PHILLIP MUTUAL BERHAD (570409-K)

INVESTOR SUITABILITY ASSESSMENT FORM

This Investor Suitability Assessment Form will guide you in choosing the unlisted capital market product 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 obtain from the suitability. Investors are advised to excercise judgement in making an informed decision in relation to the unlisted capital market product.

☐ 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 Please Specify____________________ ________________________________		( ) Self-Employed Nature of Business:________________________________ ________________________________	
Annual Income*	( ) RM30,000 & below ( ) RM30,001 - RM60,000		( ) RM60,001 - RM120,000 ( ) Above RM120,000	
Source of Income*	( ) Employment ( ) Business		( ) Inheritance ( ) Others. Please Specify ____________________________	

Part 2: Investor's Financial Situation

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

Part 3: Investor's Investment Knowledge Assessment

(Multiple answers allowed)

Current Investment Portfolio (if any)	( ) Unit Trust/PRS Funds ___ years ( ) Property ___ years	( ) Trading on Bursa Malaysia ___ years ( ) Futures/Options ___ years

Part 4: Investor's Need Analysis/Risk Profiling

1	What is your current age?	
	( ) 51 & above	[1]
	( ) 35 to 50	[3]
	( ) below 35	[5]
2	How will you clasify your self as a investor?	
	( ) No experience	[1]
	( ) 1-3 years experience	[3]
	( ) Very experience	[5]
3	Do you have any understanding on unit trust investment	
	( ) Not understand at all	[1]
	( ) some understanding	[3]
	( ) Understand fully	[5]

4	What is your investment objective?	
	( ) To achieve income/returns slightly better than bank savings/fixed deposits	[1]
	( ) To achieve income & capital growth	[3]
	( ) To achieve capital growth	[5]
5	What is the expected duration for this investment?	
	( ) Less than 3 years	[1]
	( ) 3 to 5 years	[3]
	( ) More than 5 years	[5]
6	Which of the following statement best describe of you?	
	( ) I cannot accept any capital loss	[1]
	( ) If my investment drop by 5% -10%, I will do dollar cost averaging or wait for it to appreciate	[3]
	( ) I am a long term investor and am not overly concerned about short term market trend	[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

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Part 5: Acknowledgement

Please tick (√) 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 Master Prospectus/Product Highlight Sheet and the consultant has explained the terms, features and risks of the product.	
3	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	
4	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 involve of the fund(s).	
5	I have previously done an assessment and there has been no material change in the information provided	

Part 6: Declaration of High Net Worth Qualifier

Category	Qualifying Criteria	(√)
High Net Worth Individual	An individual whose total net assets, or total net joint assets with spouse, exceed RM3 million or its equivalent in foreign currencies, excluding the value of the individual's primary residence.	
	An individual who has a gross income exceeding RM300,000 or its equivalent in foreign currencies per annum in the preceding twelve months.	
	An individual who, jointly with spouse, has a gross annual income exceeding RM400,000 or its equivalent in foreign currencies in the preceding twelve months.	

Principal Holder's Signature	UTC's Signature
Name:	Name:
Date:	Date:

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