PHEIM UNIT TRUSTS BERHAD 200101010163 (545919-A)
7th Floor, Menara Hap Seng, Letter Box 12, No. 1 & 3, Jalan P. Ramlee, 50250 Kuala Lumpur, Malaysia
Tel: 603-2142 8888 Fax: 603-2141 9199 E-mail: support@pheimunittrusts.com Website: www.pheimunittrusts.com

VULNERABLE CLIENT DECLARATION FORM
(To be completed by Individual Holder)

ACCOUNT DETAILS

Account No 0 0 0

Applicant Name *(in full)*

New NRIC No./ Passport No.

OBJECTIVE

In order to protect your interests in purchasing unit trust funds, Pheim Unit Trusts Berhad (referred to as "PUTB") has/have conducted an assessment on whether you are classified as a vulnerable client ("VC") or not. Based on our assessment, you are classified as a VC. Under such circumstance, the Investment Risk Profile of the Account will be capped at "Moderate". However, in view of your investment experience and background, we will assess your suitability on investing in particular unit trust funds based on your answers in the Investor Suitability Assesment Form (ISAF) and at your own request, treat you as a non-Vulnerable Client going forward. This declaration form applies to all accounts of which you are the beneficial owner.

WITNESS TO THE VC CONFIRMATION PROCESS:

☐ **NO, I HAVE CHOSEN NOT TO BRING A COMPANION WITH ME TO WITNESS THE VC CONFIRMATION PROCESS:**
(proceed to 'Declaration' section)

I acknowledge that PUTB/ the Consultant has explained to me my right to do so, and I confirm that I fully understand my right to do so but I have elected not to do so, having regard to my circumstances and my assessment of my own ability to make decisions and my understanding of investments.

☐ **YES, I HAVE CHOSEN TO BRING A COMPANION WITH ME TO WITNESS THE VC CONFIRMATION PROCESS:**
(please complete 'Witness Declaration' section)

1. I confirm that my companion is at least 18 years and of sound mind;
2. I understand that PUTB shall not be responsible for assessing the suitability of my companion as a witness;
3. I understand and agree that my companion will, by virtue of being present during conversations between myself and my Consultant, be privy to Vulnerable Client Declaration Form confidential information relating to the account(s) maintained with PUTB in my presence;
4. I confirm that I have obtained consent from my companion to disclose his or her information to you and I undertake to procure all relevant consents from my companion for his or her personal data to be collected, held, processed, used and/or disclosed by PUTB for or in connection with the performance of PUTB's obligations under the agreement between PUTB and me.

Witness Declaration (To be completed by Companion)

I have witnessed that the licensed person has explained to the Client the general investment risks and agree that the Client is mentally capacitated to make independent investment decisions, despite the Client's age and/or other vulnerable conditions.

Relationship with Client – please select

☐ Non-sales Staff of PUTB

☐ Client's non-vulnerable relative or friend

Witness Signature **Date**

Name :

New NRIC No./ Passport No. :

DECLARATION

By signing on this form, I confirm that:

1. I agree to be treated as a VC by PUTB;
2. I am mentally capacitated to make independent investment decisions, despite my age and/or other vulnerable conditions (including any observable disabilities) in making investment decision;
3. The suitability assessment for my investments transacted in this Account(s) will be based on the Investor Risk Profile obtained from the assessment result of the ISAF;
4. Notwithstanding my age and/or other vulnerable conditions, I will be able to deal in investment products which may involve higher risks;
5. I am not required to bring along a companion during the sales process for investment products and placing orders;
6. My Consultant has provided me sufficient time to process information that has been provided to me in regards to investing with PUTB; and
7. I am comfortable with the method of communication that has been employed by PUTB/ the Consultant, and I confirm that I fully understand my right to receive details in an alternate format, such as, via post or email if I were to request for it.

Signature of Individual Applicant **Date**