MBG Funds

Client Suitability Assessment - Corporate

Dear Client,

Your answers to this questionnaire will enable us to guide you in choosing the investment fund/s that is/are best suited to your investment objective, investment experience, investment time frame, and risk tolerance. Please provide all the necessary information and answer all the questions. All information provided herein will be kept confidential. Thank you.

Name of Corporation: _____ **Nature of Business:** _____

Account Number: _____

Nature of Authorized Signatory/ies: answering this form: _____

Who decides on the investments? (e.g. Board of Directors, Investment Committee) _____

Please indicate nature of funds for investment:

- ☐ **Corporate Funds**
- ☐ **School Funds**
- ☐ **Employee Retirement Funds**
- ☐ **Foundation Funds**
- ☐ **Pre-need Funds**
- ☐ **Other:**_____

Total Investible Funds:

- ☐ **< Php 10M**
- ☐ **Php 10M – Php 49M**
- ☐ **Php 50M – Php 99M**
- ☐ **Php 100M – Php 249M**
- ☐ **> Php 249M**

Approximately how much does this amount represent as a percentage of your funds for investment?

- ☐ **25% or less 000**
- ☐ **26-50%**
- ☐ **51-75%**
- ☐ **76%-100%**

1.	**Investment Objective** ☐ Capital Preservation (1 pt.) ☐ Regular Income Source (2 pts.) ☐ Capital Appreciation (3 pts.) ☐ Long Term Growth (2 pts.)	
2.	**How would you rate your investment knowledge?** ☐ Very Extensive (4 pts.) ☐ High (3 pts.) ☐ Average (2 pts.) ☐ Low or Poor (1 pt.)	
3.	**For this investment the corporation is** ☐ Willing to accept high risk/volatility for potentially higher returns (3 pts.) ☐ Willing to accept moderate risk/volatility in return for some growth opportunity (2 pts.) ☐ Willing to accept low to no risk for general stability of principal (1 pt.)	
4.	**How long do you intend to keep your funds invested in this account?** ☐ In less than 1 year (0 pt.) ☐ 1-2 years (1 pt.) ☐ 3-5 years (2 pts.) ☐ 5-7 years (3 pts.) ☐ After 8+years (4 pts.)	

5.	**How long have you been investing?** ☐ Less than 1 year (1 pt.) ☐ 1-5 years (2 pts.) ☐ 5-10 years (3 pts.) ☐ More than 10 years (4 pts.)	
6.	**Risk Tolerance:** ☐ High (3 pts) ☐ Medium (2 pts.) ☐ Low (1 pt.)	
7.	**What types of investments have you previously invested in? (Tick as many as applicable)** ☐ Cash and deposit products (e.g. time deposit, SDA) (1 pt.) ☐ Government securities (e.g. T-Bills, Retail Treasury Bonds) (1 pt.) ☐ Corporate notes, bonds, loans or commercial papers (1 pt.) ☐ Listed shares of stocks (2 pts.) ☐ Unlisted shares of stocks (2 pts.) ☐ Pre-need products (2 pts.) ☐ Mutual Funds or Unit Investment Trust Funds (2 pts.) ☐ Insurance Products (including variable unit linked products) (2 pts.) ☐ Offshore Funds (including ETFs, REITs) (2 pts.) ☐ Structured financial products (2 pts.) ☐ Commodities (2 pts.) ☐ Real Estate (2 pts.)	
8.	**How important is liquidity to you when deciding your investment horizon?** ☐ Very important – need periodic withdrawal (1 pt.) ☐ Modestly important – occasional withdrawal (2 pts.) ☐ Slightly important – no foreseen withdrawal in the next 1 to 2 years (3 pts.) ☐ Not important – no foreseen withdrawal over 3 years (4 pts.)	
	Total	

Score	Risk Profile	Description	Recommended Products
Less than 16	Conservative	Indicates your primary investment objective is to prevent the loss of principal.	money market funds
16-30	Moderate	Indicates that you are willing to accept a certain level of investment risk in return for potential returns higher than regular deposit products.	money market funds, bond funds, and balanced funds
31 and above	Aggressive	Indicates that you are willing to accept all types of risk (low to high) and prepared for possible loss, break-even and higher return for investment made.	money market funds, bond funds, balanced funds, and equity funds

Based on the answers the client has provided, the score is ( ).

Using the above definition, the attitude toward investment risk and return is _____.

We have explained to the client in detail and discussed with them the (1) results of the Client Suitability Assessment, (2) basis of our recommendation, and (3) the risks involved of the recommended investment outlet. The client was made aware that final decision and responsibility of choosing the funds to invest still lies with them. MBG IMI's role is only recommendatory and no guarantee that the investment chosen by the client will achieve their goals.

Authorized Signatory: _____ **Authorized Signatory:** _____

Printed Name: _____ **Printed Name**: _____

Date: _____