INVESTOR RISK PROFILING QUESTIONNAIRE (INDIVIDUAL)

PhilEquity

DATE *mm/dd/yyyy*

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OBJECTIVES: The purpose of **Investor Risk Profiling Questionnaire (IRPQ)** is to understand your capacity to accept investment risk and will guide you in selecting your investments.
INSTRUCTIONS: Please choose the statement that most closely defines your needs or best describes your situation. Check the box that corresponds to your choice.

Account Name	
Account Number	

QUESTIONNAIRE

WHAT TYPE OF INVESTOR ARE YOU?	A	B	C	D
1. My age is between	❑ above 65 years	❑ 51 to 65 years	❑ 36 to 50 years	❑ 18 to 35 years
2. My net worth is	❑ below 1 Million	❑ 1 to 5 Million	❑ 5 to 20 Million	❑ Above 20 Million
3. The percentage of my total assets that I plan to invest	❑ More than 75%	❑ 50% to 75%	❑ 25% to 50%	❑ Less than 25%
4. My goal/objective in investing is	❑ Capital Preservation	❑ Regular Cash Flow	❑ Capital Growth and Regular Cash Flow	❑ Capital Appreciation
5. I would need to withdraw my investments in	❑ Less than 1 year	❑ 1 to 2 years	❑ 2 to 5 years	❑ More than 5 years
6. My experience as an investor is	❑ Little Knowledge	❑ Basic	❑ Average	❑ Expert
7. I am most comfortable with the following	❑ Return of 10% and loss of 5%	❑ Return of 20% and loss of 15%	❑ Return of 30% and loss of 20%	❑ Return of 40% and loss of 30%
8. I am comfortable with a drop in my investment of	❑ Less than 10%	❑ 10% to 20%	❑ 20% to 40%	❑ More than 40%

DECLARATION OF MUTUAL FUND REPRESENTATIVE

❑ Client Acknowledgement

I hereby declare that I have read, understood and personally accomplished this entire IRPQ and that the answers I have given are accurate and complete. I understand that the results indicated is only a representation of my risk profile and the suggested investment products are based on my score. I am aware that this type of investment does not provide guarantee against losses. This is also to confirm that I shall formally notify PEMI should there be any change in my risk profile.

VERIFIED SIGNATURE

Primary Investor *Signature over Printed Name* **Date**

❑ Client Acknowledgement and Waiver (For clients investing in products with higher risks)

I hereby declare that I have read, understood and personally accomplished this entire IRPQ and that the answers I have given are accurate and complete.

I hereby waive the results of my risk assessment and have decided to invest instead in another fund which has a risk level that is higher than what is recommended. I fully understand that I am taking more risks in exchange for possible higher returns. I expressly agree to assume such risks. I shall indemnify and hold harmless the members of PEMI, its directors, officers and employees for any claim, suit, action, loss, damage or expense which might such indemnified persons and/or I may incur as a result of my decision to invest in products with higher risks.

VERIFIED SIGNATURE

Primary Investor *Signature over Printed Name* **Date**

CONFORMITY OF CO-INVESTORS

I/We hereby accept the results of the IRPQ of the Profiled Client, and agree and confirm that the same shall be used as the basis/reference for the investments of the account/s opened/ to be opened.

VERIFIED SIGNATURE VERIFIED SIGNATURE

Co-Investor 1 *Signature over Printed Name* **Co-Investor 2** *Signature over Printed Name*

DECLARATION OF MUTUAL FUND REPRESENTATIVE

I hereby attest and acknowledge that I have explained in detail and discussed with the client the:

1. Results of the IRPQ
2. Basis for my recommendation
3. Basic terms and conditions of the recommended investment which are also found in the Fund's prospectus provided to the client

VERIFIED SIGNATURE

Certified Investment Solicitor *Signature over Printed Name* **CIS License Number** **Date**

RISK PROFILING RESULTS

Letter	Total Per Letter	Weight	Total
A		x 4	
B		x 6	
C		x 8	
D		x 10	
		Grand Total	

TOTAL SCORE	RISK PROFILE	DESCRIPTION	RECOMMENDED INVESTMENT
30 - 49	Conservative (Low)	Your investment horizon is short and you prefer to take minimal risk. Security is your most important concern.	Bond Funds
50 - 69	Balanced (Medium)	Your investment horizon is long enough to benefit from a balance between growth and security. You are willing to accept some risk for potential higher returns over time.	Bond Funds Balanced Funds or Combination of Bonds and Equity Funds
70 - 80	Aggressive (High)	Your investment horizon is long enough to benefit from an aggressive growth orientation. Your main concern is growth of money that will be invested for a long period of time. You are comfortable riding out the ups and downs in the market for potential higher long-term results.	Bond Funds Balanced Funds or Combination of Bonds and Equity Funds Equity Funds

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