

**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 of a Proposed Unitholder

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

**Investor Profile of Unitholder**

Mr.  Mrs.  Miss  Other \_\_\_\_\_ Unitholder No.

1. Name: \_\_\_\_\_ Surname: \_\_\_\_\_

ID Type:  ID Card  Passport  Others \_\_\_\_\_

No.: \_\_\_\_\_ Issued Date (dd/mm/yyyy) \_\_\_\_/\_\_\_\_/\_\_\_\_ Expiry Date (dd/mm/yyyy) \_\_\_\_/\_\_\_\_/\_\_\_\_

Marital Status:  Single  Married  Divorced  Widowed

Spouse’s Name-Surname \_\_\_\_\_ ID No. \_\_\_\_\_ with \_\_\_\_\_ children

Details of children who are minors (name-surname and ID card/passport no.), if applicable:

1. \_\_\_\_\_ ID No. \_\_\_\_\_

2. \_\_\_\_\_ ID No. \_\_\_\_\_

3. \_\_\_\_\_ ID No. \_\_\_\_\_

2. Type of Residence:  Home Owner  Resident  Rental  
 Home Owner (installments)  Others \_\_\_\_\_

3. Permanent address \_\_\_\_\_ Postal Code \_\_\_\_\_

Mailing address (if different from above) \_\_\_\_\_ Postal Code \_\_\_\_\_

Tel. \_\_\_\_\_ Fax. \_\_\_\_\_ E-mail \_\_\_\_\_

4. Primary Occupation: (Please tick only one)

Business Owner  Corporate Employee  State Enterprise Employee  Government Employee  
 Politician  Teacher  Student  Self Employed  House wife  
 Marketer  Engineer/Architect  Doctor/Nurse  Press  Others \_\_\_\_\_

Other Occupation that you want to provide us if any \_\_\_\_\_

5. Name of Employer: \_\_\_\_\_ Tel. \_\_\_\_\_

Place of Employment: \_\_\_\_\_ Postal Code \_\_\_\_\_

Position \_\_\_\_\_ Division \_\_\_\_\_

6. Type of Business of Employer

Government Entity  Securities Company  Insurance/Assurance  Retail  
 Bank & Financial Institution  Advertising  Entertainment  Manufacturing  
 Hotel/Restaurant  Tourism  Accountant  Real Estate  
 School/Education Centre  Weapon manufacturing/Supplier  Outbound money transfer  Legal Office  
 Arms/Weapon Dealing  Foreign Exchange Centre  Jewellery/Gold Trading  Antique Trading  
 Casino & Gambling  Underground Lending Activity  Entertainment Spot  Tourism  
 Overseas Employment Agency  Service \_\_\_\_\_  Others \_\_\_\_\_

**Financial Status**

1. How much is your average monthly income?  
 < 50,000 Baht    50,001 -100,000 Baht    100,001 - 500,000 Baht    500,001 - 1,000,000 Baht    > 1,000,000 Baht

2. How much is your average monthly household income?  
 < 150,000 Baht    150,001 -300,000 Baht    300,001 –1,500,000 Baht    1,500,001 - 3,000,000 Baht    > 3,000,000 Baht

3. Please specify source of income (Please tick one or more)  
 Salary    Own Business    Sales of property    Heritage or Gifts    Rental  
 Savings    Returns from Savings or Investments    Others \_\_\_\_\_

4. Estimated investment amount with Manulife:  
 < 1 Million Baht    1 - < 5 Million Baht    5 - < 10 Million Baht    10 Million Baht up

**Investment Objective** (Please select one or more answers)

1. Which type of investment have you invested in currently:  
 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    Own business or partnership    Others \_\_\_\_\_

2. Key Investment Objective:  Retirement    Children’s Education    Wealth Appreciation    Current Income  
 Others \_\_\_\_\_

3. Which type of Mutual Fund are you interested in :  
 Equity Fund    Foreign Investment Fund (FIF)    Long-Term Equity Fund (LTF)  
 Fixed Income Fund    Mixed Fund or Flexible Fund    Retirement Mutual Fund (RMF)  
 Others \_\_\_\_\_

4. Investment constraints \_\_\_\_\_

**Additional Information**

1. Third Party Information    I am not acting on behalf of a third party  
 I am 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 customer 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, I/We will inform the Company immediately.*

2. Have your 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, entertainment spot, tourism or overseas employment agency?  
 No    Yes

3. Have you 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. Have you or any immediate family members or Beneficial Owners ever been entrusted with prominent public functions<sup>1</sup>, 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. Have you 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. Are you currently the subject of any bankruptcy proceedings or order?  
 No    Yes

**Unitholder Signature:** \_\_\_\_\_ **Date** \_\_\_\_\_  
**X** \_\_\_\_\_ **X** \_\_\_\_\_

<sup>1</sup> “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.

