

## INVESTOR SUITABILITY ASSESSMENT FORM (NON-INDIVIDUAL)

**Note:** Please complete in CAPITAL LETTERS and BLACK INK only. Any alteration made must be countersigned.

THIS INVESTOR SUITABILITY ASSESSMENT FORM (NOT APPLICABLE FOR ACCREDITED INVESTOR) 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. 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): \_\_\_\_\_

Date	
Name of Corporation	
Registration No	

**Part 2: Category of Investor**

Category	Investor	Tick
<b>High Net Worth Entity</b>	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 2016 which is approved by the SC to be a trustee under the CMSA 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 the Income Tax Act 1967.	
	A statutory body established by an Act of Parliament or an enactment of any State.	
<b>Accredited Investor</b>	Central Bank of Malaysia established under the Central Bank of Malaysia Act 2009.	
	A holder of a Capital Markets Services License.	
	A unit trust scheme or a prescribed investment scheme.	
	A closed-end fund approved by the SC.	
	A licensed bank as defined in the Financial Services Act 2013 or a licensed Islamic bank as defined in the Islamic Financial Services Act 2013.	
	A Labuan bank as defined in the Labuan Financial Services and Securities Act 2010.	
	A licensed insurer as defined in the Financial Services Act 2013.	
	An insurance licensee as defined in the Labuan Financial Services and Securities Act 2010.	
	A takaful licensee as defined in the Labuan Islamic Financial Services and Securities Act 2010.	
A licensed takaful operator as defined in the Islamic Financial Services Act 2013.		
A private retirement scheme as defined in the CMSA.		
<b>Retail Investor</b>	Neither a high net worth entity nor accredited investor as defined above.	

**Part 3: Investor's Need Analysis/Risk Profiling** **Score**

1.	Preferred asset allocation: - <input type="checkbox"/> 100% in liquid investment/or money market (1) <input type="checkbox"/> A balanced portion in liquid investment and equities (2) <input type="checkbox"/> 100% in equities (3)																					
2.	Company's latest audited asset: - <input type="checkbox"/> < RM 1,000,000 (1) <input type="checkbox"/> RM 1,000,000 – 4,999,999 (2) <input type="checkbox"/> RM 5,000,000 – 9,999,999 (3) <input type="checkbox"/> RM 10,000,000 > (4)																					
3.	Company's latest estimated liability: - <input type="checkbox"/> RM 10,000,000 > (1) <input type="checkbox"/> RM 5,000,000 – 9,999,999 (2) <input type="checkbox"/> RM 1,000,000 – 4,999,999 (3) <input type="checkbox"/> < RM 1,000,000 (4)																					
4.	Your investment objective: - <input type="checkbox"/> Capital preservation (1) <input type="checkbox"/> Balanced (2) <input type="checkbox"/> Income & Growth (3) <input type="checkbox"/> Growth (4)																					
5.	How long will your company hold investment for? <input type="checkbox"/> Less than 3 years (1) <input type="checkbox"/> 3 to 5 years (2) <input type="checkbox"/> More than 5 years (3)																					
6.	Company's expectation of annualized gain: - <input type="checkbox"/> 0-4 % (1) <input type="checkbox"/> 4-6 % (2) <input type="checkbox"/> 6-8 % (3) <input type="checkbox"/> 8-12 % (4) <input type="checkbox"/> 12 % and above (5)																					
7.	Your risk tolerance: - <input type="checkbox"/> Capital preservation is very important (1) <input type="checkbox"/> Capital preservation is our objective but I can accept some capital reduction (2) <input type="checkbox"/> We understand market risk and willing to accept capital reduction in our investment (3)																					
8.	Your investment experience: - <table style="width: 100%; border: none;"> <tr> <td style="width: 20%;">Unit Trust Funds</td> <td style="width: 20%;"><input type="checkbox"/> &gt;5 years (4)</td> <td style="width: 20%;"><input type="checkbox"/> 1 – 4 years (3)</td> <td style="width: 20%;"><input type="checkbox"/> &lt; 1 year (2)</td> <td style="width: 20%;"><input type="checkbox"/> No experience (1)</td> </tr> <tr> <td>Equities</td> <td><input type="checkbox"/> &gt;5 years (4)</td> <td><input type="checkbox"/> 1 – 4 years (3)</td> <td><input type="checkbox"/> &lt; 1 year (2)</td> <td><input type="checkbox"/> No experience (1)</td> </tr> <tr> <td>Bonds</td> <td><input type="checkbox"/> &gt;5 years (4)</td> <td><input type="checkbox"/> 1 – 4 years (3)</td> <td><input type="checkbox"/> &lt; 1 year (2)</td> <td><input type="checkbox"/> No experience (1)</td> </tr> <tr> <td>Derivatives:</td> <td><input type="checkbox"/> &gt;5 years (4)</td> <td><input type="checkbox"/> 1 – 4 years (3)</td> <td><input type="checkbox"/> &lt; 1 year (2)</td> <td><input type="checkbox"/> No experience (1)</td> </tr> </table> Average score: _____	Unit Trust Funds	<input type="checkbox"/> >5 years (4)	<input type="checkbox"/> 1 – 4 years (3)	<input type="checkbox"/> < 1 year (2)	<input type="checkbox"/> No experience (1)	Equities	<input type="checkbox"/> >5 years (4)	<input type="checkbox"/> 1 – 4 years (3)	<input type="checkbox"/> < 1 year (2)	<input type="checkbox"/> No experience (1)	Bonds	<input type="checkbox"/> >5 years (4)	<input type="checkbox"/> 1 – 4 years (3)	<input type="checkbox"/> < 1 year (2)	<input type="checkbox"/> No experience (1)	Derivatives:	<input type="checkbox"/> >5 years (4)	<input type="checkbox"/> 1 – 4 years (3)	<input type="checkbox"/> < 1 year (2)	<input type="checkbox"/> No experience (1)	
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<b>Total Score</b>																						

