

NOTE: This Investor Suitability Assessment Form serves as a GUIDE. This form merely illustrates the type of information that could be gathered from the investors during a suitability assessment. The presentation style, contents and type of information below should be amended according to the type of unlisted capital market products offered.

This Investor Suitability Assessment 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 that suitable unlisted capital market products are recommended according to your investment needs and objectives.

INVESTOR SUITABILITY ASSESSMENT FORM

FILE SPECIFIC INFORMATION

| | |
|---------------------|--|
| Date Undertaken | |
| Adviser's Name | |
| Product Issuer | |
| Branch | |
| Name of Product | |
| Category of Product | |
| Review Date | |

A. KNOW-YOUR-INVESTOR PROCESS

(I) Investor's Details

| | |
|---|---|
| Joint/Single Holder | <input type="checkbox"/> Individual <input type="checkbox"/> Joint <input type="checkbox"/> EPF |
| Name | Principal : Joint : |
| Age at time of Recommendation (e.g. exact age or a specified range of age) | |
| Nationality | |
| NRIC/ID No/Passport No | |
| Residential Address | |
| Marital Status | |
| No. of Dependents (e.g. exact no. of dependents or a specific range) | |
| Contact No. | |
| Email Address | |
| Remarks | |

WARNING:

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

(II) Investor's Employment Status

| | |
|---|--|
| Current Employment Status / Profession <i>(may also provide for a relevant industry sector)</i> | |
| If conducting business, nature of investor's business | |
| Annual Income | <input type="checkbox"/> Below RM100,000 <input type="checkbox"/> RM100,000 – RM200,000 <input type="checkbox"/> RM200,000 – RM300,000 <input type="checkbox"/> Above RM300,000 |
| Expected/actual retirement age | |
| Is capital or principal security or protection important to investor? (where applicable) | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Whether capital/principal investment is protected | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| I confirm that I am a Sophisticated Investor who falls within any category of investors set out in Schedule 1 of The Guidelines on Sales Practices of Unlisted Capital Market Products | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Category of Investor | |

(III) Corporate Investor's Details

| | |
|--|--|
| Company registered Name | |
| Company Registered No. | |
| Date of Registered/Incorporation | |
| Country of Registered/Incorporation | |
| Company Status | <input type="checkbox"/> Bumiputra <input type="checkbox"/> Non -Bumiputra <input type="checkbox"/> Others |
| Business Type | <input type="checkbox"/> Sendirian Bhd <input type="checkbox"/> Berhad <input type="checkbox"/> Partnership <input type="checkbox"/> Cooperative <input type="checkbox"/> Trustee Company <input type="checkbox"/> Foreign Company <input type="checkbox"/> Sole Proprietorship <input type="checkbox"/> Government/Statutory <input type="checkbox"/> Association/Club/Society |
| Contact Person & Designation | |
| Correspondence Address | |
| Contact No. | |
| Principle Business Activities/Operation | |
| Is capital or principal security or protection Important to investor? (Where applicable) | |
| Whether capital/principal investment is protected | |
| I confirm that the Entity is a Sophisticated Investor which falls within any category of investors set out in Schedule 1 of The Guidelines on Sales Practices of Unlisted Capital Market Products | <input type="checkbox"/> Yes <input type="checkbox"/> No |
| Category of Investor | |

B. INVESTOR'S NEEDS ANALYSIS**Investor's Investment Objectives**

| | |
|---|--|
| Duration period, the investor wishes to invest in the product | |
| Rationale for choosing the product | |
| General expectation of outcome of the product | |

| Purpose of Investment | Please Circle | | | Remarks |
|--|---------------|-----|----|---------|
| | Priority | Yes | No | |
| Savings for specific purpose | Priority | Yes | No | |
| Supplementing income in retirement | Priority | Yes | No | |
| General lump sum investment for growth | Priority | Yes | No | |
| General lump sum investment for income | Priority | Yes | No | |
| Other: State in comment box | Priority | Yes | No | |
| Investor refuses to provide sufficient information | | Yes | No | |

Remarks:

Investor's Financial Situation

| | |
|---|--|
| Investor's assets, liabilities, cash flow and income | |
| Proportion of investment out of investor's net assets (not including investor's residential property) | |
| Investor's regular financial commitment | |

I do not wish to disclose my financial situation.

