



CLIENT SUITABILITY ASSESSMENT FORM (CORPORATE)

This Client Suitability Assessment (CSA) Form will guide you in choosing investment outlets that are best suited to your investments objectives, appetite, preference, and experience. The information you will provide will form the basis of our suggestions. It is important to provide accurate and complete information to ensure appropriate solutions are discussed.

COMPANY DATA

COMPANY NAME	NATURE OF BUSINESS	DATE UNDERTAKEN
PHONE NO/S.	NUMBER OF EMPLOYEES <input type="checkbox"/> less than 200 <input type="checkbox"/> 200 to 500 <input type="checkbox"/> 500 to 1000 <input type="checkbox"/> more than 1000	
MAILING ADDRESS	YEARS OF OPERATION	

FINANCIAL AND INVESTMENT PROFILE

FINANCIAL STATEMENT (Please attach last period's audited financial statement)

APPROXIMATE LIQUID FUNDS <input type="checkbox"/> [1] Less than Php 5 Million <input type="checkbox"/> [2] Php 5 Million to Php 50 Million <input type="checkbox"/> [3] Php 50 Million to Php 100 Million <input type="checkbox"/> [4] Php 100 Million to Php 500 Million <input type="checkbox"/> [5] More than Php 500 Million	CURRENCY OF INVESTMENTS HELD (Select all that apply) <input type="checkbox"/> [1] Philippine Peso <input type="checkbox"/> [3] Hong Kong Dollars <input type="checkbox"/> [2] US Dollars <input type="checkbox"/> [3] Singaporean Dollars <input type="checkbox"/> [3] Euros <input type="checkbox"/> [3] Chinese Yuan <input type="checkbox"/> [3] UK Pounds <input type="checkbox"/> [3] Others: _____ <input type="checkbox"/> [3] Australian Dollars
How do you perceive the company's level of investment experience? <input type="checkbox"/> [1] No experience <input type="checkbox"/> [2] Fairly experienced <input type="checkbox"/> [3] Very experienced	In what securities has the company / fund invested before? <input type="checkbox"/> [1] In bank deposits, BSP SDAs, and money market placements <input type="checkbox"/> [2] In medium to long term government securities <input type="checkbox"/> [3] In mutual funds, UITFs, and corporate bonds <input type="checkbox"/> [4] In domestic and global stocks and in foreign currency
APPROXIMATE TOTAL EQUITY VALUE _____	

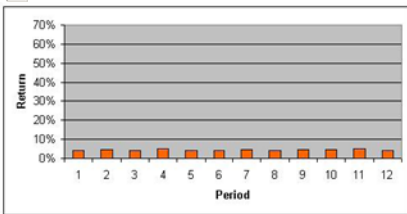
INVESTMENT OBJECTIVES

What statement best defines your investment objective? <input type="checkbox"/> [1] To prevent loss of principal of my investments and generate interest income. Low but positive returns are preferred. Losses should be avoided. <input type="checkbox"/> [2] To preserve the real value of my investments and generate interest income. Minimal risk can be taken in order to earn higher returns than regular deposits. <input type="checkbox"/> [3] To grow my investments from a combination of interest income and capital appreciation. Moderate risk can be tolerated in exchange for some capital appreciation. <input type="checkbox"/> [4] To grow my investments at significant capital appreciation. There is tolerance for large negative returns, for higher volatility and for possible loss of investment.	How would you describe your institution's investment horizon and liquidity requirement? <input type="checkbox"/> [1] Less than 1 year. The funds are the main source of liquidity. <input type="checkbox"/> [2] 1 to 3 years. The funds may be used in the medium-term. <input type="checkbox"/> [3] 3 to 5 years. The funds are for medium to long-term needs. <input type="checkbox"/> [4] Greater than 5 years. The funds are for long-term investment.
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RISK APPETITE

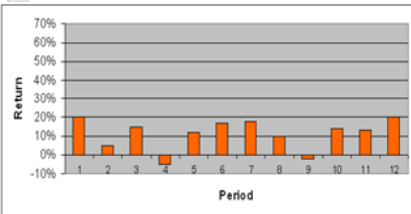
What set of portfolio returns would the company / fund be most comfortable with? (Returns on the graphs are for illustration only. They are neither actual nor expected returns)

[1]



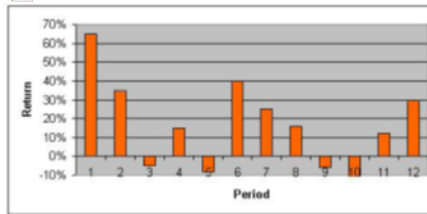
There are relatively minimal fluctuations in the portfolio's returns. The portfolio produces steady yields.

[2]



There are moderate fluctuations in the portfolio's returns. The portfolio produces modest interest income and capital appreciation.

[3]



There are large fluctuations in the portfolio's returns. The portfolio may achieve substantial gains but with risk of potential loss.

What would be the company / fund's preferred asset allocation?

- | | |
|---|---|
| <input type="checkbox"/> [1] 100% in liquid investments withdrawable anytime. | <input type="checkbox"/> [4] A balanced portion in fixed-income securities and equities. |
| <input type="checkbox"/> [2] 100% in fixed-income securities | <input type="checkbox"/> [5] A small portion in fixed-income and a large portion in equities. |
| <input type="checkbox"/> [3] A large portion in fixed-income securities and a portion in equities | <input type="checkbox"/> [6] 100% in equities. |



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CLIENT CONFORME

My signature below indicates that:

- * I understand that this Client Suitability Assessment is used as a guide for the Trust marketing personnel / account officer to present or recommend investments alternatives, which may include UnionBank's UITFs.
- * I understand that Trust products are not deposit accounts, or an obligation of, or guaranteed, or insured by the Trust Entity or its affiliates or subsidiaries. I also acknowledge that these are **not insured or governed by PDIC**.
- * I will formally notify the Trust marketing personnel / account officer of changes to my personal and/or financial situation that would change my risk profile. I acknowledge that the Client Suitability Assessment is subject to review at least every 3 years.
- * The bank's Trust marketing personnel / account officer have explained and discussed to me in detail the results of my Client Suitability Assessment, the basis of their recommendation, and the terms and conditions of the recommended investment outlet.

TOTAL SCORE: _____

RISK PROFILE: _____

CLIENT
Signature over Printed Name

DATE

FOR TRUST MARKETING USE ONLY

I have explained to you in detail and discussed with you the following:

- [1] results of the Client Suitability Assessment
- [2] basis of our recommendation
- [3] terms and conditions of the recommended investment outlet

TRUST MARKETING PERSONNEL
Signature over Printed Name

DATE

www.unionbankph.com