Name-Surname: \_\_\_\_\_ Unitholder No.:

Telephone No.: \_\_\_\_\_ e-mail: \_\_\_\_\_

**Assessment of Unitholder's acceptable level of the risk (Risk Profile)**

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

1. What is your age?
  - Above 60 (1)
  - 50 to 60 (2)
  - 35 to 49 (3)
  - Under 35 (4)
2. What is your education level?
  - Below Bachelors degree (1)
  - Bachelors degree or higher (2)
3. How long have you 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)
4. When will you 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)
5. Do you need current income from this investment for your living expenses?
  - Critical (1)
  - Needed to a large degree (2)
  - Needed to a minor extent (3)
  - Not important (4)
6. What percentage of your total assets will this investment represent?
  - More than 60% (1)
  - More than 30% to 60% (2)
  - 10 – 30% (3)
  - Less than 10% (4)
7. What is your investment attitude?
  - I cannot accept any losses in value of my investments regardless of higher potential return (1)
  - I can accept small losses in value of my investments for the possibility of achieving moderately higher returns. (2)
  - I can accept losses in value of my investments for the possibility of achieving greater returns (3)
  - I have a high return expectation for my investments and have no investment constraints. (4)
8. 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 your risk tolerance level?
  - Very low: I need secured and capital protection investment regardless of lowest returns and expect current income from investments (1)
  - At certain level: I can accept some risk/volatility for the possibility of achieving higher long-term returns. (2)
  - Moderate: I can tolerate market downturns and volatility for the possibility of achieving greater long-term returns (3)
  - High: I can tolerate the highest degrees of fluctuation (sharp, short-term volatility) in the value of your investments for the highest long-term gains. (4)
9. 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 of your money. Considering your investment objective, Which of the following choices best reflects your attitude toward inflation and risk?
  - I need to avoid loss of principal despite receiving lower returns than an inflation rate (1)
  - I can accept small losses of principal to achieve higher returns than an inflation rate (2)
  - I want to outpace inflation and can tolerate risk/volatility (3)
  - I am willing to endure large fluctuations in the value of my portfolio for the chance of obtaining a higher return and beating inflation significantly. (4)
10. How large are the losses from investments in Mutual Fund that you could accept?
  - Less than 10% (1)
  - 10% to Less than 20% (2)
  - 20 – 50% (3)
  - More than 50% (4)
11. Could you accept Foreign Exchange/Currency Risk?
  - Yes
  - No

**Total score of answers no.1-10** \_\_\_\_\_ **Your acceptable level of risk** \_\_\_\_\_

**Basic Asset Allocation Based on Unitholder's Acceptable Level of Risk**

Score	Acceptable Level of Risk	Type of Investor	Asset Allocation				
			Deposit and Short-term Debt	Government Debt with tenor of > 1 year	Corporate Debt	Equity	Alternative investment
<input type="radio"/> < 15	1	Low risk	> 60%	< 20%	< 10%	< 5%	
<input type="radio"/> 15 - 21	1-4	Medium to low risk	< 20%	< 70%	< 20%	< 10%	
<input type="radio"/> 22 - 29	1-5	Medium to high risk	< 10%	< 60%	< 30%	< 10%	
<input type="radio"/> 30 - 36	1-7	High risk	< 10%	< 40%	< 40%	< 20%	
<input type="radio"/> > 37	1-8	Very high risk	< 5%	< 30%	< 60%	< 30%	

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. After the "Risk Profile" assessment, I acknowledge that the Company or Selling Agents will inform its results and provide the Basic Asset Allocation based on my acceptable level of risk. 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.

