



# Client Data Collection Form

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## Important Notice to Clients

The Corporations Law requires that a Financial Adviser making financial product recommendations must have reasonable grounds for making those recommendations. This means that a Financial Adviser must conduct appropriate investigations as to the financial objectives, situation and particular needs of the client. The information requested in this form is necessary to enable recommendations to be made and will be used solely for that purpose. We accept no liability for any advice given on the basis of inaccurate or incomplete information.

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## Privacy Statement

This booklet has been designed to efficiently gather only the information necessary for your Maddern Financial Advisers Pty Ltd Private Client Adviser to best assist you in achieving your financial goals. Please assist your Representative by completing as much as you can. If you are unsure about the nature or details of the information required, feel free to leave any section blank and discuss these further with your Adviser during your appointment.

**Client Name:**

**Partner/Spouse:**

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## PRIVATE AND CONFIDENTIAL

**Private Client Adviser:**

**Date of initial interview:**

## Disclaimer

The information contained in this document is for the exclusive use of Maddern Financial Advisers Pty Ltd. Any use or copying of this information is prohibited unless prior written consent has been provided by the management of Maddern Financial Advisers Pty Ltd.

Enquiries are to be directed to:

Maddern Financial Advisers Pty Ltd  
Suite 238, 29 Milton Parade  
MALVERN, Vic 3144

(p) +61 3 9999 7200 (f) +61 3 9822 7580

(e) [info@maddernfinancial.com.au](mailto:info@maddernfinancial.com.au)

(w) [www.maddernfinancial.com.au](http://www.maddernfinancial.com.au)

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**Maddern Financial Advisers Pty Ltd**  
**ABN 83 104 046 657**  
**Australian Financial Services Licence Number 332556**

## Maddern Financial Advisers Pty Ltd Privacy

Maddern Financial Advisers Pty Ltd is committed to ensuring the confidentiality and security of your personal information. A copy of our privacy policy detailing how we handle your personal information is available on request.

Maddern Financial Advisers Pty Ltd adhere to the National Privacy Principles and seek to apply consistent privacy practices. Where you seek financial advice from one of our representatives, he or she will provide you with information on the privacy practices of that business. This Privacy Statement outlines how Maddern Financial Advisers Pty Ltd and its company offices handle your personal information.

You may request access to information held by us about you, your investment portfolio and any other Maddern Financial Advisers Pty Ltd Financial Planning services which you may receive by contacting us on (03) 9999 7200.

In order to manage and administer our financial planning and advice services, it may be necessary for us to disclose your personal information to certain third parties. Unless you consent to this disclosure we may not be able to provide you with financial planning and advice services. The types of organisations to whom we may disclose your personal information include:

- financial institutions for the provision of financial products such as investments, superannuation, life insurance
- your financial adviser for the purpose of managing your investments and financial products
- organisations undertaking compliance reviews of our financial advisers or reviews of the accuracy and completeness of our information
- organisations providing mailing services, maintenance of our information technology systems and printing of our standard documents and correspondence.

We will only disclose your personal information to these organisations to enable them to undertake specified management and administration services. Maddern Financial Advisers Pty Ltd will not disclose your information for any other purpose unless requested by you.

In some cases, it may be necessary to share your personal information with other divisions of the business including Maddern Financial Accounting such as information technology or for the provision of financial services that you have selected.

Please select if you **authorise MFA** to share information with the following divisions/parties:

	<b>Yes</b>	<b>No</b>
Maddern Accountants Pty Ltd:	<input type="checkbox"/>	<input type="checkbox"/>
Maddern Financial Advisers Pty Ltd (Loans Division):	<input type="checkbox"/>	<input type="checkbox"/>
Rennick & Gaynor Solicitors (Estate Planning):	<input type="checkbox"/>	<input type="checkbox"/>

**Client 1**

**Client 2**

Signature

\_\_\_\_\_

\_\_\_\_\_

Date

Where you wish to authorise any other parties to act on your behalf, to receive information and/or undertake transactions, please notify us in writing.

