



### Suitability Test for Juristic Person

#### Question 1-10 for assessing suitability of investment

1. Experience of Juristic Person in securities investment (namely; Treasury Bill, Bond, Bill of Exchange, Shares, Debenture, Equity-Linked Note, Investment Unit.

- A. less than 1 year
- B. 1-5 years
- C. 6-10 years
- D. over 10 years

2. What are the ratio of financial burdens and routine expenses of your Juristic Person when comparing with income from operation?

- A. more than 75 percent of entire income
- B. between 50 percent to 75 percent of entire income
- C. from 25 percent to 50 percent of entire income
- D. less than 25 percent of entire income

3. What is the current financial status of Juristic Person?

- A. Property less than liability
- B. Property equal to liability
- C. Property more than liability
- D. Least liability comparing with property value or no liability at all

4. Has the Juristic Person ever invested in any of the following groups of property (may select more than 1 choice)

- A. Deposit at bank
- B. Government bond or government bond mutual fund
- C. Debenture or debt instrument mutual fund
- D. Ordinary share or share mutual fund or other property with high risk

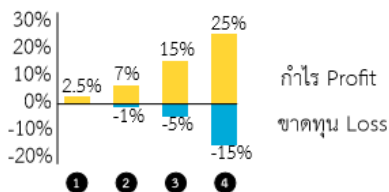
5. Expected duration that it is not necessary for using this invested fund.

- A. not over 1 year
- B. 1 year to 3 years
- C. 3 years to 5 years
- D. over 5 years

6. What is the main purpose of investment of Juristic Person?

- A. Emphasize in: principal sum must be safe with consistent return but may be low
- B. Emphasize in: consistent return with some risk from losing the principal sum
- C. Emphasize in: higher return with risk from more loss of principal sum
- D. Emphasize in: highest return in a long term with risk from loss of major principal sum

7. When considering below samples of possible return of investment group, which investment group are you most willing to invest?



- A. 1<sup>st</sup> investment group, possible return of 2.5% without loss
- B. 2<sup>nd</sup> investment group, possible highest return of 7% but with possible loss of 1%
- C. 3<sup>rd</sup> investment group, possible highest return of 15% but with possible loss of 5%
- D. 4<sup>th</sup> investment group, possible highest return of 25% but with possible loss of 15%

8. If you choose to invest in property with high return but also high risk, how will you feel?

- A. worry and panic from loss
- B. uncomfortable but understand
- C. understand and accept the fluctuation at a certain level
- D. no worry with high loss and expect higher return

9. You will be worried/ unacceptable when the value of your invested fund reduces to what ratio?

- A. 5% or lesser
- B. over 5%-10%
- C. over 10%-20%
- D. over 20%

10. What will you do if you invested 100,000 Baht but this year you find out that the value of invested fund reduce to 85,000 Baht?

- A. panic and want the sell the remainder
- B. worry and adjust part of investment to the property with less risk
- C. patient and continue and wait for turnover of return
- D. still be confident because understand that it is a long term investment and will increase invested fund of same type for allocation of principal.

#### Question 11-12 used as additional information in supporting recommendations (not for scoring)

#### apply only to investment in derivatives and equity linked note

11. Where investing in derivatives and equity linked note are successful, you will gain very high return, on the other hand, where the investment fails, you may lose entire invested fund and may add certain compensation, how you can accept this?

- A. unacceptable
- B. Some
- C. acceptable

Apply only to offshore investment

12. Other than risk from investment, how can you yield risk from currency exchange?

A. No

B. Some

C. Yes

**For Officer**

**Part 1 Assessment Scores**

Answer a = 1 point    Answer b = 2 points    Answer c = 3 points    Answer d = 4 points

For Suitability Assessment No. 4, if selected more than one answer, the highest score of the answers will be selected

**Part 2: Assessment Result**

Total Scores	Level	Investor Type of Risk
Less than 15	1	Low risk
15-21	2	Moderate low risk
22-29	3	Moderate high risk
30-36	4	High risk
Over 37	5	Very high risk

**Part 3: Basic Asset Allocation**

Type of investor	Investing Ratio				
	Deposits and Short-Term Fixed Income Funds	Government bond over 1 year	Private bond	Equity	Optional investment*
Low risk	>60%		<20%	<10%	<5%
Moderate low risk	<20%	<70%		<20%	<10%
Moderate high risk	<10%	<60%		<30%	<10%
High risk	<10%	<40%		<40%	<20%
Very high risk	<5%	<30%		>60%	<30%

\* Including consumer products and derivatives products

Total scores

Sign

Client

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