

Please fill in using **BLOCK LETTERS** and (√) where appropriate

THE SUITABILITY ASSESSMENT WILL GUIDE THE APPLICANT IN CHOOSING THE FUND THAT SUITS THE APPLICANT'S INVESTMENT OBJECTIVES, RISK TOLERANCE, FINANCIAL PROFILE AND INVESTMENT EXPERIENCE. THE INFORMATION THE APPLICANT PROVIDE WILL FORM THE BASIS OF OUR RECOMMENDATION. IT IS IMPORTANT TO PROVIDE ACCURATE, TRUE AND COMPLETE INFORMATION TO ENSURE SUITABILITY OF THE FUND ARE RECOMMENDED ACCORDING TO THE APPLICANT'S INVESTMENT NEEDS AND/ OR OBJECTIVES.

WARNING:

THE RECOMMENDATION IS MADE BASED ON INFORMATION OBTAINED FROM THE SUITABILITY ASSESSMENT. THE APPLICANT IS ADVISED TO EXERCISE JUDGMENT IN MAKING AN INFORMED DECISION IN RELATION TO THE FUND.

Name of Entity

Registration No.

Section 1: Category of Applicant

Please select (1) one only

<input type="checkbox"/>	Applicable for Unit Trust Funds only. The Applicant agrees to provide all information requested in this Suitability Assessment.	Proceed to section 2														
<input type="checkbox"/>	Applicable for Wholesale Funds only. For Applicant's who are High-Net Worth Entity or Accredited Investor wishes to opt-out from completing the Suitability Assessment.	Step 1: Please provide classification. 1. Please refer to Appendix B for the relevant Sophisticated Investor classification. 2. Please provide the relevant documents to support the corresponding classification. <table border="1" style="width: 100%; margin-top: 10px;"> <thead> <tr> <th style="width: 50%;">Category</th> <th style="width: 50%;">Classification</th> </tr> </thead> <tbody> <tr> <td>High-Net Worth Entity</td> <td style="text-align: center;"> <table border="1" style="display: inline-table;"> <tr> <td style="width: 25px; text-align: center;">B</td> <td style="width: 25px; text-align: center;">1</td> <td style="width: 25px; text-align: center;">2</td> <td style="width: 25px; text-align: center;">3</td> </tr> </table> </td> </tr> <tr> <td>Accredited Investor</td> <td style="text-align: center;"> <table border="1" style="display: inline-table;"> <tr> <td style="width: 25px; text-align: center;">A</td> <td style="width: 25px; text-align: center;">1</td> <td style="width: 25px; text-align: center;">2</td> <td style="width: 25px; text-align: center;">3</td> </tr> </table> </td> </tr> </tbody> </table> Step 2: After completing step 1, please proceed to section 4	Category	Classification	High-Net Worth Entity	<table border="1" style="display: inline-table;"> <tr> <td style="width: 25px; text-align: center;">B</td> <td style="width: 25px; text-align: center;">1</td> <td style="width: 25px; text-align: center;">2</td> <td style="width: 25px; text-align: center;">3</td> </tr> </table>	B	1	2	3	Accredited Investor	<table border="1" style="display: inline-table;"> <tr> <td style="width: 25px; text-align: center;">A</td> <td style="width: 25px; text-align: center;">1</td> <td style="width: 25px; text-align: center;">2</td> <td style="width: 25px; text-align: center;">3</td> </tr> </table>	A	1	2	3
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Section 2: Suitability Assessment

1. How does the Applicant perceive the Applicant's level of investment experience?	Score
a. No experience	1
b. Little Experienced	3
c. Broad Experienced	5
d. Very Experienced	7

2. In what securities has the Applicant invested in before?	Score
a. Bank deposits, and money market placements	1
b. Medium to long term government securities	3
c. Mutual funds, and corporate bonds	5
d. Domestic and global stocks, and foreign currency	7

3. What statement best defines the Applicant's investment objective?	Score
a. To prevent loss of principal of investments and generate interest income	1
b. To preserve the real value of investments and generate interest income	3
c. To grow investments from a combination of interest income and capital appreciation	5
d. To grow investments at significant capital appreciation	7