Investor's Risk Tolerance/Risk Profile

The risk of loss of capital that investor is willing to bear:

Investor's Current Portfolio

| | |
|---|--|
| Existing investment portfolio the investor currently holds: | |
| Performance of current investment portfolio | |

I do not wish to disclose.

C. INVESTOR'S INVESTMENT KNOWLEDGE ASSESSMENT

Investor's Relevant knowledge

| | | |
|--|------------------------------|-----------------------------|
| Whether prospective investor has dealt in securities and/or derivatives | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Relevant knowledge or experience to understand risks associated with the product | | |
| Ability to understand risks involved | | |
| Investment experience | | |

Investor's Relevant Knowledge to understand the Features of the Products Offered

| | | |
|---|------------------------------|-----------------------------|
| Appreciate any special feature of the product | | |
| Whether investor understands the nature of the product | <input type="checkbox"/> Yes | <input type="checkbox"/> No |
| Whether investor understands the terms of the product specification | <input type="checkbox"/> Yes | <input type="checkbox"/> No |

Product Details

* Details of the products is also made available in the Information Memo / PHS.

i) Based on the product information given, does the **prospective investor** have any further queries?

D. RECOMMENDATION SECTION

(to be completed by the product distributor):

Whether the product is recommended by the product distributor:

| | |
|-----|--|
| Yes | |
| No | |

If **product is recommended** by the product distributor, **the basis of recommendation.**

Basis of recommendation

If **product is not recommended** by the product distributor, **the reasons for non-recommendation.**

Remarks:

Date of recommendation:

SCHEDULE 1-QUALIFYING CRITERIA OF SOPHISTICATED INVESTORS

| Category of Investors | Qualifying Criteria |
|----------------------------------|---|
| High-Net-Worth Individual | <ul style="list-style-type: none"> • An individual whose total net personal assets, or total net joint assets with his or her spouse, exceeds RM3 million or its equivalent in foreign currencies, excluding the value of the individual's primary residence • An individual who has a gross annual income exceeding RM300,000 or its equivalent in foreign currencies per annum in the preceding 12 months • An individual who, jointly with his or her spouse, has a gross annual income of RM400,000 or its equivalent in foreign currencies per annum in the preceding 12 months |
| High-Net-Worth Entity | <ul style="list-style-type: none"> • A corporation with total net assets exceeding RM10 million or its equivalent in foreign currencies based on the last audited accounts • A partnership with total net assets exceeding RM10 million or its equivalent in foreign currencies • 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 • A corporation that is a public company under the Companies Act 1965 which is approved by the SC to be a trustee under the CMSA and has assets under management exceeding RM10 million or its equivalent in foreign currencies • A pension fund approved by the Director General of Inland Revenue under the Income Tax Act 1967 • A statutory body established by an Act of Parliament or an enactment of any State |
| Accredited Investor | <ul style="list-style-type: none"> • Central Bank of Malaysia established under the • Central Bank of Malaysia Act 2009 • A holder of a Capital Markets Services Licence • An executive director or chief executive officer of a holder of a Capital Markets Services Licence • A unit trust scheme or a prescribed investment scheme • A closed-end fund approved by the SC • A licensed institution as defined in the Banking and Financial Institutions Act 1989 or an Islamic bank as defined in the Islamic Banking Act 1983 • A Labuan bank as defined under the Labuan Financial Services and Securities Act 2010 • An insurance company registered under the Insurance Act 1996 • An insurance licensee licensed under the Labuan Financial Services and Securities Act 2010 • A takaful licensee licensed under the Labuan Islamic Financial Services and Securities Act 2010 • A takaful operator registered under the Takaful Act 1984 • A private retirement scheme as defined in the CMSA |