

IMPORTANT NOTES & INSTRUCTIONS:

Please submit the accomplished Client Suitability Assessment Update Form via email to your SLIMTC Relationship Manager or to your Certified UITF Sales Personnel, along with the required documents.

For Joint Accounts, SLIMTC shall only require the Primary Account Holder/s to complete the CSA Update 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.

FOR SLIMTC USE ONLY	ACCOUNT NUMBER
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Account Name	Date Accomplished
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CLIENT RISK PROFILE QUESTIONNAIRE

1. How many years of investment experience do you have?
2. What portion of your assets will be invested and managed by SLIMTC?
3. In general, what is the time period intended for your investment?
4. Will you require the ability to withdraw your investment from SLIMTC?
5. What is your key investment objective?
6. Which among the following financial instruments are you currently invested in or had actual experience in terms of investments? *(Select all that apply)*

Deposits (Current/Savings/Time Deposits)	UITFS/Mutual Funds, Promissory Notes, Corporate Bonds
Government Securities	Derivatives, Foreign Currency Swaps, Hedged Instruments
	Stocks/Equities, Preferred Shares, Bitcoins
7. How would you rate your self as an investor?
8. How much is your approximate investible income?
9. How much is your approximate financial obligations?

FOR CUSP/RM USE ONLY	TOTAL SCORE	CLIENT RISK PROFILE
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- a. **CONSERVATIVE.** Client prefers an investment where the primary goal is to prevent the loss of principal. Exposure is limited to savings accounts.
- b. **MODERATELY CONSERVATIVE.** 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.
- c. **MODERATE.** 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
- d. **MODERATELY AGGRESSIVE.** 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
- e. **AGGRESSIVE.** 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.

CLIENT ACKNOWLEDGEMENT

- a. I/We understand that this assessment is based on the information/data I/We provided and is designed to help us evaluate our financial needs as at the date of this declaration. I/We am/are aware that our financial needs may change over time depending on our financial situation and objectives; and understand/s that any incomplete or inaccurate information provided may affect this assessment. No guarantee is given as to the accuracy or completeness of the suggestions and recommendations provided as a result of this assessment.
- b. I/We understand that the products and services offered by SLIMTC are not covered by the Philippine Deposit Insurance Corporation (PDIC). Any income or loss from the said products and services shall be for the account of the client. SLIMTC is not liable for losses unless upon willful default, bad faith or gross negligence. I/We understand that my/our circumstances and attitude to risk can change over time, as such, SLIMTC will require me/us to update my/our risk profile at least once every three (3) years. However, should there be any change in my/our financial status before the end of this period, I/we can agree to notify SLIMTC so that my/our records can be updated immediately.
- c. **For Joint Accounts,** the Secondary Account Holder/s acknowledge/s that SLIMTC shall use the Primary Account Holder's CSA Score for the account which shall be binding on all of them.

RELATIONSHIP MANAGER / CERTIFIED UITF SALES PERSONNEL (CUSP) ATTESTATION

- a. I declare that I have performed sufficient fact-finding and analysis to ensure that the investment portfolio/strategy I recommended is suitable to the client based on the needs, objectives, risk profile, other holdings, financial situation and other facts the client has disclosed.
- b. I also declare that the recommended investment strategy/portfolios are consistent with the client's financial condition and risk appetite. In case the client opted to engage in an investment strategy / portfolios other than those recommended, I also declare that I have explained all the risks related to the same.
- c. I have considered the complexity of the investment strategy/portfolio and the underlying securities/financial products involved and the client's ability to understand it prior to making an investment strategy/portfolio recommendation.

CLIENT SIGNATURE

Primary Account Holder's

Full Name

Signature

Date Signed

City, Country of Signing

Secondary Account Holder's

Full Name

Signature

Date Signed

City, Country of Signing

Secondary Account Holder's

Full Name

Signature

Date Signed

City, Country of Signing

Secondary Account Holder's

Full Name

Signature

Date Signed

City, Country of Signing

Secondary Account Holder's

Full Name

Signature

Date Signed

City, Country of Signing

RELATIONSHIP MANAGER/ CUSP ATTESTATION

Relationship Manager/ CUSP Name

Signature

RM/CUSP Code

Date Signed

FOR SLIMTC USE ONLY

Reviewed & Signature Verified By:

SLIMTC Personnel Name

Signature

Date Signed

Approved By:

SLIMTC Personnel Name

Signature

Date Signed