

INVESTOR PROFILE

Manulife Asset Management (Thailand) Co., Ltd. (“the Company”) has prepared this questionnaire in compliance with the rules and regulations of the Anti-Money Laundering Office (“the AMLO”) and The Office of the Securities and Exchange Commission (“the SEC”) which requires all Asset Management Companies (“AMCOs”) to keep all investor profiles up to date. All information will be kept confidential and in accordance with Manulife Privacy Policy.

The Company would like to ask you for your cooperation to complete this questionnaire which consists of 2 major sections:

Section 1: Investor Profile (Juristic Person)

Section 2: Assessment of Unitholder’s acceptable level of the risk (Risk Profile)

Section 1: Investor Profile (Juristic Person)

1. Unitholder Name: _____ Unitholder No.

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Address : _____ Postal Code _____

Key Contact Person : _____ Email : _____

Telephone: _____ Fax : _____

2. Type of Business :

- | | | | |
|--|---|--|--|
| <input type="checkbox"/> Bank & Financial Institution | <input type="checkbox"/> Securities Company | <input type="checkbox"/> Insurance/Assurance | <input type="checkbox"/> Retail |
| <input type="checkbox"/> Entertainment | <input type="checkbox"/> Advertising | <input type="checkbox"/> Government Entity | <input type="checkbox"/> Manufacturing |
| <input type="checkbox"/> Hotel/Restaurant | <input type="checkbox"/> Tourism | <input type="checkbox"/> Accountant | <input type="checkbox"/> Real Estate |
| <input type="checkbox"/> Weapon manufacturing/Supplier | <input type="checkbox"/> School/Education Centre | <input type="checkbox"/> Outbound money transfer | <input type="checkbox"/> Legal Office |
| <input type="checkbox"/> Arms/Weapon Dealing | <input type="checkbox"/> Foreign Exchange Centre | <input type="checkbox"/> Jewellery/Gold Trading | <input type="checkbox"/> Antique Trading |
| <input type="checkbox"/> Casino & Gambling | <input type="checkbox"/> Underground Lending Activity | <input type="checkbox"/> Service _____ | <input type="checkbox"/> Others _____ |

3. List of Authorized Directors as appeared in company’s affidavit (Please also specify the name of Managing Director or top management):

No.	Name – Surname	Title
1		
2		
3		
4		
5		
6		
7		
8		
9		
10		

4. Top 10 shareholders :

No.	Name –Surname	Occupation	% of Holding
1			
2			
3			
4			
5			
6			
7			
8			
9			
10			

5. List of Contact Persons

No.	Name-Surname	Title / Department	Telephone
1			
2			
3			
4			
5			

Financial Status Information
1. An average annual income of the company (Unitholder) :

- Lower 10,000,000 Baht
 10,000,001 -25,000,000 Baht
 25,000,001 - 50,000,000 Baht
 50,000,001 - 100,000,000 Baht
 More than 100 Million Baht

2. Please specify source of income (Please tick one or more) :

- Sales Revenues
 Fee Income
 Audit Fee
 Services Revenues
 Revenues from Import and/or Export
 Others (please specify) _____

3. Estimated investment amount with ManulifeAM :

- < 10 Million Baht
 10 - < 50 Million Bath
 50 - < 100 Million Baht
 100 Million Baht & above

Investment Objective (Please select one or more answers)

1. Which type of investment has the Unitholder invested in:

- Bank deposits or Government Bonds Stocks Precious Assets, i.e. Gold
 Corporate Bonds or Fixed income Funds Equity-linked Funds Derivatives or Structured Notes
 Property or Real Estate Others _____

2. Investment Objective:

- Return enhancement Diversification Hedging Others _____

3. Which type of Mutual Fund is the Unitholder interested in?:

- Capital Protection Fund Fixed Income Fund Equity Fund Mixed Fund or Flexible Fund
 Foreign Investment Fund (FIF) Property Fund Others _____

4. Investment constraints _____

Additional Information

1. Third Party Information The Unitholder (UH) is not acting on behalf of a third party
- The UH is acting on behalf of a third party This investment is contributed by a third party
 A third party takes control of this investment as Beneficial owner (the person who is the ultimate beneficial owner or controls/makes the final decision of the UH account):
 Name-surname of third party _____ Relationship _____
 ID card/Passport No. _____ Tel. _____ E-mail _____
 Address _____ Postal Code _____

Note: The Company reserves the right to further details regarding Third Party involvement. In case of any changes related to a Third Party in this section, UH will inform the Company immediately.

