IPF-I.1024.01

eastspring investments

A Prudential plc company

INVESTOR PROFILING FORM

INDIVIDUAL

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A Prudential plc company

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INVESTOR PROFILING FORM ("IPF")
INDIVIDUAL

This form (formerly known as the Suitability Assessment Form) serves to help us understand your investment objectives, risk tolerance, financial profile, and other considerations in order for us to provide personal advice that is suitable to you, having taken into consideration your particular circumstances. It is important that you provide true, accurate and complete information to ensure that suitable products are recommended according to your investment needs and objectives. Please understand that any misleading, inaccurate, or incomplete information provided by you will affect the outcome of the recommendation made. In such a case, the Unit Trust Consultant (UTC) may not be held liable for such recommendation (if any). There are risks involved in investing all or a large portion of your available funds, including savings and retirement funds in one single product. Vulnerable Customer assessment is mandatory to all clients. Minor joint holders are exempted from completing this form. The risk scoring will be based on the principal holder's risk profile.

A KNOWING YOU BETTER

Master Account No. ______________________

Principal Holder Name
(as in NRIC/Passport) ______________________

NRIC/passport No. ______________________

Joint Holder Name
(as in NRIC/Passport) ______________________

NRIC/passport No. ______________________

B UNDERSTANDING YOUR NEEDS AND RISK PROFILE

Please tick (✓) the appropriate box and fill in your score in the column provided. The Principal Investor should complete this suitability assessment.

FINANCIAL CAPACITY					SCORE
What is your age?					
☐ ≤ 30 Years (5)	☐ 31 - 40 (4)	☐ 41 - 45 (3)	☐ 46 - 50 (2)	☐ > 50 (1)	
What is your current status?					
☐ Single with dependents (1)	☐ Married with children (2)	☐ Married, no children (3)	☐ Single without dependents (4)		
What is your education level?					
☐ Primary/Secondary (1)	☐ Diploma/Certificate/ Pre-University (2)	☐ Degree (3)	☐ Post Graduate (4)		
What do you currently invest in? (You may tick more than one option (Please add up your score if you tick more than one option))					
☐ Savings and deposits (1)	☐ Bonds (2)	☐ Unit trusts (3)	☐ Stocks and shares (4)	☐ Derivatives (5)	
How many years of investment experience do you have?					
☐ < 1 year (1)	☐ 1 - 3 years (2)	☐ 3 - 5 years (3)	☐ > 5 years (4)		
What is your objective for this investment? (Select the most important answer)					
☐ Capital preservation (1)	☐ Income (2)	☐ Income & Growth (3)	☐ Growth (4)		
In the event that the Net Asset Value (NAV) of the fund that you invested fall below 15% of your original investment, what would you do?					
☐ Redeem and fully hold cash (1)	☐ Hold on to it, no action will be taken (2)	☐ Switch into a conservative type of fund (3)	☐ Invest more to average my costs (4)	☐ Top up aggressively (5)	
How long do you plan to stay invested?					
☐ > 10 years (5)	☐ 5 - 10 years (4)	☐ 3 - 5 years (3)	☐ 1 - 3 years (2)	☐ < 1 year (1)	
What is the percentage of your monthly liabilities against your income?					
☐ < 20% (3)	☐ 20% to 50% (2)	☐ 51% to 75% (1)	☐ > 75% (0)	☐	
				TOTAL	

RISK PROFILE		
Score	**Category**	**Description**
8 - 15	Conservative	Your primary investment goal is capital preservation or you may have a long-term investment horizon. You seek a stable level of income with gradual capital growth.
16 - 23	Moderate	Your primary investment goal is stable income with some capital growth. You can tolerate some fluctuations in the value of your investments in the anticipation of a higher return.
24 - 31	Moderately aggressive	Your primary investment goal is capital growth. You can tolerate a fair level of fluctuations in the value of your investments in anticipation of possible higher returns, with some level of income (if any).
32 and above	Aggressive	Your primary investment goal is long-term capital growth. You can tolerate substantial fluctuations in the value of your investment in the short-term in anticipation of the highest possible return over the long-term.

Thank you for taking time to complete this form. The recommendation is made based on the information obtained from this assessment. You are advised to exercise judgement in making an informed decision in relation to the unit trust/wholesale fund(s).

C FUND RECOMMENDATION

Please tick (✓) the appropriate box according to your total score in Part B.

The recommended funds based on your investment objectives, risk tolerance, financial profile and investment experience are:

