

SUITABILITY ASSESSMENT FORM (FOR INDIVIDUAL AND CORPORATE INVESTORS) COLLECTIVELY REFERRED TO AS ("INVESTORS")

Version Series	Revision Date	Effective Date of Revision
1 st version	30 June 2025	2 July 2025

This Investor Suitability Assessment Form ("Investor Suitability Form") will guide you in choosing the unlisted capital market products 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 suitable unlisted capital market products are recommended according to your risk tolerance, investment needs and objectives.

WARNING: THE RECOMMENDATION IS MADE BASED ON THE INFORMATION AND DISCLOSURE MADE BY YOU IN THIS INVESTOR SUITABILITY FORM. INVESTORS ARE ADVISED TO EXERCISE JUDGEMENT IN MAKING AN INFORMED DECISION INCLUDING TO GET ADVICE FROM AN INDEPENDENT ADVISER BEFORE ACTING ON THE INFORMATION PROVIDED IN RELATION TO THE UNLISTED CAPITAL MARKET PRODUCT.

IMPORTANT: Please complete this form and tick (✓) the box where applicable. **Any alterations made must be countersigned.**

SECTION 1: KNOW OUR PROFILE

☐ New Investor ☐ Existing Investor

SECTION 2: PARTICULARS OF INDIVIDUAL INVESTOR

Name (As per NRIC/Passport):

NRIC/Passport Number: Age: Gender: (Male /Female) No. of Dependents:

Marital Status: () Single () Married () Others. Please Specify:

Highest Education *or its equivalent: () Degree & Above () Diploma () STPM () SPM & BELOW

Occupation (if retiree, kindly state the latest occupation before retirement): () Employed, please specify:

() Self-Employed, please specify:

Source of Income: () Employment () Business () Inheritance () Others, please specify:

SECTION 3: PARTICULARS OF CORPORATE INVESTOR

Name of Corporation :

Company Registration No. :

Country of Incorporation :

Contact Person :

Contact Number :

E-mail Address :

SECTION 4: CATEGORY OF SOPHISTICATED INVESTOR (Please tick one option only.)

Please indicate your category of investor based the definition assigned to the categories of sophisticated investors as specified in Chapter 5 (Categories of Sophisticated Investors) of the Guidelines on Categories of Sophisticated Investors issued by the Securities Commission, Malaysia and as amended from time to time:

Category	Tick
High Net Worth Individual	
High Net Worth Entity	
Accredited Investor	

SECTION 5: FINANCIAL CAPACITY & TRADING KNOWLEDGE ASSESSMENT (INDIVIDUAL INVESTOR)

Monthly Disposable Income	() Below RM8,000	() RM13,001-RM20,000
	() RM8,001-RM13,000	() RM20,001 & above

Totally Monthly Commitment	() Below RM5,000 () RM5,001-RM10,000	() RM10,001-RM15,000 () RM15,001 & above
Percentage of Investment of your total assets	() Below 10% () 11%-20% () 21%-30%	() 31%-40% () 41%-50% () 51% & above
Current Investment Portfolio (if any, multiple answers allowed)	() Unit Trust/PRS Funds: ____ years () Property: ____ years () Trading on Bursa Malaysia: ____ years () Futures/ Options: ____ years () Others, please specify: _____ & ____ years	

SECTION 6: SUITABILITY ASSESSMENT QUESTIONNAIRE (INDIVIDUAL INVESTOR) (Please tick one option per question.)

- The information provided in this Investor Suitability Form is strictly confidential and serves as a **GUIDE** for the purpose of fact finding in the process of assessing you or your company's risk tolerance level.
- This suitability assessment recommendation is valid for 2 years from the date of this Investor Suitability Form. However, you may request to re-assess you or your company's risk profile with your financial advisor / CMSRL holder / Unit Trust Consultant (UTC) from time-to-time to meet your or your company's latest investment objective.
- This suitability assessment need not be conducted if the investor tops-up the investment in an existing fund where the suitability assessment has been conducted before.

