

Name \_\_\_\_\_

Unit-holder \_\_\_\_\_

Tel. \_\_\_\_\_

Mobile Phone \_\_\_\_\_

E-mail \_\_\_\_\_

**Questionnaire for assessing the investor's risk profile**

To enable you to know your acceptable return and risk level, please answer the questions below with the choice that suits you best.

For individual investor, please answer **Part I**, 1 – 10 and **Part II**

For corporate investor, please answer **Part I**, 3 – 10, **Part II** and **Part III**

**Part I For general investment:**

1. What is your age now?
 

(1) Over 60	(2) 50 – 60
(3) 35 – 49	(4) Under 35
  
2. What is your educational level?
 

(1) High school & pre-university
(2) University & higher
  
3. How long do you have experience investing in securities? (securities include unit trusts, debentures, stocks, government bonds, and derivatives)
 

(1) None	(2) Less than 1 year
(3) 1-5 year/years	(4) More than 5 years

Suggestion for answering question 4-6, "invested amount" applies to the following cases:

**A. In the case that you wish to invest or have invested in one single mutual fund with our company, you should consider only the amount going to be invested or have invested to that fund.**

**B. In the case that you wish to invest or have invested in several mutual funds with our company, you should consider the amount going to be invested or have invested to the riskiest fund.**

4. How long do you think you would not need to use this investment amount?
 

(1) Less than 1 year	(2) 1-3 year/year
(3) 3-7 years	(4) More than 7 years
  
5. Do you require regular income from your investment to support your monthly expenditures?
 

(1) Yes, very much	(2) Yes, partly
(3) Yes, a little	(4) No, not at all
  
6. What is the percentage of investment in securities comparing with your total assets?
 

(1) More than 60%	(2) Between 30-60%
(3) Between 10 – 30%	(4) Less than 10%

7. What can best describe your risk tolerance toward investment?
  - (1) I cannot tolerate any investment loss despite higher returns than the current level are possible
  - (2) I can tolerate some light investment losses for the chance of receiving some higher returns.
  - (3) I can tolerate investment losses for the chance of receiving higher returns.
  - (4) I'd like to receive highest returns from my investment and have no restriction on my investment at all.
  
8. Investment in highly volatile securities often generates high returns in the long-term. However, it involves risks that can cause capital losses as much as its gains. How well can you accept the investment risks?
  - (1) Minimum risk is acceptable. I focus on investment that generates regular income with full principle protection despite minimal return.
  - (2) Some degree of risk is acceptable in exchange for an increase in long-term potential returns.
  - (3) Moderate level of risk is acceptable in exchange for higher potential returns in long-term.
  - (4) Maximum level of risk is acceptable in exchange for highest potential returns in long-term.
  
9. Sometimes, investment that focuses on capital protection generates returns lower than inflation which affect purchasing power. Taking your investment objectives in consideration, which of the followings apply to you most correctly?
  - (1) Investment capital must be safe even if the investment returns are lower than inflation.
  - (2) Some degree of risk of losing capital investment can be accepted in exchange for returns higher than inflation.
  - (3) Investment risks are accepted with investment returns that are fairly higher than inflation.
  - (4) Investment risks are fully accepted with investment returns higher that are as much as possible higher than inflation.
  
10. How much are you willing to risk the loss from investment in a mutual fund?
 

(1) Less than 10%	(2) Between 10-20%
(3) Between 20-50%	(4) More than 50%

Part II For an investment in a mutual fund which has a policy in offshore investment from 20% of its NAV and higher

Can you accept currency risk?

(1) Yes

(2) No

Part III For corporate investor only

1. What is the percentage of risky assets (high to very high risk levels) in your current investment portfolio?
- (1) Less than 10%      (2) Between 10 – 30%  
(3) Between 30-60%    (3) More than 60%

2. What is your objective for the invested amount?
- (1) To gain returns slightly higher than interests from bank deposits.  
(2) To gain consistent returns from investment.  
(3) To gain higher return in the longer term with acceptance of volatility.  
(4) To gain highest return in the longer term with acceptance of possibility for significant loss.

I/We hereby confirm that all information given in this Investor Risk Profile is up-to-date, accurate, complete and truthful. In case of any changes, I/We agree to inform the Company in writing immediately. In case the Company, from time to time, sends a letter to my/our Contact-Mailing Address for verifying or updating such information and I/We do not respond or otherwise inform any changes, within a reasonable time given by the Company, I/We agree that the Company is authorized to rely on the existing information as my/our up-to-date information.

I/We will study and agree to be bound by all statement, terms and conditions in the project and prospectus of all the funds that I/We will purchase, all terms contained in the subscription, redemption or switching order forms, all rules and practices relating to unit holders as specified by the Company including any subsequent lawful amendments/substitutions there to.

Signature X \_\_\_\_\_

( \_\_\_\_\_ )

Date \_\_\_\_\_