

Dear Client,

Your answers to this questionnaire will enable us to guide you in choosing the investment securities that 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 Primary Account Holder: _____

Other Account Holders: _____

1.	Age	Score
	<input type="checkbox"/> Less than 30 years old <input type="checkbox"/> 30 to 40 years old <input type="checkbox"/> 41 to 50 years old <input type="checkbox"/> 51 to 60 years old <input type="checkbox"/> 61 years old and above	n/a
2.	Approximate amount for investment <input type="checkbox"/> Less than Php 5,000,000 <input type="checkbox"/> Between Php 5,000,000 and Php15,000,000 <input type="checkbox"/> Between Php15,000,001 and Php,25,000,000 <input type="checkbox"/> Over Php 25,000,000	n/a
3.	Estimate Total Net Worth <input type="checkbox"/> Less than Php 5,000,000 <input type="checkbox"/> Between Php 5,000,000 and Php10,000,000 <input type="checkbox"/> Between Php10,000,001 and Php20,000,000 <input type="checkbox"/> Over Php 20,000,000	n/a
4.	Equity Allocation Please indicate percentage of your total investible funds currently invested in stocks and/or equity or mixed asset funds: _____%	n/a
5.	Investment Objective <input type="checkbox"/> Capital Preservation (1 pt.) <input type="checkbox"/> Regular Income Source (2 pts.) <input type="checkbox"/> Capital Appreciation (3 pts.)	
6.	How would you rate your investment knowledge? <input type="checkbox"/> Low (1 pt.) <input type="checkbox"/> Average (2 pts.) <input type="checkbox"/> High (3 pts.) <input type="checkbox"/> Very Extensive (4 pts.)	
7.	How long have you been investing? <input type="checkbox"/> Less than 1 year (1 pt.) <input type="checkbox"/> 1-5 years (2 pts.) <input type="checkbox"/> 5-10 years (3 pts.) <input type="checkbox"/> More than 10 years (4 pts.)	
8.	What types of investments have you previously invested in? (Tick as many as applicable) <input type="checkbox"/> Cash and deposit products (e.g. time deposit, ODF) (1 pt.) <input type="checkbox"/> Government securities (e.g. T-Bills, Retail Treasury Bonds) (1 pt.) <input type="checkbox"/> Corporate notes, bonds, loans or commercial papers (1 pt.) <input type="checkbox"/> Listed shares of stocks (2 pts.) <input type="checkbox"/> Unlisted shares of stocks (2 pts.) <input type="checkbox"/> Pre-need products (2 pts.) <input type="checkbox"/> Mutual Funds or Unit Investment Trust Funds (2 pts.) <input type="checkbox"/> Insurance Products (including variable unit linked products) (2 pts.) <input type="checkbox"/> Offshore Funds (including ETFs, REITs) (2 pts.) <input type="checkbox"/> Structured financial products (2 pts.) <input type="checkbox"/> Commodities (2 pts.) <input type="checkbox"/> Real Estate (2 pts.)	

9.	Describe your investment risk tolerance. <input type="checkbox"/> Low (1 pt.) <input type="checkbox"/> Moderate (2 pts.) <input type="checkbox"/> High (3 pts.)	
10.	For this investment I am <input type="checkbox"/> Willing to accept low to no risk for general stability of principal (1 pt.) <input type="checkbox"/> Willing to accept moderate risk/volatility in return for some growth opportunity (2 pts.) <input type="checkbox"/> Willing to accept high risk/volatility for potentially higher returns (3 pts.)	
11.	How long do you intend to keep your funds invested in this account? <input type="checkbox"/> Less than 1 year (0 pt.) <input type="checkbox"/> 1-2 years (1 pt.) <input type="checkbox"/> 3-5 years (2 pts.) <input type="checkbox"/> 5-7 years (3 pts.) <input type="checkbox"/> 8+ years (4 pts.)	
12.	How important is liquidity to you when deciding your investment horizon? <input type="checkbox"/> Very important – need periodic withdrawal (1 pt.) <input type="checkbox"/> Modestly important – occasional withdrawal (2 pts.) <input type="checkbox"/> Slightly important – no foreseen withdrawal in the next 1 to 2 years (3 pts.) <input type="checkbox"/> Not important – no foreseen withdrawal over 3 years (4 pts.)	
13.	When will you retire? <input type="checkbox"/> Already retired (0 pt.) <input type="checkbox"/> In 5 years or less (1 pt.) <input type="checkbox"/> In 6-10 years (2 pts.) <input type="checkbox"/> In 11-20 years (3 pts.) <input type="checkbox"/> In more than 20 years (4 pts.)	
Total		

The following chart indicates the attitude toward investment risk and return that an investor is expected to have based on the scores determined from your responses to the above questions:

Score	Risk Profile	Description	Recommended Products
7-14	Conservative	Indicates your primary investment objective is to prevent the loss of principal	Time Deposit, BSP ODF, Government Securities, ROP Bonds, Corporate bonds/notes (tenor <1 year), money market funds
15-25	Stable	Indicates that you are willing to accept some investment risk in return for potential returns higher than regular deposit products	Time Deposit, BSP ODF, Government Securities, ROP Bonds, Corporate bonds/notes, Bank's Tier 2 issues (FI tenor <=5 years), money market funds, bond funds, balanced funds, equity funds, stocks (maximum 40% of client's investible funds)
26-38	Moderate	Indicates that you are willing to accept a moderate level of investment risk, even possible loss of principal, for potential higher return over the short to medium term	Time Deposit, BSP ODF, Government Securities, ROP Bonds, Corporate bonds/notes, Bank's Tier 2 issues (FI tenor <=5 years), money market funds, bond funds, balanced funds, equity funds, stocks (maximum 60% of client's investible funds)
39-50	Aggressive	Indicates that you are willing to accept a high level of investment risk/volatility of returns and even possible loss of principal in return for potential higher return over the long-term	Government Securities, ROP Bonds, Corporate bonds/notes, Bank's Tier 2 issues, (no FI tenor restrictions), structured notes, money market funds, bond funds, balanced funds, equity funds, stocks (maximum 100% of client's investible funds)

Based on the answers you have provided, your score is (). Using the above definition, your attitude toward investment risk and return is

_____.

I/we understand that the results of the Client Suitability Assessment shall be used as the basis by MBG Investment Management, Inc. in formulating an Investment Policy Statement which shall include the recommended investment product/portfolio/strategy. We agree with the investment profile and the recommended investment outlet suitable to meet our needs. In the event of any changes in our personal/financial circumstances or preferences, we shall request for a new Client Suitability Assessment to evaluate the changes and to determine our new risk profile, investment objectives and requirements.

For joint accounts: We agree with the results of the suitability assessment conducted on the primary account holder named herein

Signature First Account Holder

Printed Name: _____

Signature Second Account Holder

Printed Name: _____

Signature Third Account Holder

Printed Name: _____

Signature Fourth Account Holder

Printed Name: _____

Account number: _____

Date: _____

I have explained to you in detail and discussed with you the (1) results of the Client Suitability Assessment, (2) basis of our recommendation, and (3) terms and conditions of the recommended investment outlet.

MBG IMI Personnel's Signature over Printed Name

Date