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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 (✓)	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>	<input type="checkbox"/>
Description <i>(Refer Appendix I for list of Funds)</i>	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.

Part 5: Recommendation	
<b>To be completed by Consultant/Distributor</b>	
<p><i>(Refer Appendix I for list of Funds)</i></p> <p><b>I recommended the following fund(s) to the investor</b></p> <p><input type="checkbox"/> Yes      <input type="checkbox"/> No</p> <p><b>Fund Name (If you tick Yes):</b></p> <p>1. _____</p> <p>2. _____</p> <p>3. _____</p>	<p><b>If YES, I recommended the fund(s) because (multiple answers allowed)</b></p> <p><input type="checkbox"/> Suitable to investor's risk profile</p> <p><input type="checkbox"/> In line with investor's investment objective and investment horizon</p> <p><input type="checkbox"/> Complements investor's portfolio of products to meet his/her financial goal</p> <p><input type="checkbox"/> Others: (please specify): _____</p> <p><b>If NO, the reason for the non-recommendation (multiple answers allowed)</b></p> <p><input type="checkbox"/> Not suitable for investor's risk profile</p> <p><input type="checkbox"/> Not in line with investor's objective and investment horizon</p> <p><input type="checkbox"/> Others: (please specify): _____</p>

Part 6: Declaration by Investor			
<p><b>Please tick (✓) whichever applicable.</b></p> <p>A. All information disclosed/provided by me is true, complete and accurate.</p> <p>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</p> <p><input type="checkbox"/> 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)</p> <p>The name of fund(s) is:</p> <table border="1" style="width: 100%; border-collapse: collapse;"> <tr><td>1. _____</td></tr> <tr><td>2. _____</td></tr> <tr><td>3. _____</td></tr> </table> <p><input type="checkbox"/> 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.</p> <p><input type="checkbox"/> E. I have previously completed suitability assessment and there has been no material change in the information provided.</p>	1. _____	2. _____	3. _____
1. _____			
2. _____			
3. _____			

<p><b>For Investor,</b></p> <p>Authorized Signatory Company's Stamp/Common Seal Date:</p>	<p><b>For Consultant,</b></p> <p>Signature: Name: Code: Date:</p>
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APPENDIX I – LIST OF FUNDS AND RISK CATEGORY <i>(List of Funds as at 28 February 2022)</i>				
Risk Category	Conservative	Moderate	Moderately Aggressive	Aggressive
List of funds based on risk category	Apex Dana Al-Kanz	Apex Dana Aslah	Apex Dana Al-Sofi-I	Apex Dynamic Fund
	Apex Dana Aman*	Apex Quantum Fund		Apex Malaysia Growth Trust
		Apex Dana Al-Faiz-I		Apex 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**