2. Has the UH's ultimate beneficial owner done business related to legal office, jewellery/gold/antique trading, foreign exchange centre, outbound money transfer, casino & gambling, arms/weapons manufacturing or agency, underground lending activities? No Yes
3. Has the UH or the ultimate beneficial owner had the following items located in non-FATF countries or NCCT countries.
- 3.1 Nationality, residence, business place/contacting address No Yes
- 3.2 Source of funds. No Yes
4. Has the UH or any immediate family members or Beneficial Owners ever been entrusted with prominent public functions¹, whether in Thailand or a foreign country ("Politically Exposed Persons (PEP)")? No Yes
- If yes, please complete the following questions:
- a) Name of PEP: _____
- b) Position held: _____
- c) Country: _____
- d) Relationship to Unit Holder: _____
- e) Source of Wealth: _____
- f) Source of Fund: _____
- g) During what time period was the position held? Starting year _____ Ending year _____

5. Has the UH ever been refused fiscal transaction from any other financial institution in Thailand or elsewhere?

- No Yes

Please specify the name of institution _____

Type of transaction _____ Reason: _____

6. Is the UH currently the subject of any bankruptcy proceedings or order?

- No Yes

¹ "Prominent Public Functions" includes the roles held by head of state, a head of government, government ministers, senior civil servants, senior judicial or military officials, senior executive of state owned corporations and senior political party officials.

Section 2: Assessment of Unitholder's acceptable level of the risk (Risk Profile)

Important: The completion of the Risk Profile questionnaire is required by the SEC. If investors refuse to complete this questionnaire, the Company will be **unable** to proceed with the subscription or switching or transferring orders placed by such investors.

"This investment" means Total investments in all mutual funds under Manulife Asset Management (Thailand) Co., Ltd.

1. How long has the Unitholder been investing in securities?
 (Securities means Unit Trusts, Debentures, Stocks, Government Bond or Derivatives)
 Inexperienced (1) Less than 1 year (2) 1 to 5 years (3) More than 5 years (4)
2. When will the Unitholder need to make a withdrawal from this investment?
 Less than 1 year (1) 1 to less than 3 years (2) 3 to 7 years (3) More than 7 years (4)
3. Does the Unitholder need current income from this investment for regular expenses?
 Critical (1) Needed to a large degree (2) Needed to a minor extent (3) Not important (4)
4. What percentage of the Unitholder's total assets will this investment represent?
 More than 60% (1) More than 30% to 60% (2) 10 – 30% (3) Less than 10% (4)
5. What is the Unitholder's investment attitude?
 Cannot accept any losses in value of my investments regardless of higher potential return (1)
 Can accept small losses in value of my investments for the possibility of achieving moderately higher returns. (2)
 Can accept losses in value of my investments for the possibility of achieving greater returns (3)
 Has a high return expectation for my investments and have no investment constraints. (4)
6. Investing involves a trade-off between risk and return. Over the long run, the riskier investments have the potential to give investors higher returns than less risky investments as well as the possibility of suffering higher losses.
 What is the Unitholder's risk tolerance level?
 Very low: need secured and capital protection investment regardless of lowest returns and expect current income from investments (1)
 At certain level: can accept some risk/volatility for the possibility of achieving higher long-term returns. (2)
 Moderate: can tolerate market downturns and volatility for the possibility of achieving greater long-term returns (3)
 High: can tolerate the highest degrees of fluctuation (sharp, short-term volatility) in the value of investments for the highest long-term gains. (4)
7. Over some period of time, a very conservative investment mainly focusing on capital protection would generate returns less than inflation rate, which could reduce the purchasing power. Considering the Unitholder's investment objective, Which of the following choices best reflects the Unitholder's attitude toward inflation and risk?
 Need to avoid loss of principal despite receiving lower returns than an inflation rate (1)
 Can accept small losses of principal to achieve higher returns than an inflation rate (2)
 Want to outpace inflation and can tolerate risk/volatility (3)
 Willing to endure large fluctuations in the value of my portfolio for the chance of obtaining a higher return and beating inflation significantly. (4)
8. How large are the losses from investments in Mutual Fund that the Unitholder's could accept?
 Less than 10% (1) 10% to Less than 20% (2) 20 – 50% (3) More than 50% (4)
9. Could the Unitholder accept Foreign Exchange/Currency Risk?
 Yes No

Total score of answers no.1-10 _____
Your acceptable level of risk _____

I hereby confirm that all information given above is accurate and truthful. In addition, I hereby undertake to promptly inform the Company of any changes to the information provided herein.

Therefore, I hereby acknowledge and accept the fact that the result from the "Risk Profile" assessment may not be consistent with transactions that I have taken prior to this test. In addition, in the case that I insist on investing in the mutual fund that is not compatible with my "Risk Profile" in the above-mentioned assessment, I acknowledge and accept the fact that the undertaking of such investment is at my own discretion. As such, I acknowledge and accept the risk associated with such investment and will not hold Manulife Asset Management Co., Ltd. liable for any damages or compensation.