We may send you further information from time to time about Maddern Financial Advisers Pty Ltd and Maddern Financial Accounting Pty Ltd. You may elect to stop receiving such information at any time by contacting us on (03) 9999 7200.

You may at any time advise us that you wish to recommence receiving Maddern Financial Advisers Pty Ltd information.

Personal Details	Client 1	Client 2
Title		
Given Names		
Surname		
Date of Birth		
Nationality		
Marital Status		
Home Address		
	State                      Postcode	State                      Postcode
Postal Address		
	State                      Postcode	State                      Postcode
Are you contemplating moving?	Y/N	Y/N
Home Phone		
Work Phone		
Mobile Phone		
Fax Phone		
Email address	@	@

Details of Children/Dependents	Child 1	Child 2	Child 3	Child 4
Given Names				
Surname				
Relationship				
Gender				
School & Grade				
Date of Birth				
Special Requirements				

Health Details	Client 1	Client 2
State of Health		
Are you aware of any health issues that may impact your ability to earn an income?	Y/N (If Y, details):	Y/N (If Y, details):
Do you smoke?	Y/N	Y/N
Have you smoked in the past 12 months?	Y/N	Y/N
Do you have Private Health Insurance?	Y/N	Y/N

Employment Details	Client 1	Client 2
Employment/Business Status <i>(Please circle)</i>	Full Time/Part Time/Casual Unemployed/Retired Sole Trader/Contractor Partnership/Company Self employed/Other	Full Time/Part Time/Casual Unemployed/Retired Sole Trader/Contractor Partnership/Company Self employed/Other
Position Title		
Primary Duties		
Hours per week		
Employment Finished		
Employer/Business name		
Start Date		
Are you contemplating changing your employment? When?		

Income Details	Client 1	Client 2
Salary (Gross)	\$	\$
Bonus/Profit Share	\$	\$
Fringe Benefits	\$	\$
Investment Income	\$	\$
Centrelink/DVA income Social Security	\$	\$
Super/Annuity Income	\$	\$
Deductible amount (if applicable)	\$	\$
Other income	\$	\$
<b>Total Income</b>	\$	\$
<b>Total Combined</b>	\$	\$

## Future Needs, Objectives and Goals

### Recent Financial/Lifestyle Changes


### Anticipated Financial/Lifestyle Changes/Areas of concern you would like addressed.


### Short Term (1 - 3 yrs)


### Medium Terms (4 - 7 yrs)


### Long Term (7 yrs plus)


Estate Planning Details	Client 1	Client 2
Do you have a current will?	Yes/No	Yes/No
Date will last reviewed	___/___/___	___/___/___
Power of Attorney	Yes/No	Yes/No
Type / Name of Attorney		
Do you wish for me to arrange for your will to be prepared?	Y/N	Y/N

Retirement Details	Client 1	Client 2
Planned Retirement Age		
Desired Retirement Income (In today's Dollars)	\$	\$

## Planned Major Expenses

Are you contemplating any lump sum or planned expenditure?

	\$	When? (e.g. within 12 months, 1-2 years)
Car		
Buying a new main residence		
House Improvement		
Investment property purchase		
Holiday Expense		
Children's Education / Wedding		
Debt Repayment		
Other		
What cash reserve do you require for emergencies or unforeseen expenses?		
Are you expecting a future lump sum or inheritance?		

## Other Professional Advisers

### Accountant

Name:			
Company:			
Do we have the authority to contact?	Yes / No	Phone Contact	

### Solicitor

Name:			
Company:			
Do we have the authority to contact?	Yes / No	Phone Contact	

### Bank Manager or Other

Name:			
Company:			
Do we have the authority to contact?	Yes / No	Phone Contact	

## Tax File Number Declaration

I authorise MFA Pty Ltd to hold my tax file number. I authorise MFA Pty Ltd or other recipients approved by MFA Pty Ltd to disclose my TFN or exemption status to me, the ATO and investment bodies.

