

# 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 (if any).

### 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.

**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:

Conservative	6 - 13	Moderate	14 - 22	Moderately Aggressive	23 - 30	Aggressive	31 - 38
Eastspring Investments Islamic Income Fund - Class C		Eastspring Investments Dana al-Islah		Eastspring Investments Asia Select Income Fund		Eastspring Investments MY Focus Fund	
Eastspring Investments Cash Management Fund - Class C		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 Wholesale Sukuk Fund*		Eastspring Investments Equity Income Fund		Eastspring Investments Dynamic Fund		Eastspring Investments Global Emerging Markets Fund	
Eastspring Investments Wholesale Sukuk Extra Fund*		Eastspring Investments Global Target Income Fund		Eastspring Investments Growth Fund		Eastspring Investments Japan Dynamic MY Fund*	
Eastspring Investments Wholesale Bond 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 Global Balanced Target Return Fund		Eastspring Investments Islamic Small-cap Fund	
Eastspring Investments		Eastspring Investments		Eastspring Investments Regular Investment Choice Fund (RICH Fund)		Eastspring Investments Islamic China A-Shares Fund	
Eastspring Investments		Eastspring Investments		Eastspring Investments Global Equity Fund		Eastspring Investments Global Impact 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 for more information.

**D ACKNOWLEDGEMENT**

Please tick (✓) the box

- A. The organisation wishes to proceed with the recommended unit trust/wholesale fund(s) that is/are within or under the organisation's assessed risk tolerance.
- B. The organisation has decided to purchase other unit trust/wholesale fund(s) that is/are above the organisation's assessed risk tolerance and which 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 hence this suitability assessment need not be conducted on the organisation **or**  high net-worth entity and wishes to opt-out from taking this suitability (please tick (✓) where applicable and refer to Appendix 1 for definition).
- 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 understands the purpose of this suitability assessment which is to assess the organisation's risk tolerance, investment needs and objectives for investment in unit trust/wholesale fund(s) and the product range that would be suitable for the organisation.

The CPM/UTC, where applicable, has explained and the organisation has understood the features, nature, associated risks and terms and conditions of the relevant unit trust/wholesale fund(s).

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, Product Highlights Sheet and Prospectus/Master Prospectus/Information Memorandum of the relevant unit trust/wholesale fund(s).

Authorised Signatory 1  Name: Date:	Authorised Signatory 2  Name: Date:	Official Organisation Seal/Stamp	CPM/UTC's Signature  Name: Date: UTC's code: FiMM No.:
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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).

## APPENDIX 1

Category of Investors	Qualifying Criteria
High Net-Worth Entity	<ul style="list-style-type: none"> <li>(a) A company that is registered as a trust company under the Trust Companies Act 1949 and has assets under its management exceeding RM10 million or its equivalent in foreign currencies.</li> <li>(b) A corporation that is a public company under the Companies Act 2016 which is approved by the Securities Commission Malaysia to be a trustee under the Capital Market and Services Act 2007 and has assets under its management, exceeding RM10 million or its equivalent in foreign currencies.</li> <li>(c) A corporation that is carrying on the regulated activity of fund management solely for the benefit of its related corporations and has assets under its management exceeding RM10 million or its equivalent in foreign currencies.</li> <li>(d) A corporation with total net assets exceeding RM10 million or its equivalent in foreign currencies based on the last audited accounts.</li> <li>(e) A partnership with total net assets exceeding RM10 million ringgit or its equivalent in foreign currencies.</li> <li>(f) A statutory body* established under any laws unless otherwise determined by the Securities Commission Malaysia.P.U. (A) 52.</li> <li>(g) A pension fund approved by the Director General of Inland Revenue under the Income Tax Act 1967.</li> </ul>
Accredited Investor	<ul style="list-style-type: none"> <li>(a) A unit trust scheme, private retirement scheme or prescribed investment scheme.</li> <li>(b) Bank Negara.</li> <li>(c) A licensed person i.e. a person holding a Capital Markets Services Licence and includes a person holding a Capital Markets Services Representative's Licence.</li> <li>(d) A registered person i.e. a person registered under Section 76 of the Capital Markets and Services Act 2007.</li> <li>(e) An exchange holding company, a stock exchange, a derivatives exchange, an approved clearing house, a central depository or a recognised market operator.</li> <li>(f) A corporation that is licensed, registered or approved to carry on any regulated activity or capital market services by an authority in Labuan or outside Malaysia which exercises functions corresponding to the functions of the Securities Commission Malaysia.</li> <li>(g) A bank licensee or an insurance licensee as defined under the Labuan Financial Services and Securities Act 2010 [Act 704].</li> <li>(h) An Islamic bank licensee or a takaful licensee as defined under the Labuan Islamic Financial Services and Securities Act 2010 [Act 705].</li> <li>(i) A chief executive officer or a director of any person referred to in 1(c), 1(d), 1(e), 1(f), 1(g) and 1(h) above.</li> <li>(j) A closed-end fund approved by the Securities Commission Malaysia.</li> </ul>

\* For the avoidance of doubt, "joint management body" established under the Strata Management Act 2013 is NOT a High-Net Worth Entity.