4. Most investments will fluctuate over time. In a period of 3 years, what are the returns/ losses that the Applicant is most comfortable with given investments of RM 500k?	Score				
		Best Case	Average	Worst Case	
a.		15%	3.5%	-5%	1
b.		40%	5.5%	-15%	3
c.		55%	12%	-40%	5
d.		140%	17.5%	-60%	7

5. How long does the Applicant perceive the Applicant's investment horizon to be?	Score
a. Less than 1 year	1
b. 1 to 3 years	3
c. 3 to 5 years	5
d. Greater than 5 years	7

6. What would be the Applicant's preferred asset allocation?	Score
a. 100% in liquid investments	1
b. 100% in fixed-income securities	3
c. A balanced portion in fixed-income securities and equities	5
d. 100% in equities	7

Total score on the Applicant's Suitability Assessment is

Section 2.2: Risk Profile

Please select (1) one only	Type	Score	Risk Tolerance Scoring Guidelines
<input type="checkbox"/>	Conservative	Up to 17 points	The Applicant is looking for low risk investment and at the same time preservation of capital is very important. The Applicant is prepared to sacrifice higher returns for peace of mind.
<input type="checkbox"/>	Moderate	Between 18 - 29 points	The Applicant is a balanced investor who can accept some risks to the Applicant's capital. The Applicant requires an investment that has some potential to grow in value over the medium-to-long term.
<input type="checkbox"/>	Aggressive	Between 30 - 42 points	The Applicant seeks capital growth over the long-term and is prepared to accept higher amount of risk to the Applicant's potential capital appreciation.

Section 3: Fund Recommendation (Authorised Distributor Representative to Complete)

The Authorised Distributor Representative recommends the following fund (refer to Appendix A) to the Applicant:	
1	4
2	5
3	6
Basis for recommendation	
<input type="checkbox"/>	The fund(s) recommended by the Authorised Distributor Representative is/are within or below the risk profile of the Applicant.
<input type="checkbox"/>	Applicant confirms and decides to purchase other fund(s) that is/are <u>above</u> the risk profile of the Applicant and which is/are not recommended by Authorised Distributor Representative.
<input type="checkbox"/>	Others (Please specify):

