

# SUITABILITY ASSESSMENT FORM

## NON-INDIVIDUAL



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This Suitability Assessment Form will guide you in choosing the unit trust or wholesale fund(s) that suit your organisation's 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 true, accurate and complete information to ensure that suitable products are recommended according to your organisation's investment needs and objectives. Please understand that any misleading, inaccurate or incomplete information provided by the authorised signatory(ies) of your organisation will affect the outcome of the recommendation made. In such a case, the Client Portfolio Manager (CPM)/Unit Trust Consultant (UTC) may not be held liable for such recommendation.

#### A KNOWING YOU BETTER

The Authorised Signatory(ies) of the organisation should complete this Suitability Assessment Form.

**Master Account No.**

**Name of Organisation**

(as per Certificate of Incorporation/Registration)

**Registration No.**

#### B UNDERSTANDING YOUR NEEDS AND RISK PROFILE OF YOUR ORGANISATION

Please tick (✓) the appropriate box and fill in your score in the column provided.

FINANCIAL CAPACITY	SCORE
What is the estimated current level of liquid fund in the organisation? <input type="checkbox"/> < RM1,000,000 (1) <input type="checkbox"/> RM1,000,001 - RM5,000,000 (2) <input type="checkbox"/> RM5,000,001 - RM10,000,000 (3) <input type="checkbox"/> > RM10,000,000 (4)	
How many years of investment experience does your organisation have? <input type="checkbox"/> 1 year (1) <input type="checkbox"/> 1-3 years (2) <input type="checkbox"/> 3-5 years (3) <input type="checkbox"/> > 5 years (4)	
What does your organisation currently invest in? (you may tick more than one option (please add up your score if you tick more than one option)) <input type="checkbox"/> Money market funds savings and deposits (1) <input type="checkbox"/> Bonds (2) <input type="checkbox"/> Unit trusts (equity & bond) (3) <input type="checkbox"/> Stocks and shares (4) <input type="checkbox"/> Derivatives (5)	
What is your organisation's objective for this investment? (select the most important answer) <input type="checkbox"/> Capital Preservation (1) <input type="checkbox"/> Income (2) <input type="checkbox"/> Income & Growth (3) <input type="checkbox"/> Growth (4)	
What is your organisation's investment horizon? <input type="checkbox"/> < 1 year (1) <input type="checkbox"/> 1 - 3 years (2) <input type="checkbox"/> 3 - 5 years (3) <input type="checkbox"/> 5 - 10 years (4) <input type="checkbox"/> > 10 years (5)	
What would best describe your current organisation's preferred asset allocation? <input type="checkbox"/> 100% in liquid assets (1) <input type="checkbox"/> 100% in fixed income securities (2) <input type="checkbox"/> > 70% in fixed income securities and < 30% equities (3) <input type="checkbox"/> 50% in fixed income securities 50% in equities (4) <input type="checkbox"/> < 30% fixed income securities and > 70% in equities (5) <input type="checkbox"/> 100% in equities (6)	
<b>TOTAL</b>	

#### Risk Profile

SCORE	CATEGORY	DESCRIPTION
6 - 13	Conservative	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.
14 - 22	Moderate	This portfolio seeks to provide stable income with some potential for capital growth. Short-term fluctuation is expected in anticipation of a higher return.
23 - 30	Moderately aggressive	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).
31 - 38	Aggressive	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.

**Thank you for taking time to complete this Suitability Assessment Form. The recommendation is made based on the information obtained from this assessment. You are advised to exercise judgement in making an informed decision in relation to the unit trust/wholesale fund(s).**

C FUND RECOMMENDATION

Please tick ( ✓ ) the appropriate box according to your total score in Part B.

The recommended fund(s) based on your organisation's investment objectives, risk tolerance, financial profile and investment experience are:

Conservative6 - 13	Moderate14 - 22	Moderately Aggressive23 - 30	Aggressive31 - 38
Eastspring Investments Islamic Income Fund	Eastspring Investments Dana al-Islah	Eastspring Investments Asia Select Income Fund	Eastspring Investments MY Focus Fund
Eastspring Investments Cash Management Fund	Eastspring Investments Balanced Fund	Eastspring Investments Dana Dinamik	Eastspring Investments Small-cap Fund
Eastspring Investments Bond Fund	Eastspring Investments Asian High Yield Bond MY Fund*	Eastspring Investments Dana al-Ilham	Eastspring Investments Asia Pacific Equity MY Fund
Eastspring Investments Institutional Income Fund	Eastspring Investments Equity Income Fund	Eastspring Investments Dynamic Fund	Eastspring Investments Global Emerging Markets Fund
Eastspring Investments	Eastspring Investments Global Target Income Fund	Eastspring Investments Growth Fund	Eastspring Investments Japan Dynamic MY Fund*
	Eastspring Investments Islamic Equity Income Fund	Eastspring Investments Asia Pacific ex-Japan Target Return Fund	Eastspring Investments Dinasti Equity Fund
Eastspring Investments	Eastspring Investments	Eastspring Investments	Eastspring Investments Islamic Small-cap Fund
Eastspring Investments	Eastspring Investments	Eastspring Investments	Eastspring Investments
Eastspring Investments	Eastspring Investments	Eastspring Investments	Eastspring Investments

\*Only for sophisticated investors. Please refer to the respective fund(s)' Information Memorandum (IM) for more information.

