

# Client Suitability Assessment Form - Score Sheet

## IMPORTANT NOTES & INSTRUCTIONS:

The accomplished and signed **Client Suitability Assessment Form** must be submitted via email to your SLIMTC Relationship Manager or to your Certified UITF Sales Personnel, along with the required documents. All signed documents shall be treated as original copies.

For **Joint Accounts**, SLIMTC shall only require the Primary Account Holder/s to complete the CSA Form. **Secondary Account Holder/s** should proceed to the Client Acknowledgment portion directly.

This CSA will be used in assessing your investment profile based on your investment objectives, cash flow requirements, tolerance to risk, and financial profile. There are no right or wrong answers. Simply indicate what is most applicable to you under the circumstances cited. Please ensure that all questions are answered before submitting the form to SLIMTC.

<b>Date Accomplished</b> (mm-dd-yyyy)	<b>Client Type</b>
<input type="text"/>	<input type="checkbox"/> Corporate <input type="checkbox"/> Individual
<b>CSA Type</b>	
<input type="checkbox"/> New <input type="checkbox"/> Updating of last CSA dated: <input type="text"/>	
<b>Client name/s</b>	
<input type="text"/>	

FOR SLIMTC USE ONLY	FOR CUSP / RM USE ONLY
<b>Account Number</b>	<b>Advisor Code / CUSP Code</b>
<input type="text"/>	<input type="text"/>

## A INVESTMENT OBJECTIVE AND RISK PROFILE

SCORE / POINT	1	2	3	4	5
1. How many years of investment experience do you have?	<input type="checkbox"/> No experience	<input type="checkbox"/> Less than one year	<input type="checkbox"/> One year to less than three years	<input type="checkbox"/> Three years to less than five years	<input type="checkbox"/> Five years or above
2. What portion of your assets will be invested and managed by SLIMTC?	<input type="checkbox"/> Less than 5%	<input type="checkbox"/> 5% to 15%	<input type="checkbox"/> More than 15% to 25%	<input type="checkbox"/> More than 25% to 50%	<input type="checkbox"/> More than 50%
3. Will you require the ability to withdraw your investment from SLIMTC?	<input type="checkbox"/> Yes, I/we need to withdraw regular income and may use a portion of the principal in the next 12 months	<input type="checkbox"/> Yes, I/we need to withdraw regular income but may not use the principal in the next 12 months	<input type="checkbox"/> I/We do not need to withdraw regular income nor use the principal in the next 2 to 3 years	<input type="checkbox"/> I/We do not need to withdraw regular income nor use the principal in the next 4 to 5 years	<input type="checkbox"/> I/We do not need to withdraw regular income nor use the principal for more than 5 years
4. In general, what is the time period intended for your investment?	<input type="checkbox"/> 1 year or less	<input type="checkbox"/> More than 1 year to less than 2 years	<input type="checkbox"/> More than 2 years to less than 5 years	<input type="checkbox"/> More than 5 years but less than 10 years	<input type="checkbox"/> More than 10 years or more
5. What is your key investment objective?	<input type="checkbox"/> I/We want to preserve capital and generate short term steady returns	<input type="checkbox"/> I/We am/are willing and able to expose my/our funds to a minimal degree of risk and fluctuation to achieve modest returns over the short term.	<input type="checkbox"/> I/We am/are willing and able to expose my/our funds to a moderate level of risk and fluctuation to achieve income and capital growth over the medium term.	<input type="checkbox"/> I/We am/are willing and able to expose my/our funds to higher degree of risk and fluctuation to achieve higher income and capital growth over the medium term.	<input type="checkbox"/> I/We am/are willing and able to accept significantly higher risks involving absolute/uncorrelated returns and even possible loss of investment for potentially higher long-term results.
<b>6.a. FOR CORPORATE INVESTORS ONLY</b>					
6.a.1. How much is your company's approximate investible funds?	<input type="checkbox"/> Less than PhP 500 million	<input type="checkbox"/> PhP 500 billion to less than PhP 1 billion	<input type="checkbox"/> PhP 1 billion to less than PhP 3 billion	<input type="checkbox"/> PhP 3 billion to less than PhP 5 billion	<input type="checkbox"/> PhP 5 billion and above
6.a.2. How much is your company's approximate financial commitments?	<input type="checkbox"/> Less than PhP 500 million	<input type="checkbox"/> PhP 500 billion to less than PhP 1 billion	<input type="checkbox"/> PhP 1 billion to less than PhP 3 billion	<input type="checkbox"/> PhP 3 billion to less than PhP 5 billion	<input type="checkbox"/> PhP 5 billion and above
<b>6.b. FOR INDIVIDUAL INVESTORS ONLY</b>					
6.b.1. How much is your approximate investible funds?	<input type="checkbox"/> Less than PhP 1 million	<input type="checkbox"/> PhP 1 million to less than PhP 5 million	<input type="checkbox"/> PhP 5 million to less than PhP 20 million	<input type="checkbox"/> PhP 20 million to less than PhP 100 million	<input type="checkbox"/> PhP 100 million and above
6.b.2. How much is your approximate financial commitments?	<input type="checkbox"/> Less than PhP 1 million	<input type="checkbox"/> PhP 1 million to less than PhP 5 million	<input type="checkbox"/> PhP 5 million to less than PhP 20 million	<input type="checkbox"/> PhP 20 million to less than PhP 100 million	<input type="checkbox"/> PhP 100 million and above