Section 4: Declaration

To be completed by Applicant	To be completed by Authorised Distributor Representative														
<table border="1"> <thead> <tr> <th colspan="2" data-bbox="167 409 783 465">Please select (1) one only</th> </tr> </thead> <tbody> <tr> <td data-bbox="167 472 268 555"><input type="checkbox"/></td> <td data-bbox="272 472 783 555">The Applicant agrees with the recommendation contained in section 3.</td> </tr> <tr> <td data-bbox="167 562 268 734"><input type="checkbox"/></td> <td data-bbox="272 562 783 734">The Applicant does not agree with the recommendation contained in section 3 or the Suitability Assessment. The Applicant wishes to invest based on the Applicant's own choice.</td> </tr> <tr> <td data-bbox="167 741 268 913"><input type="checkbox"/></td> <td data-bbox="272 741 783 913">Not applicable. The Applicant wishes to opt-out from completing the Suitability Assessment. (Applicable for High-Net Worth Entity or Accredited Investor only)</td> </tr> </tbody> </table>	Please select (1) one only		<input type="checkbox"/>	The Applicant agrees with the recommendation contained in section 3.	<input type="checkbox"/>	The Applicant does not agree with the recommendation contained in section 3 or the Suitability Assessment. The Applicant wishes to invest based on the Applicant's own choice.	<input type="checkbox"/>	Not applicable. The Applicant wishes to opt-out from completing the Suitability Assessment. (Applicable for High-Net Worth Entity or Accredited Investor only)	<table border="1"> <thead> <tr> <th colspan="2" data-bbox="809 409 1430 465">Particulars</th> </tr> </thead> <tbody> <tr> <td data-bbox="809 472 1038 555">Name</td> <td data-bbox="1043 472 1430 555"></td> </tr> <tr> <td data-bbox="809 562 1038 741">Distributor/Agent Code</td> <td data-bbox="1043 562 1430 741"></td> </tr> </tbody> </table>	Particulars		Name		Distributor/Agent Code	
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<p>The Applicant hereby declares the following:</p> <ol style="list-style-type: none"> The Authorised Distributor Representative has explained and the Applicant has understood the features and the risks of the recommended fund; Any and all information provided and/ or disclosed by the Applicant is accurate, complete and true. The Applicant understand and agrees that any omission, misleading, inaccurate and/ or incomplete information by the Applicant will affect the outcome of the recommendation made; The Applicant acknowledges receipt of a copy of the Product Highlights Sheet and the relevant Offering Document, which have been given to the Applicant; The Applicant agrees to notify the Hong Leong Asset Management Berhad ("HLAM") immediately, if there is any change in any information which the Applicant provided to HLAM; (If applicable) The Applicant decline to provide certain information required for Suitability Assessment and this may adversely affect the Applicant's Suitability Assessment; (If applicable) The Applicant has decided to purchase another fund that is not recommended by the Authorised Distributor Representative; and (If applicable) The Applicant is a Sophisticated Investor investing in a wholesale fund and the information provided in section 1 is accurate, complete and true. 	<p>The Authorised Distributor Representative hereby declares the following:</p> <ol style="list-style-type: none"> The Authorised Distributor Representative has explained and the Applicant has understood the features and the risks of the recommended fund; The Authorised Distributor Representative has given a copy of the Product Highlights Sheet and the relevant Offering Document to the Applicant; The basis for recommendations contained in section 3 is made by the Authorised Distributor Representative pursuant to the information provided by the Applicant; To the best of the Authorised Distributor Representative's knowledge, the information provided and/ or disclosed by the Applicant is accurate, complete and true; and (If applicable) The Authorised Distributor Representative confirms that the information provided by the Applicant in section 1 is accurate, complete and true. The Authorised Distributor Representative has obtained relevant documents to support the Applicant's corresponding classification as a Sophisticated Investor. 														

<p>Signature of Applicant</p> <div style="border: 1px solid black; height: 60px; margin-bottom: 5px;"></div> <p>Authorised Signatory Name:</p> <div style="border: 1px solid black; height: 60px; margin-bottom: 5px;"></div> <p>Authorised Signatory Name:</p> <div style="border: 1px solid black; height: 60px; margin-bottom: 5px;"></div> <p>Common Seal/ Company Stamp</p> <div style="border: 1px solid black; padding: 5px; margin-bottom: 5px;"> <table style="width: 100%; border-collapse: collapse;"> <tr> <td style="border: 1px solid black; padding: 2px;">Date</td> <td style="border: 1px solid black; width: 20px; text-align: center;">D</td> <td style="border: 1px solid black; width: 20px; text-align: center;">D</td> <td style="border: 1px solid black; width: 20px; text-align: center;">M</td> <td style="border: 1px solid black; width: 20px; text-align: center;">M</td> <td style="border: 1px solid black; width: 20px; text-align: center;">Y</td> <td style="border: 1px solid black; width: 20px; text-align: center;">Y</td> <td style="border: 1px solid black; width: 20px; text-align: center;">Y</td> <td style="border: 1px solid black; width: 20px; text-align: center;">Y</td> </tr> </table> </div>	Date	D	D	M	M	Y	Y	Y	Y	<p>Signature of Authorised Distributor Representative</p> <div style="border: 1px solid black; height: 60px; margin-bottom: 5px;"></div> <table style="width: 100%; border-collapse: collapse; margin-bottom: 5px;"> <tr> <td style="border: 1px solid black; padding: 2px;">Date</td> <td style="border: 1px solid black; width: 20px; text-align: center;">D</td> <td style="border: 1px solid black; width: 20px; text-align: center;">D</td> <td style="border: 1px solid black; width: 20px; text-align: center;">M</td> <td style="border: 1px solid black; width: 20px; text-align: center;">M</td> <td style="border: 1px solid black; width: 20px; text-align: center;">Y</td> <td style="border: 1px solid black; width: 20px; text-align: center;">Y</td> <td style="border: 1px solid black; width: 20px; text-align: center;">Y</td> <td style="border: 1px solid black; width: 20px; text-align: center;">Y</td> </tr> </table>	Date	D	D	M	M	Y	Y	Y	Y
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Appendix A:

Note:

Low risk funds have the lowest volatility whereas higher risk funds may bring substantial losses to your capital.