1. What is your current age? () 51 & above [1] () 35 to 50 [3] () Below 35 [5]	2. How familiar and experienced are you in trading in capital market products including trading in derivatives, Contract For Difference ("CFD"), tokenized products and/or any other capital market products which you choose to invest with us _____ (please specify)? () No experience [1] () Quite familiar with some experience [3] () Very familiar and experienced [5]
3. Do you have any understanding on capital markets, including trading in derivatives, CFD tokenized products and/or any other capital market products which you choose to invest with us _____ (please specify)? () No understanding at all [1] () Some understanding [3] () Full understanding [5]	4. What is your risk tolerance? () Capital preservation is crucial [1] () I can accept partial capital reduction [3] () I fully understand trading risks and market volatility [5]
5. What is your investment objective? () Capital preservation [1] () To achieve income and capital growth [3] () Capital growth [5]	6. Given your tolerance for risk and understanding that investments fluctuate in value, which of the following statements would best describe your reaction if the value of your portfolio were to decline by 5% to 10% over a short period of time? () Extremely concerned [1] () Somewhat concerned [3] () Not concerned [5]

Total Points

SECTION 7: SUITABILITY ASSESSMENT QUESTIONNAIRE (CORPORATE INVESTOR) (Please tick one option per question.)

- The information provided in this Investor Suitability Form is strictly confidential and serves as a **GUIDE** for the purpose of fact finding in the process of assessing you or your company's risk tolerance level.
- This suitability assessment recommendation is valid for 2 years from the date of this Investor Suitability Form. However, you may request to re-assess you or your company's risk profile with your financial advisor / CMSRL holder / Unit Trust Consultant (UTC) from time-to-time to meet your company's latest investment objective.
- This suitability assessment need not be conducted if the investor tops-up the investment in an existing fund where the suitability assessment has been conducted before.

1) What is your company's primary investment objective? () Capital Preservation [1] () Income [3] () Growth / Capital Gain [5]	2) How long has your company been investing (in general)? () Less than 1 year [1] () 1 to 3 years [3] () More than 3 years [5]
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3) Currently, I am mostly invested in (please specify the product(s) if they are not listed below) a) Cash / Fixed Deposits (FDs)/ Fixed Income [1] b) Properties [3] c) Equities / Derivatives [5] d) Others: _____ (Please specify) [x]	4) How many years does your company intend to invest in Phillip Capital Sdn Bhd? a) Less than 1 year [1] b) 1 to 5 years [3] c) More than 5 years [5]																				
5) What sort of returns/losses does your company expect from your investments (per annum)? <table style="width: 100%; border-collapse: collapse;"> <thead> <tr> <th style="width: 10%;"></th> <th style="width: 20%;">Best Scenario</th> <th style="width: 20%;">Average</th> <th style="width: 20%;">Worst Scenario</th> <th style="width: 30%;"></th> </tr> </thead> <tbody> <tr> <td>a)</td> <td>8%</td> <td>4%</td> <td>0%</td> <td>[1]</td> </tr> <tr> <td>b)</td> <td>12%</td> <td>8%</td> <td>-5%</td> <td>[3]</td> </tr> <tr> <td>c)</td> <td>25%</td> <td>18%</td> <td>-20%</td> <td>[5]</td> </tr> </tbody> </table>			Best Scenario	Average	Worst Scenario		a)	8%	4%	0%	[1]	b)	12%	8%	-5%	[3]	c)	25%	18%	-20%	[5]
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Total Points

SECTION 8: DECLARATION AND ACKNOWLEDGEMENT *(Please tick (✓) where appropriate.)*

Total Score	6-13	14-22	23-30
Risk Profile	Conservative ()	Moderate ()	Aggressive ()
Please comment if it does not match with the Investor's risk profile			
Part 5: Acknowledgement			
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 this suitability assessment.		
2	I hereby acknowledge that I have received a copy of the product highlight sheet, relevant disclosure documents, prospectus and any other documents detailing out the salient features, terms and conditions governing the following capital market product(s) _____ (please specify) (where applicable). Additionally, I confirm that the representative from Phillip Capital Sdn Bhd has explained the terms, features and the nature of the risks involved in trading in the abovementioned product(s).		
3	I accept that should I decide to decline to provide certain information required in this Investor Suitability Form, the result of this suitability assessment will be affected by the non-disclosure of the required information.		
4	I agree to purchase capital market products which do not correspond with my risk profile and I understand the different nature of risk which are associated with different capital market products.		
Investor's Signature or Authorized Signatories			
Name: _____ Please Affix Company Stamp Date: _____			
For Office Use Only			
Checked By the representative from Phillip Capital Sdn Bhd Name : _____ Date: _____	Reviewed By Compliance Name : _____ Date: _____	Filed By Name : _____ Date: _____	

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