

## IMPORTANT NOTICE

This Investor Suitability Assessment form will guide you in choosing the ASNB fund that best aligns with your investment objectives, risk tolerance level, financial profile, investment experience, and financial resilience to assist you in making an informed investment decision. 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 cases, Unit Trust Consultant may not be held liable for such a recommendation.

Notes:

1. This form should be completed by:
  - a) New unitholders who wish to register with any ASNB funds.
  - b) Existing unitholders who have updated information related to investments need analysis and risk profile.
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:**

[illegible]

**2. Identity Card Number:**

3. Old Identity Card Number / Police / Army:

[illegible]

4. Marital Status: ☐ Single ☐ Married ☐ Divorce/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):**

A blank grid consisting of 20 columns and 2 rows of squares, intended for drawing a picture.

**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: \_\_\_\_\_

| Investor Financial Capability [ please tick ( ✓ ) at the box ]                                                                                                                                                                                                                                                                                                                                                                  | SCORE |
|---------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------------|-------|
| <b>1. My Age:</b><br><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]                                                                                                                                                                                                                    |       |
| <b>2. Total of dependent(s):</b><br><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]                                                                                                                                                                 |       |
| <b>3. My monthly income is within:</b><br><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 ]                                                                                                                                                |       |
| <b>4. I am willing to invest _____ from my monthly income:</b><br><input type="checkbox"/> ≤ 10% [ 1 ] <input type="checkbox"/> 11% to 20% [ 2 ] <input type="checkbox"/> 21% - 30% [ 3 ] <input type="checkbox"/> 31% to 40% [ 4 ] <input type="checkbox"/> 41% to 50% [ 5 ]                                                                                                                                                   |       |
| <b>5. My level of knowledge and experience on investment in unit trust fund:</b><br><input type="checkbox"/> No Knowledge, Beginner [1] <input type="checkbox"/> Basic Knowledge, Learning [2] <input type="checkbox"/> Knowledge, Amateur [3] <input type="checkbox"/> Advance Knowledge, Skilled [4] <input type="checkbox"/> Expert, Master [5]                                                                              |       |
| <b>6. When I Invest, I am:</b><br><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%-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]                                                     |       |
| <b>7. My current investment instrument is/are:</b><br>(You may tick more than one; only the highest score will be taken into consideration for scoring)<br><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"/> Stock and Shares [4]<br><input type="checkbox"/> Other [5] _____ |       |
| <b>8. I plan to stay invested for:</b><br><input type="checkbox"/> < 1 year [ 1 ] <input type="checkbox"/> 1 to 3 years [ 2 ] <input type="checkbox"/> 4 to 6 years [ 3 ] <input type="checkbox"/> 7 to 10 years [ 4 ] <input type="checkbox"/> ≥11 years [5]                                                                                                                                                                   |       |
| <b>TOTAL</b>                                                                                                                                                                                                                                                                                                                                                                                                                    |       |

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 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 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:

1. All listed fund(s) above is subject to the fund availability and maximum individual investment limit for ASB and ASB 2.
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 understood 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 agree and acknowledge that my investment profile derived from this suitability assessment may be adversely affected should I decline to provide certain information required. In such a case, the Unit Trust Consultant shall not be held liable for any recommendation (if any).

4. I acknowledge that I have viewed/received the Product Highlight Sheet/relevant disclosure information and documents, prior to my investment and received a copy of the completed Investor Suitability Assessment Form via the following method. [ please tick ( / ) at the box ]

☐ Image-captured copy on my mobile device

☐ Physical copy

☐ Scanned copy via email

5. I hereby acknowledge that ASNB shall contact me upon subscription of unit trust fund(s) for further verification, whenever necessary.

6. I acknowledge and agree that I have chosen to invest in the unit trust fund(s) and accept full responsibility for my investment choices, including the risks and consequences involved, whether or not such choices are based on the outcome of this suitability assessment:  
(Fund Name) \_\_\_\_\_

SECTION E: ASSESSMENT BY UNIT TRUST CONSULTANT (FOR ASNB USED ONLY)

**By signing below, I confirm that I have carefully read and completely assessed the following information:**

Based on the consultant assessment, does investor require additional assistance?

☐ Yes

☐ No

Reason (please specify): \_\_\_\_\_

Unit Holder / Registered Guardian's Signature

Name : \_\_\_\_\_

Date : \_\_\_\_\_

Unit Trust Consultant's Signature

Name : \_\_\_\_\_

Date : \_\_\_\_\_

Branch / Agent : \_\_\_\_\_

FIMM License No : \_\_\_\_\_

"The recommendation is made based on the information obtained from this suitability assessment.  
You are advised to exercise judgement in making any decision in relation to your investment in unit trust fund(s)"