Astute
Fund Management

INVESTOR SUITABILITY ASSESSMENT FORM **(INDIVIDUAL)**

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. THE CONSULTANT/DISTRIBUTOR WILL NOT BE HELD LIABLE IN SUCH A CASE FOR INACCURATE INFORMATION GIVEN.

WARNING: The recommendation is made based on information obtained from the suitability. Investors are advised to exercise judgement in making an informed decision in relation to the unlisted capital market product.

Part 1: Investor's Details

☐ New Investor ☐ Existing (To specify Acc. No): ____________________________

Client's Name	
NRIC/Passport/Others	
Nationality	
Source of Income	☐ Employment ☐ Inheritance ☐ Business ☐ Others, please specify :

Part 2: Investment and Financial Profile

1.	Your current age: -				
		☐ 60 & above	☐ 45-59	☐ 30-44	☐ 18-29
2.	Your annual income: -				
		☐ < RM50,000	☐ RM50,001 - 100,000	☐ RM 100,001 – 299,999	☐ > RM 300,000
3.	Your latest estimated asset: -				
		☐ < RM 100,000	☐ RM 100,000 – 999,999	☐ RM 1,000,000 – 2,999,999	☐ > RM 3,000,000
4.	Your latest estimated liability: -				
		☐ > RM1,000,000	☐ RM 500,000 – 1,000,000	☐ RM 100,001- 500,000	☐ RM 0 – 100,000
5.	Your investment objective: -				
		☐ Capital preservation	☐ Balanced	☐ Income & Growth	☐ Growth
6.	How long will you hold investment for?				
		☐ < 1 year	☐ 1 – 3 years	☐ 3 – 5 years	☐ > 5 years

Part 3: Investor's Risk Profile

						Score
1.	I understand market risk and am willing to accept capital reduction in my investments.					
		☐ Strongly Agree (4)	☐ Agree (3)	☐ Neutral (2)	☐ Disagree (1)	
2.	I am comfortable with taking more risks to potentially earn a higher return.					
		☐ Strongly Agree (4)	☐ Agree (3)	☐ Neutral (2)	☐ Disagree (1)	
3.	I am comfortable investing in listed shares.					
		☐ Strongly Agree (4)	☐ Agree (3)	☐ Neutral (2)	☐ Disagree (1)	
4.	I am willing to tolerate more than 20% of potential fluctuations in my capital invested.					
		☐ Strongly Agree (4)	☐ Agree (3)	☐ Neutral (2)	☐ Disagree (1)	
5.	I do not have any funding needs which will require me to redeem my investments in the short term.					
		☐ Strongly Agree (4)	☐ Agree (3)	☐ Neutral (2)	☐ Disagree (1)	
6.	My investment span for a product can be as long as 10 years.					
		☐ Strongly Agree (4)	☐ Agree (3)	☐ Neutral (2)	☐ Disagree (1)	
7.	I am not reliant on my investment returns to meet my monthly obligations and needs.					
		☐ Strongly Agree (4)	☐ Agree (3)	☐ Neutral (2)	☐ Disagree (1)	
8.	Your investment experience: -					
	Unit Trust Funds	☐ >5 years (4)	☐ 1 – 4 years (3)	☐ < 1 year (2)	☐ No experience (1)	
	Equities	☐ >5 years (4)	☐ 1 – 4 years (3)	☐ < 1 year (2)	☐ No experience (1)	
	Bonds	☐ >5 years (4)	☐ 1 – 4 years (3)	☐ < 1 year (2)	☐ No experience (1)	
	Derivatives:	☐ >5 years (4)	☐ 1 – 4 years (3)	☐ < 1 year (2)	☐ No experience (1)	
	Average score:	________________				
Total Score						

Part 4: Investor's Risk Tolerance Matrix

Risk Profiling Total Score	8 - 14	15 - 21	22 - 27	28 and above
Risk Tolerance	Conservative	Moderate	Moderately Aggressive	Aggressive
Tick (√)	☐	☐	☐	☐
Description *(Refer Appendix I for list of Funds)*	This portfolio seeks to preserve capital and generate a regular income stream over time, with capital growth being of secondary importance. It is expected to be more stable in portfolio value compared to other more aggressive portfolios.	This portfolio seeks to provide stable income with some potential for capital growth. Short-term fluctuation is expected in anticipation of a higher return.	This portfolio aims to generate capital growth. A fair level of fluctuations is expected in return of possible higher returns with some level of income (if any).	This portfolio aims to generate long-term capital growth. Significant fluctuations may be expected in the short-term in anticipation of the highest possible return over the long-term.

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Part 5: Recommendation

To be completed by Consultant/Distributor

(Refer Appendix I for list of Funds)
I recommended the following fund(s) to the investor

☐ Yes ☐ No

Fund Name (If you tick Yes):
1.____
2.____
3.____

If **YES**, I recommended the fund(s) because (multiple answers allowed)
☐ Suitable to investor's risk profile
☐ In line with investor's investment objective and investment horizon
☐ Complements investor's portfolio of products to meet his/her financial goal
☐ Others: (please specify): ____________________________

If **NO**, the reason for the non-recommendation (multiple answers allowed)
☐ Not suitable for investor's risk profile
☐ Not in line with investor's objective and investment horizon
☐ Others: (please specify): ____________________________

Part 6: Declaration by Investor

Please tick (√) whichever applicable.

A. All information disclosed/provided by me is true, complete and accurate.
B. The consultant/distributor has explained and I understood the features, nature, associated risks and conditions of the recommended fund(s) as suitable for me based on the assessment and I shall bear full responsibility for my investment decision
☐ C. I have decided to purchase another unit trust fund(s) that is/are not recommended by the consultant/distributor. I shall bear full responsibility for my Investment decision and have understood the features and risks of the funds(s) that I intend to invest. (This could be in addition to the recommended funds)

The name of fund(s) is:

1.
2.
3.

☐ D. I acknowledge receipt of the copy of the Product Highlight Sheet and the relevant Disclosure Document (e.g. Prospectus, Information Memorandum and including any Supplemental thereof) which have been given to me.
☐ E. I have previously completed suitability assessment and there has been no material change in the information provided.

For Client,	For Consultant/Distributor,
Signature of Client Date:	Signature: Name: Code: Date:

APPENDIX I – LIST OF FUNDS AND RISK CATEGORY *(List of Funds as at 28 February 2022)*

Risk Category	Conservative	Moderate	Moderately Aggressive	Aggressive
List of funds based on risk category	Astute Dana Al-Kanz	Astute Dana Aslah	Astute Dana Al-Sofi-I	Astute Dynamic Fund
		Astute Quantum Fund		Astute Malaysia Growth Trust
		Astute Dana Al-Faiz-I		Astute Asian (Ex Japan) Fund
		Astute Dividend Maximiser Fund*		

**For Sophisticated Investors Only*

WARNING
YOU SHOULD NOT MAKE PAYMENT IN CASH TO A UNIT TRUST CONSULTANT OR ISSUE A CHEQUE IN THE NAME OF A UNIT TRUST CONSULTANT