Takaful Act 1984.	<input type="checkbox"/>
A private retirement scheme as defined in the CMSA.	<input type="checkbox"/>	
Retail Investor	Neither high net-worth entity nor accredited investor as defined above.	<input type="checkbox"/>

SECTION 3: PARTICULARS OF CORPORATE APPLICANT

Business Registration No.	
Name of Company	
Contact person	
Contact number	
Fax number	
Email address	
Country of Incorporation	

SECTION 4: ASSESSMENT OPTION

Assessment Declaration

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

SECTION 5: SUITABILITY ASSESSMENT QUESTIONNAIRE

Note:

- 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 company 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 risk profile with your financial advisor / CMSRL holder / UTC from time to time to meet your company latest investment objective.
- 3) This suitability assessment need not be conducted if the investor tops-up investment in an existing fund where a suitability assessment has been conducted before.

(A) Risk Profiling

1) When come to investing, we want.....	Score
a) Our money to be 100% safe.	1
b) To earn a stable and regular stream of income. We can accept occasional losses.	2
c) A balance of capital growth and regular income. We are to accept a fair amount of investment risk.	3
d) To take a large amount of risk in order to achieve potential high capital growth.	4

2) Currently, most of the money we have are invested in:	Score
a) Cash/Fixed deposits	1
b) Unit trust funds	2
c) Properties	3
d) Stocks/Options/Futures	4

3) How long does your company plan to invest the money for?	Score
a) Less than 1 year	1
b) Between 1 to 3 years	2
c) Between 3 to 5 years	3
d) More than 5 years	4

4) In a period of 3 years, what sort of return/losses does the company expect to gain given investment of RM100,000?	Score															
a) <table border="1" style="display: inline-table; border-collapse: collapse;"> <thead> <tr> <th>Best Scenario</th> <th>Average</th> <th>Worst Scenario</th> </tr> </thead> <tbody> <tr> <td>15%</td> <td>3.5%</td> <td>-5%</td> </tr> <tr> <td>40%</td> <td>5.5%</td> <td>-15%</td> </tr> <tr> <td>55%</td> <td>12%</td> <td>-40%</td> </tr> <tr> <td>140%</td> <td>17.5%</td> <td>-60%</td> </tr> </tbody> </table>	Best Scenario	Average	Worst Scenario	15%	3.5%	-5%	40%	5.5%	-15%	55%	12%	-40%	140%	17.5%	-60%	1
Best Scenario	Average	Worst Scenario														
15%	3.5%	-5%														
40%	5.5%	-15%														
55%	12%	-40%														
140%	17.5%	-60%														
b)	2															
c)	3															
d)	4															

5) What if, the company have a well diversified investment portfolio which is not meant for use until another 10 years, but due to the market downturn, it experiences 20% losses?	Score
a) We will liquidate the whole portfolio and place it in fixed deposit.	1
b) We will liquidate 50% of my portfolio and leave the balance invested.	2
c) We will let the portfolio fluctuate according to market condition.	3
d) We will invest more in this portfolio.	4

6) What is your company year(s) of experience in investing?	Score
a) Nil	1
b) Less than 1 year	2
c) 1 to 3 years	3
d) More than 3 years	4

Total score on Risk Profiling (Q1 + Q2 + Q3 + Q4 + Q5 + Q6) =

(B) Investment Objective and Experience *(please tick (✓) where appropriate)*

7) What is your company's investment objective?	8) Our company has investment experience in the following:
<input type="checkbox"/> Capital preservation	<input type="checkbox"/> Fixed income securities
<input type="checkbox"/> Income	<input type="checkbox"/> Equities
<input type="checkbox"/> Growth/Capital gain	<input type="checkbox"/> Derivatives
<input type="checkbox"/> Others _____	<input type="checkbox"/> Others _____

