

IMPORTANT NOTICE

This Investor Suitability Assessment form will guide you in choosing the suitable ASNB fund that meets your investment objectives, risk tolerance level, financial profile and investment experience. The information provided by you will form the basis of our recommendation. It is important that you provide accurate and complete information to ensure that suitable products are recommended according to your investment needs and objectives. Please be informed, that any misleading, inaccurate, or incomplete information provided by you will affect the outcome of the recommendation made. In such case, Unit Trust Consultant may not be held liable for such recommendation.

Notes:

1. This form should be completed by new and existing unit holder who wish to register in any ASNB funds.
2. This form should be completed whenever a recommendation is made to unit holder for additional investment and switching transaction.
3. For Minor account, the suitability assessment will be conducted on the Registered Guardian.

SECTION A : UNIT HOLDER'S DETAILS

Category of Applicant: Unit Holder Registered Guardian

1. Unit Holder's or Registered Guardian's Name as per MyKad: _____

2. Identity Card Number: _____ **3. Old Identity Card Number / Police / Army:** _____

4. Marital Status Single Married Divorced / Widowed

5. Occupation Category Employed Self-Employed / Own Business Homemaker Student Retiree Royalty Unemployed

6. Minor's Name as per MyKid/Birth Certificate (if applicable): _____

7. Contact Number: _____ **8. Email Address:** _____

SECTION B : INVESTOR'S INVESTMENT NEED ANALYSIS & RISK PROFILE

My investment objective (select the most relevant answer)

Health Education Wealth Accumulation Retirement Saving for Specific Purpose Others _____

FINANCIAL CAPACITY [please tick (✓) at the box]	SCORE
1. My age: <input type="checkbox"/> ≥ 56 [1] <input type="checkbox"/> 46 – 55 [2] <input type="checkbox"/> 36 – 45 [3] <input type="checkbox"/> 26 – 35 [4] <input type="checkbox"/> 18 - 25 [5]	
2. Total of dependent (s): <input type="checkbox"/> More than 7 persons [1] <input type="checkbox"/> 6 – 7 persons [2] <input type="checkbox"/> 4 – 5 persons [3] <input type="checkbox"/> 1 – 3 persons [4] <input type="checkbox"/> No Dependent [5]	
3. My monthly income is within: <input type="checkbox"/> ≤ RM1,500 [1] <input type="checkbox"/> RM1,501 - RM3,000 [2] <input type="checkbox"/> RM3,001 – RM8,000 [3] <input type="checkbox"/> RM8,001 – RM15,000 [4] <input type="checkbox"/> ≥ RM15,001 [5]	
4. I am willing to invest _____ from my monthly income: <input type="checkbox"/> ≤ 10% [1] <input type="checkbox"/> 11% - 20% [2] <input type="checkbox"/> 21% - 30% [3] <input type="checkbox"/> 31% - 40% [4] <input type="checkbox"/> 41% - 50% [5]	
5. My level of knowledge and experience on investment in unit trust fund: <input type="checkbox"/> No Knowledge, Beginner [1] <input type="checkbox"/> Basic Knowledge, Learning [2] <input type="checkbox"/> Knowledgeable, Amateur [3] <input type="checkbox"/> Advanced Knowledge, Skilled [4] <input type="checkbox"/> Expert, Master [5]	
6. When I invest, I am: <input type="checkbox"/> Unwilling to lose capital [1] <input type="checkbox"/> Willing to lose less than 30% capital [2] <input type="checkbox"/> Willing to lose between 30% to 50% capital [3] <input type="checkbox"/> Willing to lose between 50% to 70% capital [4] <input type="checkbox"/> Willing to lose more than 70% capital [5]	
7. My current investment instrument is/are: (you may tick more than one, only the highest score will be taken into consideration for scoring) <input type="checkbox"/> None [0] <input type="checkbox"/> Saving or Deposit [1] <input type="checkbox"/> Bond Investment [2] <input type="checkbox"/> Unit Trust Fund [3] <input type="checkbox"/> Stocks and Shares [4] <input type="checkbox"/> Others [5] _____	
8. I plan to stay invested for: <input type="checkbox"/> < 1 year [1] <input type="checkbox"/> 1 - 3 years [2] <input type="checkbox"/> 4 - 6 years [3] <input type="checkbox"/> 7 - 10 years [4] <input type="checkbox"/> ≥ 11 years [5]	
TOTAL	

RISK MATRIX

Score	Investment Tolerance Level	Investment Profile	Fund Classification
7 - 18	Conservative Variable Price	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.	Mixed Asset Conservative
19 - 29	Moderate	You are a balanced investor who can accept some risk to your capital. You require an investment that has some potential to grow in value over the medium to long term.	Mixed Asset Balanced
30 - 40	Aggressive	You seek capital growth over the long term and are prepared to accept a higher amount of risk.	Equity / Growth

SECTION C: RECOMMENDED UNIT TRUST FUND(S) BASED ON SCORING AND INVESTMENT TOLERANCE LEVEL

The recommended unit trust fund(s) based on your investment objectives, investment tolerance level, financial profile and investment experience is as below

<input type="checkbox"/> Conservative Variable Price	<input type="checkbox"/> Moderate	<input type="checkbox"/> Aggressive	<input type="checkbox"/> Fixed Price
ASN Sara 1	ASN Imbang 1	ASN	ASB
ASN Sara 2	ASN Imbang 2	ASN Equity 2	ASB 2
ASN Sukuk	ASN Imbang 3 Global	ASN Equity 3	ASB 3 Didik
Other:	Other:	ASN Equity 5	ASM
		ASN Equity Global	ASM 2 Wawasan
		Other:	ASM 3
			Other:

Note:

- All listed fund(s) above is subject to the fund availability and maximum individual investment limit for ASB and ASB 2.
- Fixed Price Funds are suitable for anyone who does not expect price fluctuation while being aware that distribution may vary.

SECTION D: ACKNOWLEDGEMENT BY UNIT HOLDER/REGISTERED GUARDIAN

By signing below, I confirm that I have carefully read and completely understand the following information:
1. The Unit Trust Consultant has explained and I have understood the features and risks of the unit trust fund(s)
2. I confirm all information disclosed is true, complete and accurate.
3. I acknowledge receipt a copy of the Suitability Assessment Form / Product Highlight Sheet / relevant disclosure information and documents.
4. I agree and acknowledge that my investment profile derived from this suitability assessment may be adversely affected should I decline to provide certain information required.
5. I hereby acknowledge that ASNB shall contact me upon subscription of unit trust fund(s) for further verification, whenever necessary.
6. I decide to newly subscribe or purchase additional unit trust fund(s) beyond my investment tolerance level and understand the risk profile of the unit trust product chosen by me.
a) _____
b) _____
c) _____

Unit Holder / Registered Guardian's Signature

Name : _____

Date : _____

Unit Trust Consultant's Signature

Name : _____

Date : _____

FIMM License No: : _____

Branch / Agent : _____