Hong Leong Unit Trust Funds

Open-ended Funds ONLY	High Risk (Aggressive Investor)	Medium Risk (Moderate Investor)	Low Risk (Conservative Investor)
Local	<ul style="list-style-type: none"> ➤ HL Growth Fund ➤ HL Value Fund ➤ HL Dana Makmur ➤ HL Dividend Fund ➤ HL Strategic Fund ➤ HL Wholesale Equity Fund ➤ HL Dana Dividen (<i>new</i>) 	<ul style="list-style-type: none"> ➤ HL Balanced Fund ➤ HL Consumer Products Sector Fund ➤ HL Dana Maa'rof ➤ HL Regular Income Fund 	<ul style="list-style-type: none"> ➤ HL Bond Fund ➤ HL Institutional Bond Fund ➤ HL Islamic Income Management Fund ➤ HL Wholesale Bond Fund ➤ HL Money Market Fund ➤ HL Dana Al-Izdihar ➤ HL Income Fund ➤ HL Dana Al-Safa' ➤ HL Wholesale Income Fund
Foreign	<ul style="list-style-type: none"> ➤ HL Asia-Pacific Dividend Fund ➤ HL Hong Kong Equity Optimizer Fund ➤ HL SEA-5 Equity Fund ➤ HL Asia-Pacific Equity Fund ➤ HL Wholesale Equity Fund 2 ➤ HL Global ESG Fund ➤ HL Global Shariah ESG Fund 	<ul style="list-style-type: none"> ➤ HL Global Multi Strategies Fund 	-

Appendix B: Sophisticated Investor

IMPORTANT: PLEASE NOTE THAT APPENDIX B IS SUBJECT TO CHANGE FROM TIME TO TIME. FOR THE LATEST AND UPDATED CATEGORIES OF SOPHISTICATED INVESTORS, PLEASE REFER TO WWW.HLAM.COM.MY.

A	Accredited Investor
1.	A unit trust scheme, private retirement scheme or prescribed investment scheme.
2.	Bank Negara.
3.	A licensed person or a registered person.
4.	An exchange holding company, a stock exchange, a derivatives exchange, an approved clearing house, a central depository or a recognized market operator.
5.	A corporation that is licensed, registered or approved to carry on any regulated activity or capital market services by an authority in Labuan or outside Malaysia which exercises functions corresponding to the functions of the Securities Commission Malaysia (“SC”).
6.	A bank licensee or an insurance licensee as defined under the Labuan Financial Services and Securities Act 2010 [Act 704].
7.	An Islamic bank licensee or a takaful licensee as defined under the Labuan Islamic Financial Services and Securities Act 2010 [Act 705].
8.	A chief executive officer or a director of any person referred to in subparagraphs 3, 4, 5, 6 and 7 above.
9.	A closed-end fund approved by the SC.

B	High-net Worth Entity
10.	A company that is registered as a trust company under the Trust Companies Act 1949 and has assets under its management exceeding ten million ringgit or its equivalent in foreign currencies.
11.	A corporation that—
(a)	is a public company under the Companies Act 2016 which is approved by the SC to be a trustee under the CMSA and has assets under its management, exceeding ten million ringgit or its equivalent in foreign currencies; or
(b)	is carrying on the regulated activity of fund management solely for the benefit of its related corporations and has assets under its management exceeding ten million ringgit or its equivalent in foreign currencies.
12.	A corporation with total net assets exceeding ten million ringgit or its equivalent in foreign currencies based on the last audited accounts.
13.	A partnership with total net assets exceeding ten million ringgit or its equivalent in foreign currencies.
14.	A statutory body established under any law whose function or mandate is investment in capital market products.
15.	A pension fund approved by the Director General of Inland Revenue under the Income Tax Act 1967.