Authorized Person's Signatures : X	Company's Seal (if any)	Marketing Name: _____ Staff Code: _____ IC License No.: _____ Date: _____	Recorded by: _____ Date: _____ Approved by: _____ Date: _____
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The Assessment of Unitholder’s acceptable level of the risk (Risk Profile)

Table 1: Type of Investor and Acceptable Level of Risk

Total Score (Juristic Person)	Which type of investor are you?	Which level of risk is suitable for you?
Lower than 13	Low Risk Investor You are a cautious investor who is unwilling or unable to accept risk/volatility, expect returns higher than bank deposit rates and prefer short-term investments.	1 and should invest in levels of risk at 2-8, not exceeding 20% of total investments.
13-18	Medium to Low Risk Investor You are willing and able to accept low risk/volatility, favour capital preservation investment, and need current income from your investments.	1-4 and should invest in levels of risk at 5-8, not exceeding 20% of total investments.
19-24	Medium to High Risk Investor You can tolerate downs in the short-term value of your investments periodically.	1-5 and should invest in levels of risk at 6-8, not exceeding 20% of total investments.
25-30	High Risk Investor You are able to accept a high level of risk, and can tolerate market fluctuation and losses for the possibility of growing your investments and achieving long-term gains.	1-7 and should invest in levels of risk at 8, not exceeding 20% of total investments.
31up	Very High Risk Investor You are a risk taker who has a high return expectation for your investment and can tolerate higher degrees of fluctuation (sharp, short-term volatility) in the value of your investments and accept significant losses for the possibility of achieving greater long-term gains.	1-8

Table 2 : Suitable Types of Fund According to Levels of Risk

Level of Risk		Which type of fund can you invest in?
Low	1	Money Market Fund investing in Thailand market only
	2	Money Market Fund investing partially in foreign countries • Manulife Strength-Money Market Fund (MS-MONEY)
Medium to Low	3	Government Bond Fund
	4	Fixed Income Fund
Medium to High	5	Fixed Income Fund investing in Structured Note Mixed Fund • Manulife Strength-Flexible Retirement Mutual Fund (MS-FLEX RMF) • Manulife NextStep Stable Growth FIF (MN-STABLE) • Manulife NextStep Balanced Growth FIF (MN-BALANCE) • Manulife NextStep Dynamic Growth FIF (MN-DYNAMIC)
		Equity Fund • Manulife Strength-Core Equity Fund (MS-CORE EQ) • Manulife Strength-Equity Dividend Fund (MS-EQ DIV) • Manulife Strength-Core Long-Term Equity Fund (MS-CORE LTF) • Manulife Strength-China Value Foreign Investment Fund (MS-CHINA VALUE) • Manulife Strength-Emerging Eastern Europe FIF (MS-EE EURO) • Manulife Strength-Asian Small Cap Equity FIF (MS-ASIAN SM) • Manulife Strength-American Growth FIF (MS-AMERICAN) • Manulife Strength-European Growth FIF (MS-EUROPE) • Manulife Strength-Asian Small Cap Equity RMF (MS-ASM RMF) • Manulife Strength-India Equity FIF (MS-INDIA)
High	6	
	7	Sector Fund • Manulife Strength-Healthcare FIF (MS-HCARE) • Manulife US Bank Equity FIF (MN-USBANK)
Very High	8	Alternative Investment Fund • Manulife Asia Pacific Property REIT Fund (MN-APREIT)

- An investor who is **able** to accept currency/exchange rate risk can invest in both local and foreign funds.
- An investor who is **unable** to accept currency/exchange rate risk can invest in local funds and foreign investment funds (fully-hedged).

The above assessment is prepared in accordance with the standard questionnaire and level of risk classified by the Association of Investment Management Companies (AIMC).

Marketing/Sales Agent's DECLARATION

- a) I have personally seen the Proposed Unitholder, explained the terms and condition of the fund to him / her and have verified the Passport / Identification Card of the Proposed Unitholder.

- b) I declare that all the answers provided to me by the Proposed Unitholder is declared in the Application & Investor Profile Form, I have not withheld any other information which may influence the acceptance of this Application & Investor Profile Form by the Company.**

- c) I agree to inform the Company if I suspect that someone who has not been named in the Application or Investor Profile Form will be:
 - i) Paying for the fund account
 - ii) Making decisions about or participating in any way in the fund account
 - iii) Expecting to benefit in any way from the fund account.

Marketing/Sales Agent's Name: _____	Recorded by: _____
Marketing/Salse Agent's Code: _____	Date: _____
IC License No.: _____	Approved by: _____
Date: _____	Date: _____