<b>Unitholder Signature:</b> X _____	Date X _____	Marketing Name: _____ Marketing 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**

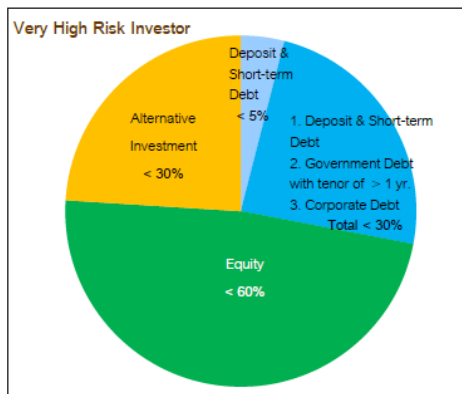
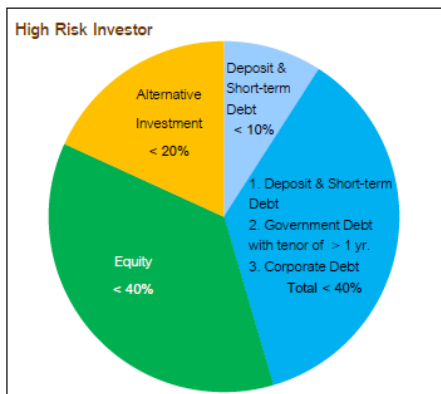
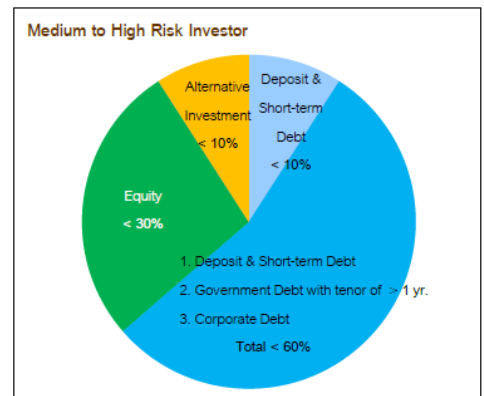
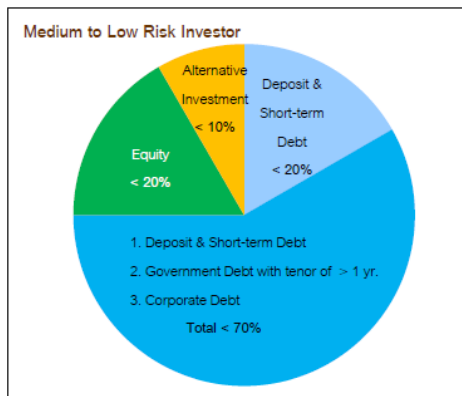
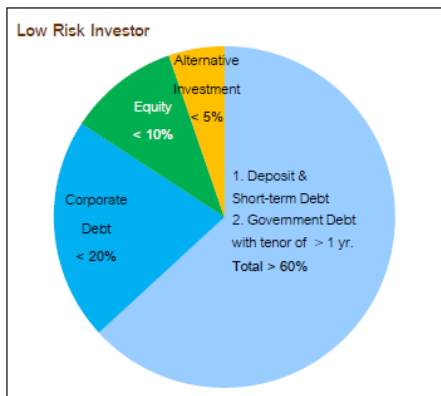
Score	Acceptable Level of Risk	Type of Investor	Type of fund	Funds' Name Under Management of Manulife (Thailand)
< 15	1	Low risk	Money Market Fund investing in Thailand market only	
15 - 21	1-4	Medium to low risk	Money Market Fund investing partially in foreign countries	MS-MONEY
			Government Bond Fund	
			General Fixed Income Fund	
22 - 29	1-5	Medium to high risk	Mixed Fund	MS-FLEX RMF, MN-STABLE, MN-BALANCE, MN-DYNAMIC
30 - 36	1-7	High risk	Equity Fund	MS-CORE EQ, MS-EQ DIV, MS-CORE LTF, MS-CHINA VALUE, MS-EE EURO, MS-ASIAN SM, MS-AMERICAN, MS-EUROPE, MS-ASM RMF, MS-INDIA
			Sector Fund	
> 37	1-8	Very high risk	Alternative Investment Fund	MN-APREIT

**Basic Asset Allocation**

Type of Investor	Asset Allocation				
	Deposit and Short-term Debt	Government Debt with tenor of more than 1 year	Corporate Debt	Equity	Alternative investment*
Low risk	> 60%		< 20%	< 10%	< 5%
Medium to low risk	< 20%	< 70%		< 20%	< 10%
Medium to high risk	< 10%	< 60%		< 30%	< 10%
High risk	< 10%	< 40%		< 40%	< 20%
Very high risk	< 5%	< 30%		< 60%	< 30%

\* including commodity product and derivatives

**Sample of Basic Asset Allocation in Pie Chart**



**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/Sales Agent's Code: _____	Date: _____
IC License No.: _____	Approved by: _____
Date: _____	Date: _____