YOUR SCORE			
Suitability Assessment - Corporate Risk Tolerance			
Risk Profiling Total Score	6 – 11	12 – 17	18 – 24
Risk profile	Conservative	Moderate	Aggressive
Matrix of Suitability Assessment Category			
Tick (✓)	Category	Type of Funds	Description
<input type="checkbox"/>	CONSERVATIVE	100% Low Risk Funds	You are a conservative investor who is looking for low risk investment and at the same time preservation of capital is very important to you. You are prepared to sacrifice higher returns for peace of mind. You are advised to invest in Low Risk Fund.
<input type="checkbox"/>	MODERATE	50% Low Risk Funds 50% Medium Risk Funds	You are a balanced investor who can accept some risks to your capital. You require an investment that has some potential to grow in value over the medium-to-long term. You are advised to invest only in Low & Medium Risk Fund.
<input type="checkbox"/>	AGGRESSIVE	80% Medium & High Risk Funds 20% Low Risk Funds	You seek capital growth over the long-term and are prepared to accept higher amount of risk of your potential capital appreciation. You are advised to invest in any Low, Medium & High Risk Fund.

SECTION 6: RECOMMENDATIONS

Financial Advisor / CMSRL holder / UTC Recommendations		
High Risk	Medium Risk	Low Risk
<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____
<input type="checkbox"/> _____	<input type="checkbox"/> _____	<input type="checkbox"/> _____

Note: Low risk fund has the lowest volatility whereas high risk fund may bring substantial losses to your capital.

SECTION 7: INVESTOR'S PROFILE (Only applicable to investor who choose to opt-out)

1) What is your company's investment objective?	2) What is your company tolerance towards investment risk?
<input type="checkbox"/> Capital preservation	<input type="checkbox"/> Conservative
<input type="checkbox"/> Income	<input type="checkbox"/> Moderate
<input type="checkbox"/> Growth/Capital gain	<input type="checkbox"/> Aggressive
<input type="checkbox"/> Others _____	
3) What is your company year(s) of experience in investing?	4) Our company has investment experience in the following:
<input type="checkbox"/> Nil	<input type="checkbox"/> Fixed income securities
<input type="checkbox"/> Less than 1 year	<input type="checkbox"/> Equities
<input type="checkbox"/> 1 to 3 years	<input type="checkbox"/> Derivatives
<input type="checkbox"/> More than 3 years	<input type="checkbox"/> Others _____
5) How long does your company plan to invest the money for?	
<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	

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SECTION 8: ACKNOWLEDGEMENT

Investor's Acknowledgement *[please tick (✓) where appropriate]*

1. We confirm that all information disclosed in this suitability assessment form is true, complete and accurate.
2. We have understood the features and risks of the category(ies) of fund(s) recommended as suitable for us based on the assessment and shall bear full responsibility for our investment decision.

OR

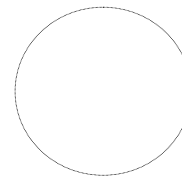
 We have understood the features and risk of the category(ies) of fund(s) recommended as suitable for us based on the assessment. However, we have decided to purchase other fund(s) based on our own judgment/preference which is not recommended as suitable for us. We shall bear full responsibility for our investment decision and have understood the features and risks of the fund(s) that we intend to invest as follows:
 1) Fund's name: _____
 2) Fund's name: _____

OR

 We have **CHOSEN TO OPT OUT**. We have decided to purchase fund(s) based on our own judgment/preference and shall bear full responsibility for our investment decision. We further acknowledge that we have understood the features and risks of the fund(s) that we intend to invest as follows:
 1) Fund's name: _____
 2) Fund's name: _____
3. We acknowledged receipt a copy of the abovementioned Fund(s) product highlights sheet.
4. We acknowledged receipt a copy of this duly completed and signed suitability assessment form.

Signature: _____

Name: _____
 Designation: _____
 Date: _____



Company's Stamp

Financial Advisor / CMSRL holder / UTC Acknowledgement:

- I have explained to the investor the features and risks of investing in the abovementioned fund(s);
- I have given to the investor a copy of the abovementioned fund(s) product highlights sheet; and
- I have given a copy of this duly completed and signed suitability assessment form to the investor.

Distributor's UTC / Financial Advisor Signature: _____

OpusAM's CMSRL holder / UTC Signature: _____

Name: _____
 Company's Name: _____
 Date: _____

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.

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