

	Principal Applicant / Company/ Institution		Joint Application
Full Name (as per NRIC/Company/Institution)			
NRIC No./Passport No./Company Registration No.			
Contact No.			
Fund Name		Date of Investment	

This Investor Suitability Assessment Form will guide your authorised adviser or distributors in choosing the unlisted capital market products that suit your investment objective, 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 a suitable unlisted capital market products are recommended according to your investment needs and objectives. Any misleading, inaccurate or incomplete information provided by you will effect the outcome of the recommendation made. In such a case, TA Investment Management Berhad or its authorised distributors are not held liable for such recommendation.

Note:

- All investors should complete the suitability assessment form (SA), including the first time investor, investor who wants to invest in different category of fund from his/her earlier risk profile result and for same investor who maintain the investment account with different authorised adviser.
- Only High Net-Worth Entity may opt out from completing the SA.
- For joint account, the principal applicant answers for Section 1A and will be treated as representing the joint response of both (principal & joint) applicant and both agreed to declare and sign at Section 3.

All information will be treated with strictest confidence.

Please circle your scores:

Individual			
Section 1A - Suitability Assessment			
1. How old are you? a. <25 b. 25 to 40 c. 41 to 60 d. >60	[15] [10] [5] [0]	2. What is your investment objective? a. Maximise growth b. Income & growth c. Income generation d. Capital preservation	[15] [10] [5] [0]
3. From your current savings, how much percentage would you be comfortable to invest in equity investment? a. >30% b. 21% - 30% c. 11% - 20% d. <10%	[15] [10] [5] [0]	4. How certain are you that your various sources of income will be stable in the future? a. Very certain b. Certain c. Somewhat certain d. Not certain	[15] [10] [5] [0]
5. For how many years will you remain invested? a. >10 years b. 6 to 10 years c. 3 to 5 years d. <3 years	[15] [10] [5] [0]	6. What is your investment experience? a. Very experience with investment more than 10 years b. Experience with investment between 6 to 10 years c. Basic experience with investment between 3 to 5 years d. Inexperience with investment between 1 to 2 years	[15] [10] [5] [0]
7. In assessing your risk tolerance, what level of capital loss you comfortably endure? a. >12% b. 9% -12% c. 5% - 8% d. 0% - 4%	[15] [10] [5] [0]	8. Which of the following best describes your view on investing? a. To achieve high levels of growth, it is necessary to take risk b. I can accept possible losses for long-term investment growth c. I can accept lower growth for greater certainty d. I am more concerned about the possible losses than the possible gains	[15] [10] [5] [0]
Total the score for Individual			

Corporate			
Section 1B - Suitability Assessment			
1. What is your company's investment objective? a. Maximise growth b. Income & growth c. Income generation d. Capital preservation	[15] [10] [5] [0]	2. How long has your company been investing in equity funds? a. >6 years b. 4 to 6 years c. 1 to 3 years d. <1 year or None	[15] [10] [5] [0]
3. Which of the following best describes your company's view on investing? a. To achieve high levels of growth, it is necessary to take risk b. I can accept possible losses for long-term investment growth c. I can accept lower growth for greater certainty d. I am more concerned about the possible losses than the possible gains.	[15] [10] [5] [0]	4. Which of the following best fits your company's current investment portfolio? a. 40% cash & fixed income + 60% equities b. 60% cash & fixed income + 40% equities c. 100% cash & fixed income d. 100% cash	[15] [10] [5] [0]
5. Share with us, your fund's expected annualised gains? a. >12 % b. 9% to 12% c. 5% to 8% d. 0% to 4%	[15] [10] [5] [0]	6. In assessing your risk tolerance, what level of capital loss your company comfortably endure? a. >12% b. 9% to 12% c. 5% to 8% d. 0% to 4%	[15] [10] [5] [0]
Total the score for Corporate			

Total Score	Tick (✓)	Type of Fund	Your Investment Profile
Below 30 points		- Low Risk	Conservative You are a conservative investor who is looking for low risk investment and at the same time preservation of capital is very important to you. You are prepared to sacrifice higher returns for peace of mind.
30 - 69 points		- Low Risk - Medium Risk	Moderate You are a balanced investor who can accept some risks to your capital. You require an investment that has some potential to grow in value over the medium-to-long term.
Above 70 points		- Low Risk - Medium Risk - High Risk	Aggressive You seek capital growth over the long-term and are prepared to accept higher amount of risk of your potential capital appreciation.

Section 2 – Personal Advice (To Be Completed by Consultant)

Personal advice was offered to investor(s). Please tick either “Accepted” or “NOT Accepted”:

☐ Accepted (To Complete Section A and B) ☐ NOT Accepted (To Complete Section C)

After reviewing the investor’s investment objective, investment preference and risk profile based on customers’ Suitability Assessment Form, the below Fund(s) is/are recommended.

A. List of Recommended Fund(s)

1.	4.
2.	5.
3.	6.

B. The Fund(s) has/have been recommended because:

- ☐ The Fund(s)’ objective is in accordance with the investor’s investment goals.
- ☐ The Fund(s)’ objective is aligned with the investor’s financial profile.
- ☐ Additional notes, if any _____

C. ☐ Investor(s) do(es) not require any personal advice from consultant.

Section 3 – Investor’s Acknowledgement (Tick ONE only)

- ☐ I/We acknowledge to the personal advice (To Complete Section A or B) ☐ No personal advice required (To Complete Section C or D)
- ☐ A. I/We agree to the personal advice, and fully understand the investment risk involved. I/We will invest into the recommended funds suitable with my/our risk profile.
- ☐ B. I/We disagree to the personal advice, and fully understand the investment risk involved. I/We will invest into the recommended funds not suitable with my/our risk profile.
- ☐ C. I/We fully understand the investment risk involved and choose to invest into the funds of my/our choice.
- ☐ D. Others: _____
- ☐ **Only for High Net-Worth Entity** (I/We do not agree to participate in this assessment)

WARNING:
THE RECOMMENDATION IS MADE BASED ON INFORMATION OBTAINED FROM THE SUITABILITY ASSESSMENT. INVESTORS ARE ADVISED TO EXERCISE JUDGEMENT IN MAKING AN INFORMED DECISION IN RELATION TO THE UNLISTED CAPITAL MARKET PRODUCT.

Principal Applicant/Authorised Signatory 1

Joint Applicant/Authorised Signatory 2 (if any)

Company Seal or Stamp

Section 4 – Adviser’s - Unit Trust Consultant (UTC)/Institutional Unit Trust Advisers (IUTA) Declaration

- I declare that:
- The information provided to me in this Suitability Assessment is strictly confidential and is used for the purpose to recommend a suitable unlisted capital market according to the applicant’s investment risk and objective.
 - I have explained all the required information to the applicant and have attached the relevant documents.
 - I am a trained/qualified and licensed UTC/IUTA by Federation of Investment Managers Malaysia (FIMM).

Signature	Date
Adviser’s Name	Adviser’s Code

For Office Use:

Received By/Date	Processed By/Date	Verified By/Date