CLIENT SUITABILITY RESULTS - RISK PROFILE		
Conservative	7 to 10 points	Client prefers an investment where the primary goal is to prevent the loss of principal.
Moderately Conservative	11 to 17 points	Client is willing and able to expose funds to a minimal degree of risk and fluctuation to achieve modest returns.
Moderate	18 to 24 points	Client is willing and able to expose funds to a moderate level of risk and fluctuation to achieve income and capital growth.
Moderately Aggressive	25 to 31 points	Client is willing and able to expose funds to higher degree of risk and fluctuation to achieve higher income and capital growth over the medium term.
Aggressive	32 and above	Client is willing and able to accept significantly higher risks involving absolute/uncorrelated returns and even possible loss of investment for potentially

## B INVESTMENT KNOWLEDGE AND EXPERIENCE

SCORE / POINT	0	1	2	3
1. How would you describe your knowledge of investments?	<input type="checkbox"/> No experience	<input type="checkbox"/> Low degree of knowledge or experience dealing with investment securities or products	<input type="checkbox"/> Reasonable degree of knowledge or experience dealing with investment securities or products	<input type="checkbox"/> High degree of knowledge or experience dealing with investment securities or products
2. Which of the following investment products have you invested in the past three (3) years?	<input type="checkbox"/> Savings Account <input type="checkbox"/> Time Deposit Account <input type="checkbox"/> Principal Protected Products	<input type="checkbox"/> Short-Term Funds/ Money Market Funds <input type="checkbox"/> Government Securities/ ROPs <input type="checkbox"/> Investment Grade Bonds <input type="checkbox"/> Fixed Income Funds	<input type="checkbox"/> Corporate Bonds/ Notes <input type="checkbox"/> Balanced Funds/ Multi-Asset Funds <input type="checkbox"/> Structured Products/ Derivatives	<input type="checkbox"/> Listed Stocks/ ETFs <input type="checkbox"/> Private Equity <input type="checkbox"/> Equity Funds <input type="checkbox"/> Foreign currency transactions <input type="checkbox"/> Alternative Investments
3. Do you have existing securities/derivatives license or authority?	<input type="checkbox"/> No experience	<input type="checkbox"/> Has Derivatives End-User License from the Bangko Sentral ng Pilipinas (BSP) or equivalent regulatory authority	<input type="checkbox"/> Has Broker/Dealer License from the Bangko Sentral ng Pilipinas (BSP) or equivalent regulatory authority	<input type="checkbox"/> Has Broker/Dealer License from the Securities and Exchange Commission (SEC) or equivalent foreign regulatory authority

## CLIENT SUITABILITY RESULTS - FINANCIAL SOPHISTICATION

Sophisticated Corporate / Individual Client	4 points and above	Expanded investment outlets can be provided to Sophisticated clients given their recognized financial sophistication
Corporate/Individual Client	0 to 3 points	Investment outlets for Corporate and Individual clients shall be based on their CSA results
Market Counterparty	Clients shall be required to provide a copy of their license in order to be declared as a market counterparty. Expanded market opportunities may be provided to market counterparties.	

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For inquiries, feedback, requests, or complaint, you may contact us through (02) 8849 9888 or email us at [SLIMTC.Communications.Notice@sunlife.com](mailto:SLIMTC.Communications.Notice@sunlife.com)  
 Sun Life Investment Management and Trust Corporation (SLIMTC) is regulated by the Bangko Sentral ng Pilipinas (BSP). BSP Telephone Number (02) 8708 7087; Email: [consumeraffairs@bsp.gov.ph](mailto:consumeraffairs@bsp.gov.ph); BSP Webchat: <http://www.bsp.gov.ph>