



### INVESTOR SUITABILITY ASSESSMENT FORM

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.

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

New Investor

Review

Note: This suitability assessment form is to be completed by Principal Holder

Date*			
UTC Name*		UTC Code*	

**Part 1: Know Your Investor Process**

\* Mandatory field

Principal Holder Name*			
NRIC/Passport*		Age	
Marital Status	( ) Single ( ) Married. ( ) Others. Please Specify _____		
Gender	( ) Male ( ) Female		
No. of Dependant			
Highest Education	( ) Degree & above ( ) Diploma ( ) STPM ( ) SPM & below		
Occupation*	( ) Employed ( ) Self-Employed Please Specify _____ Nature of Business: _____		
Annual Income*	( ) RM30,000 & below ( ) RM60,001 - RM120,000 ( ) RM30,001 - RM60,000 ( ) Above RM120,000		
Source of Income*	( ) Employment ( ) Inheritance ( ) Business ( ) Others. Please Specify _____		

**Part 2: Investor's Financial Situation**

Monthly Disposable Income	( ) Below RM5,000 ( ) RM8,001-RM15,000 ( ) RM5,001-RM8,000 ( ) RM15,001 & above	
Total Monthly Commitment	( ) Below RM2,000 ( ) RM5,001-RM10,000 ( ) RM2,001-RM5,000 ( ) RM10,001 & above	
Percentage of Investment of your total asset (exclude this investment)	( ) Below 10% ( ) 30%-40% ( ) 11%-20% ( ) 41%-50% ( ) 21%-30% ( ) 50% & above	

**Part 3: Investor's Investment Knowledge Assessment**

(Multiple answers allowed)

Current Investment Portfolio (if any)	( ) Unit Trust/PRS Funds ___ years ( ) Trading on Bursa Malaysia ___ years ( ) PRS ___ years ( ) Futures/Options ___ years ( ) Property ___ years ( ) Bonds ___ years	
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**Part 4: Investor's Investment Purpose**

1	What do you expect to get out of investing in this product? ( ) Capital Growth ( ) Regular Income ( ) Capital Protection
2	What is your purpose of investing? ( ) Asset accumulation ( ) Investing for regular income ( ) Saving for Children's education fund ( ) Others _____ ( ) Saving for retirement
3	What is the reason(s) for considering this product? ( ) Meet my investment objective ( ) Meet my overall investment strategy (e.g. diversification) ( ) Compatible with my risk-return expectation

**Part 5: Investor's Need Analysis/Risk Profiling**

1	What is your current age? ( ) 51 & above ( ) 35 to 50 ( ) below 35	[1] [3] [5]
2	How will you classify yourself as an investor? ( ) No experience ( ) 1-3 years experience ( ) Very experience	[1] [3] [5]
3	Do you have any understanding on unit trust investment? ( ) Not understand at all ( ) some understanding ( ) Understand fully	[1] [3] [5]
4	What is your investment objective? ( ) To achieve income/returns slightly better than bank savings/fixed deposits ( ) To achieve income & capital growth ( ) To achieve capital growth	[1] [3] [5]
5	What is the expected duration for this investment? ( ) Less than 3 years ( ) 3 to 5 years ( ) More than 5 years	[1] [3] [5]
6	Which of the following statement best describe you? ( ) I cannot accept any capital loss ( ) If my investment drop by 5% -10%, I will do dollar cost averaging or wait for it to appreciate ( ) I am a long term investor and am not overly concerned about short term market trend	[1] [3] [5]

**Total Points**

**Recommendation:**

Total Score	6-13	14-22	23-30
Risk Profile	Conservative	Moderate	Aggressive
Category of fund that match the risk level	Money Market Bond PRS Conservative	Mixed Asset Balanced PRS Moderate	Mixed Asset Equity PRS Growth

Please comment if the recommended fund(s) is not matched with the investor's risk profile

**Part 5: Acknowledgement**

Please tick (v) to acknowledge the appropriate statement(s) provided below.

1	All information provided is true, complete and accurate. I understand that any misleading, inaccurate or incomplete information provided by me will affect the outcome of the assessment.	
2	I hereby acknowledge that I have received a copy of Product Highlights Sheet and the relevant Disclosure Document (e.g. Prospectus, Information Memorandum, etc.)	
3	The consultant has explained and I have understood the terms, features and risks of the product.	
4	I decline to provide certain information required in this assessment form. I understand that the result of the assessment will be affected by the non-disclosure of certain information	
5	I have decided to purchase into another category of fund(s) that is not match with my risk profile and I understand the different risk involved of the fund(s).	
6	I have previously done an assessment and there has been no material change in the information provided	

Principal Holder's Signature

Name:  
Date:

UTC's Signature

Name:  
Date:

**For Office Use only**

Checked by Customer Service/PIC,  Name: Date:	Reviewed by Compliance,  Name: Date:	Filed by,  Name: Date:
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