

Client Suitability Assessment Form - Score Sheet

IMPORTANT NOTES & INSTRUCTIONS: The **Client Suitability Assessment Form - Score Sheet** aims to guide SLIMTC Relationship Manager and Certified UITF Sales Personnel in computing the total Client Suitability Score of their clients. This form is for internal use only and should not be shared with clients.

CLIENT RISK PROFILE QUESTIONNAIRE

SCORE/POINT	1	2	3	4	5
1. How many years of investment experience do you have?	No experience	Less than 1 year	1 year to less than 3 years	3 years to less than 5 years	5 years or longer
2. What portion of your assets will be invested and managed by SLIMTC?	Less than 5%	5% to less than 15%	15% to less than 25%	25% to less than 30%	More than 30%
3. In general, what is the time period intended for your investment?	Less than 1 year	1 year to less than 3 years	3 years to less than 5 years	5 years to less than 10 years	10 years or longer
4. Will you require the ability to withdraw your investment from SLIMTC?	Yes, I/we need to withdraw regular income and may use a portion of the principal in the next 12 months	Yes, I/we need to withdraw regular income but may not use the principal in the next 12 months	I/We do not need to withdraw regular income nor use the principal in the next 1 to 3 years	I/We do not need to withdraw regular income nor use the principal in the next 3 to 5 years	I/We do not need to withdraw regular income nor use the principal for more than 5 years
5. What is your key investment objective?	To preserve capital and generate short term steady returns	To earn modest returns over the short term with minimal degree of exposure to risk and fluctuation	To achieve higher income and capital growth over the medium term with moderate exposure to risk and fluctuation	To achieve higher income and capital growth with a higher degree of exposure to risk and fluctuation	To achieve highest possible returns with significantly higher exposure to risk and fluctuation
6. Which among the following instruments are you currently invested in or had actual experience in terms of investments? Select all that applies. (Choose the highest score)	Time Deposits	Government Securities	UITFs/Mutual Funds Promissory Notes Corporate Bonds	Derivatives Foreign Currency Swaps Hedged Instruments	Stocks/Equities Preferred Shares
7. How would you rate yourself as an investor?	No experience. Excess funds are mainly in savings accounts.	Little Experience. Exposure is predominantly fixed income with a small portion in equities	Moderate Experience. Has a balanced exposure in both fixed income and equities.	Experienced. Exposure is predominantly equities with a small portion in fixed income.	Very experienced. Portfolio is highly diversified, exposure is predominantly, if not all, in equities.
8. How much is your approximate investible funds?	Less than PHP 50,000	PHP 50,000 to PHP 100,000	More than PHP 100,000 to PHP 500,000	More than PHP 500,000 to PHP 1,000,000	More than PHP 1,000,000
9. How much is your approximate financial obligations?	More than PHP 1,000,000	More than PHP 500,000 to PHP 1,000,000	More than PHP 100,000 to PHP 500,000	PHP 50,000 to PHP 100,000	Less than PHP 50,000

CLIENT RISK PROFILE SCORE

Conservative	9 to 12 points	Client prefers an investment where the primary goal is to prevent the loss of principal. Exposure is limited to savings accounts.
Moderately Conservative	13 to 22 points	Client is willing and able to expose funds to a minimal degree of risk and fluctuation to achieve modest returns. Exposure is predominantly fixed income with a small portion in equities.
Moderate	23 to 29 points	Client is willing and able to expose funds to a moderate level of risk and fluctuation to achieve income and capital growth. Has almost equal exposure in fixed income and equities
Moderately Aggressive	30 to 36 points	Client is willing and able to expose funds to higher degree of risk and fluctuation to achieve higher income and capital growth. Exposure is predominantly equities with a small portion in fixed income
Aggressive	37 and above	Client is willing and able to accept significantly higher risks involving absolute/uncorrelated returns and even possible loss of investment for potentially higher results. Very experienced, exposure is predominantly, if not all, in equities.

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