

# SOPHISTICATED INVESTOR DECLARATION FORM

I/We\* \_\_\_\_\_

hereby declare and confirm that:

- (a) I am a / we are\* **Sophisticated Investor(s)** (as defined below) (Note: please tick the applicable categories of investor in Appendix);
- (b) my/our\* declaration is accurate as to the matter stated herein and am/are\* prepared to furnish any documentary evidence to establish the accuracy of my/our\* declaration;
- (c) I/we\* also undertake to notify BOS Wealth Management Malaysia Berhad ("BOSWM MY") immediately of any subsequent change in my/our status as **Sophisticated Investor(s)**; and
- (d) in any event, I/we\* agree to indemnify and keep BOSWM MY indemnified in respect of any costs, expenses, fines, penalties, or any other losses, which it has actually suffered or incurred as a result of my/our\* declaration being untrue or incorrect.

☐ **Optional: Request to opt-out of Investor-Suitability Assessment for investment in Mutual Fund**

I/We\* , \_\_\_\_\_

**[entity name]**, hereby declare and confirm that I/we wish to opt-out from completing the Investor-Suitability Assessment provided by BOS Wealth Management Malaysia Berhad.

Notes:

- the option to opt-out is only available to accredited investors and high net-worth entities as defined below.
- Investor-Suitability Assessment is a process which requires the investor to complete a risk-profiling (questionnaire), subject to regular suitability review and other due processes from time to time. The Investor-Suitability Assessment will guide the investor in choosing the unlisted capital market products that suit the investor's investment objectives, risk tolerance, financial profile and investment experience and the information provided in the Investor-Suitability Assessment will form the basis of investment recommendation made by our front-office personnel.
- You may reverse your decision to opt-out of Investor-Suitability Assessment by writing to us or speak to our personnel to have your investment risk profile assessed.

\* Delete where appropriate.

\* In the case of joint account, please provide this Sophisticated Investor Declaration Form for each account holder.

\_\_\_\_\_  
**Signature of Applicant/  
 Authorised Signatory**  
**Date:**

\_\_\_\_\_  
**Signature of Applicant/  
 Authorised Signatory**  
**Date:**

\_\_\_\_\_  
**Affix Seal or  
 Company Stamp**

## APPENDIX: DEFINITION OF SOPHISTICATED INVESTORS

**Any person who is determined by the Securities Commission to be a sophisticated investor in any guidelines issued under section 377 of the Capital Markets and Services Act 2007 (as amended from time to time). These would include (but not limited to) the following:**

### A. ACCREDITED INVESTORS

- ☐ 1. A unit trust scheme, private retirement scheme or prescribed investment scheme.
- ☐ 2. Bank Negara.
- ☐ 3. A licensed person or a registered person.
- ☐ 4. An exchange holding company, a stock exchange, a derivatives exchange, an approved clearing house, a central depository or a recognized market operator.
- ☐ 5. A corporation that is licensed, registered or approved to carry on any regulated activity or capital market services by an authority in Labuan or outside Malaysia which exercises functions corresponding to the functions of the Securities Commission.
- ☐ 6. A bank licensee or an insurance licensee as defined under the Labuan Financial Services and Securities Act 2010 [Act 704].
- ☐ 7. An Islamic bank licensee or a takaful licensee as defined under the Labuan Islamic Financial Services and Securities Act 2010 [Act 705].
- ☐ 8. A chief executive officer or a director of any person referred to in paragraphs 3, 4, 5, 6 and 7.
- ☐ 9. A closed-end fund approved by the Securities Commission.

### B. HIGH-NET WORTH ENTITIES

- ☐ 10. A company that is registered as a trust company under the Trust Companies Act 1949 and has assets under its management exceeding ten million ringgit or its equivalent in foreign currencies.
- ☐ 11. A corporation that—
  - a) is a public company under the Companies Act 2016 which is approved by the Securities Commission to be a trustee under the Act and has assets under its management exceeding ten million ringgit or its equivalent in foreign currencies; or
  - b) is carrying on the regulated activity of fund management solely for the benefit of its related corporations and has assets under its management exceeding ten million ringgit or its equivalent in foreign currencies.
- ☐ 12. A corporation with total net assets exceeding ten million ringgit or its equivalent in foreign currencies based on the last audited accounts.
- ☐ 13. A partnership with total net assets exceeding ten million ringgit or its equivalent in foreign currencies.
- ☐ 14. A statutory body established under any laws whose function or mandate is investment in capital market products.
- ☐ 15. A pension fund approved by the Director General of Inland Revenue under the Income Tax Act 1967.

### C. HIGH-NET WORTH INDIVIDUAL

- ☐ 16. An individual whose total net personal assets exceeding three million ringgit or its equivalent in foreign currencies, provided that the net value of the primary residence of the individual contribute not more than one million ringgit of the total net assets.
- ☐ 17. An individual whose total net joint assets with—
  - a) his or her spouse; or
  - b) his or her child,exceeding three million ringgit or its equivalent in foreign currencies, provided that the net value of the primary residence of the individual with his or her spouse or child contribute not more than one million ringgit of the total net assets.
- ☐ 18. An individual who has a gross annual income exceeding three hundred thousand ringgit or its equivalent in foreign currencies in the preceding twelve months.
- ☐ 19. An individual who jointly with his or her spouse or child, has a gross annual income exceeding four hundred thousand ringgit or its equivalent in foreign currencies in the preceding twelve months.
- ☐ 20. An individual whose total net personal investment portfolio or total net joint investment portfolio with his or her spouse or child, in any capital market products exceeding one million ringgit or its equivalent in foreign currencies.
- ☐ 21. An individual who holds any of the following qualifications and has five consecutive years of relevant working experience in finance, economics, actuarial science or accounting—
  - a) holds a Bachelor's or Master's degree related to Finance, Economics or Actuarial Science;
  - b) holds a Bachelor's or Master's degree in Accounting; or
  - c) holds a Master of Business Administration;
- ☐ 22. An individual who holds the following membership in the associations as set out below:
  - a) Active Member of Chartered Financial Analyst (CFA) Institute;
  - b) Chartered Banker of Asian Institute of Chartered Bankers (AICB);
  - c) Ordinary Member of Financial Markets Association Malaysia (FMAM);
  - d) Chartered Accountant, C.A(M) of Malaysian Institute of Accountants (MIA);
  - e) Ordinary Member of Malaysia Association of Tax Accountants (MATA);
  - f) Accredited Angel Investor of Malaysian Business Angel Network (MBAN);
  - g) Certified Member of Financial Planning Association of Malaysia (FPAM); or
  - h) Ordinary Member of Malaysian Financial Planning Council (MFPC); or

- ☐ 23. An individual who has five consecutive years of working experience in a capital market intermediary relating to product development, corporate finance, deal advisory, investment management, sales and trading, investment research and advisory, financial analysis, or the provision of training in investment products.

**D. OTHER CATEGORIES**

☐ 27. Any person who acquires unlisted capital market products where the consideration is not less than two hundred and fifty thousand ringgit or its equivalent in foreign currencies for each transaction whether such amount is paid for in cash or otherwise.

☐ 28. Such other categories of investor(s) as may be specified by the Securities Commission Malaysia to be Sophisticated Investor from time to time. If so, please specify details: \_\_\_\_\_

**FOR OFFICE USE ONLY**

Category of Sophisticated Investor(s)\*

\_\_\_\_\_  
Name of Front Office representative

\_\_\_\_\_  
Signature  
Date:

\*Please indicate the category accordingly:  
Example: Category of Sophisticated Investor(s)