Conservative 8 - 15 ☐	**Moderate 16 - 23** ☐	**Moderately Aggressive 24 - 31** ☐	**Aggressive 32 and above** ☐
Eastspring Investments Islamic Income Fund - Class R	Eastspring Investments Dana al-Islah	Eastspring Investments Asia Select Income Fund	Eastspring Investments MY Focus Fund
Eastspring Investments Cash Management Fund - Class R	Eastspring Investments Balanced Fund	Eastspring Investments Dana Dinamik	Eastspring Investments Small-cap Fund
Eastspring Investments Bond Fund	Eastspring Investments Asian High Yield Bond MY Fund*	Eastspring Investments Dana al-Ilham	Eastspring Investments Asia Pacific Equity MY Fund
Eastspring Investments Wholesale Sukuk Fund*	Eastspring Investments Equity Income Fund	Eastspring Investments Dynamic Fund	Eastspring Investments Global Emerging Markets Fund
Eastspring Investments Wholesale Sukuk Extra Fund*	Eastspring Investments Global Target Income Fund	Eastspring Investments Growth Fund	Eastspring Investments Japan Dynamic MY Fund*
Eastspring Investments Wholesale Bond Fund*	Eastspring Investments Islamic Equity Income Fund	Eastspring Investments Asia Pacific ex-Japan Target Return Fund	Eastspring Investments Dinasti Equity Fund
Eastspring Investments	Eastspring Investments	Eastspring Investments Global Balanced Target Return Fund	Eastspring Investments Islamic Small-cap Fund
Eastspring Investments	Eastspring Investments	Eastspring Investments Regular Investment Choice Fund (RICh Fund)	Eastspring Investments Islamic China A-Shares Fund
Eastspring Investments	Eastspring Investments	Eastspring Investments Global Equity Fund	Eastspring Investments Global Impact Fund*
Eastspring Investments	Eastspring Investments	Eastspring Investments	Eastspring Investments Dragon Peacock MY Fund
Eastspring Investments	Eastspring Investments	Eastspring Investments	Eastspring Investments

* Only for sophisticated investors. Please refer to the respective fund(s)' Information Memorandum for more information.

D ACKNOWLEDGEMENT

Please tick (✓) the applicable box(es)

☐ A. I accept the personal advice given by the UTC/Eastspring which is to invest in the recommended unit trust/wholesale fund(s) that is/are within or under my assessed risk tolerance as stated in this form.

☐ B. I have decided to purchase other/additional unit trust/wholesale fund(s) that is/are above my assessed risk tolerance as stated in this form and which is/are not within the personal advice/recommended by the UTC/Eastspring. (Please specify funds below)
Note: By ticking this option, I also acknowledged that there is no personal advice given by the UTC/Eastspring.

Name of fund(s) that I wish to purchase but are not recommended by the UTC.

1. Eastspring Investments
2. Eastspring Investments
3. Eastspring Investments

☐ C. I do not wish to provide my personal information for completion of this form. I will make all of my present and future investment decisions based on my own judgement and independent advice as I consider appropriate. I acknowledge that I understand the purpose of this form which is, to assess my risk tolerance, investment needs and objectives for investment in unit trust/wholesale fund(s) and the product range that would suitable for me.
Note: By ticking this option, I also acknowledged that there is no personal advice given by the UTC/Eastspring.

Thank you for taking time to complete this form. The recommendation is made based on the information obtained from this assessment.
You are advised to exercise judgement in making an informed decision in relation to the unit trust/wholesale fund(s).

E VULNERABLE CUSTOMER ASSESSMENT

Please tick (✓) on the applicable attributes listed below.

Customer Attributes (by investor)

Principal Holder	Joint Holder	
☐	☐	Elderly (60 and above; and uncomfortable with using technology for investment purposes); and/or
☐	☐	Education level of Primary School or below; and/or
☐	☐	No capital market investment experience; and/or
☐	☐	Limited financial means (e.g. low net worth, coupled with low income and or high debts against income, multiple dependents); and/or
☐	☐	Have experienced death or total permanent disablement of main bread winner; and/or
☐	☐	Have any hearing, visual, speech, physical or learning impairments.
☐	☐	None of the above

Assessment (by UTC)

Principal Holder	Joint Holder	
☐ Yes	☐ Yes	Vulnerable customer
☐ No	☐ No	Non-vulnerable customer

For vulnerable customer only

☐ I hereby confirm that the information provided by me in this form is true and correct. I confirm that I AGREE with the unit trust consultant's assessment result of my vulnerable customer status based on the information provided by me in the form as well as his/her observations. I also acknowledge that the unit trust consultant has taken the following measures in consideration of my status:

a. Allowed sufficient time for me to process the information that has been provided; and
b. Clarified with me on the method of communication available and offered to provide details in alternate format such as, post or email for clarity; and
c. Asked me whether I would like to consult someone else first or would like to have someone present with me when receiving advice.

I understand that any misleading, inaccurate, or incomplete information provided by me will affect the outcome of the recommendation made. In such case, the UTC will not be held liable for such recommendation (if any).

The UTC, where applicable, has explained and I have understood the features, nature, associated risks and terms and conditions of the relevant unit trust/wholesale fund(s).

I acknowledge receipt a copy of the Investor Profiling Form, Product Highlights Sheet, and Prospectus/Master Prospectus/Information Memorandum of the relevant unit trust/wholesale fund(s).

Principal Holder Signature:

Full Name: ____________________

Date: ____________________

Joint Holder Signature:

Full Name: ____________________

Date: ____________________

F ACKNOWLEDGEMENT (for UTC use)

I declare that I have assessed the investors' suitability and vulnerability and where the investor has been identified as a vulnerable customer, I have conducted the following measures:

i. I have allowed sufficient time for investor to process information that has been provided.

ii. I have clarified with investor on the method of communication available and offered to provide details in alternate format such as, post or email for clarity.

iii. I have asked the investor whether they would like to consult someone else first or would like to have someone present with them when receiving advice.

iv. I have checked and verified all answers from Part E (Vulnerable Customer Assessment).

Unit Trust Consultant's Signature:

Name: ____________________

Date: ____________________

UTC's code: ____________________

FiMM No.: ____________________

Thank you for taking time to complete this form. The recommendation is made based on the information obtained from this assessment. You are advised to exercise judgement in making an informed decision in relation to the unit trust/wholesale fund(s).