D ACKNOWLEDGEMENT

Please tick ( ✓ ) the box

- ☐ A. The organisation wishes to proceed with the recommended unit trust funds that is/are within or under the organisation's assessed risk tolerance.
- ☐ B. The organisation has decided to purchase other unit trust fund(s) that is/are above the organisation's assessed risk tolerance and is/are not recommended by the Client Portfolio Manager (CPM)/Unit Trust Consultant (UTC). (please specify below)  
(This could be in addition to the recommended funds)  

Name of Fund(s) that the organisation wish to purchase but are not recommended by the CPM/UTC, are:  

1. Eastspring Investments

2. Eastspring Investments
- ☐ C. The organisation is an accredited investor or a high net-worth entity as set out in Schedule 1 of Securities Commission Malaysia's Guidelines on Sales Practices of Unlisted Capital Market Products and hence this suitability assessment need not be conducted on the organisation, and wishes to opt-out from taking this suitability assessment. (Refer to appendix 1)
- ☐ D. The organisation does not wish to provide its corporate information for completion of the suitability assessment. The organisation will make all of its present and future investment decisions based on its own judgement and independent advice as the organisation considers appropriate. The organisation acknowledges that the CPM/UTC has explained to the organisation clearly the purpose of this suitability assessment, which the organisation understands would help the organisation to understand and assess its risk tolerance for investment in unit trust/wholesale funds and the product range that would be suitable for the organisation.

The CPM/UTC has explained and the organisation has understood the features, nature, associated risks and terms and conditions of the products.

All information disclosed/provided by the organisation is true, complete and accurate. The organisation understands that any misleading, inaccurate or incomplete information provided by the organisation will affect the outcome of the recommendation made. In such case, the CPM/UTC will not be held liable for such recommendation (if any).

The organisation acknowledges receipt a copy of the Suitability Assessment Form (SAF), Product Highlights Sheet (PHS) and Prospectus/Master Prospectus/ Information Memorandum of the relevant unit trust fund(s).

<div>Authorised Signatory 1</div> <div>Name:</div> <div>Date:</div>	<div>Authorised Signatory 2</div> <div>Name:</div> <div>Date:</div>	<div>Official Organisation Seal/Stamp</div>	<div>CPM/UTC's Signature</div> <div>Name:</div> <div>Date:</div> <div>UTC's code:</div> <div>FIMM No.:</div>
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### Guidelines on Sales Practices of Unlisted Capital Market Products Schedule 1

Category of Investors	Qualifying Criteria
High Net-Worth Entity	<ul style="list-style-type: none"> <li>• A corporation with total net assets exceeding RM10 million or its equivalent in foreign currencies based on the last audited accounts;</li> <li>• A partnership with total net assets exceeding RM10 million or its equivalent in foreign currencies;</li> <li>• 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</li> <li>• A corporation that is a public company under the Companies Act 2016 which is approved by the SC to be trustee under the CMSA and has assets under management exceeding RM10 million or its equivalent in foreign currencies</li> <li>• A pension fund approved by the Director General of Inland Revenue under the Income Tax Act 1967</li> <li>• A statutory body established by an Act of Parliament or an enactment of any State</li> </ul>
Accredited Investor	<ul style="list-style-type: none"> <li>• Central Bank of Malaysia established under the Central Bank of Malaysia Act 2009</li> <li>• A holder of a Capital Markets Services Licence</li> <li>• An executive director or chief executive officer of a holder of a Capital Markets Services Licence</li> <li>• A unit trust scheme or a prescribed investment scheme</li> <li>• A closed end fund approved by the SC</li> <li>• 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</li> <li>• A Labuan bank as defined under the Labuan Financial Services under the Labuan Financial Services and Securities Act 2010</li> <li>• A licenced insurer as defined in the Financial Services Act 2013</li> <li>• An Insurance licensee as defined in the Labuan Financial Services and Securities Act 2010</li> <li>• A takaful licensee as defined in the Labuan Islamic Financial Services and Securities Act 2010</li> <li>• A licensed takaful operator as defined in the Islamic Financial Services Act 2013</li> <li>• A private retirement scheme as defined in the CMSA</li> </ul>