**NOTE:** MFA is NOT permitted to disclose TFN to superannuation bodies, ADF or assistance agencies

TFN: \_\_\_\_\_

TFN: \_\_\_\_\_

Signed \_\_\_\_\_

Date:

Signed \_\_\_\_\_

Date:

Assets		Liabilities								
Description	Current Value (\$)	Purchase Value (\$)	Owing (\$)	Lender	Rate %	Freq W/FT/M	PI/IO	Fixed/Variable	Owner	Term/Expiry
Family Home										
Investment Property 1										
Investment Property 2										
Investment Property 3										
Overdraft										
External - Managed Funds/Shares										
Credit Card										
Credit Card										
Personal Loan										
Overdraft										
Other										
Other										
Other										

# PERSONAL BUDGET

Weekly

Fortnightly

Monthly

<b>RENT/BOARD</b>			<b>SCHOOL FEES AND EXPENSES</b>			<b>INCOME</b>	
Rent payments	\$		School Uniforms	\$		Your Pay	
Board Only	\$		School Fees	\$		\$	
Board inclusive of food and utilities	\$		Text Books/Stationary	\$		Spouse Pay	
<b>TOTAL RENT/BOARD</b>		A \$	Tuck shop/School Excursions	\$		\$	
<b>MORTGAGE</b>			<b>TOTAL EDUCATION EXPENSES</b>			Centrelink	
Mortgage Payments	\$			M \$		\$	
<b>TOTAL MORTGAGE PAYMENTS</b>		B \$	<b>CHILD CARE</b>			\$	
<b>RATES</b>			<b>TOTAL CHILD CARE PAYMENTS</b>			Maintenance	
Rates	\$			N \$		\$	
Council	\$		<b>CHILD SUPPORT &amp; MAINTENANCE PAYMENTS</b>			\$	
Strata levies	\$		<b>TOTAL CHILD SUPPORT PAYMENTS</b>			Other Income	
<b>TOTAL RATE PAYMENT</b>		C \$		O \$		\$	
<b>HOME MAINTENANCE</b>			<b>OTHER CHILDREN EXPENSES</b>			\$	
Household improvements	\$		Sport	\$		<b>TOTAL INCOME</b>	
<b>TOTAL HOME MAINTENANCE</b>		D \$	Music/dance lessons	\$			
<b>FOOD/GROCERY EXPENSES</b>			<b>CLOTHES, SHOES, HAIRDRESSING, ETC.</b>			<b>EXPENSES</b>	
Food & Drink	\$		Clothing	\$		A	\$
Household Non Durables	\$		Footwear	\$		B	\$
Nappies, etc.	\$		Hairdressing	\$		C	\$
Milk, Bread, Misc.	\$		Personal Grooming	\$		D	\$
Take away foods	\$		<b>TOTAL OTHER CHILDREN EXPENSES</b>		P \$	E	\$
<b>TOTAL FOOD/GROCERIES</b>		E \$	<b>INCIDENTALS</b>			F	\$
<b>PHONES/MOBILES/INTERNET</b>			Superannuation (Contribution Only)			G	\$
Home Phone	\$		Lay-Bys/Crisco etc.			H	\$
Mobile Phone	\$		Animal Expenses			I	\$
Internet	\$		Fees-Union /Legal/Accounting			J	\$
Cable TV	\$		Vacations			K	\$
<b>TOTAL PHONES/INTERNET, ETC.</b>		F \$	Video & DVD hire			L	\$
<b>Electricity, gas, water</b>			Movies			M	\$
Gas	\$		Newspapers, Magazines, Books			N	\$
Electricity	\$		Cigarettes			O	\$
Oil/wood/pump out	\$		Alcohol Consumption			P	\$
Water	\$		Sports Fees			Q	\$
<b>TOTAL ELECTRICITY/GAS</b>		G \$	Other			R	\$
<b>HEALTH INSURANCE</b>			Gift			S	\$
<b>TOTAL HEALTH INSURANCE</b>		H \$	Donation			T	\$
<b>MEDICAL/CHEMIST EXPENSES</b>			Parent pocket money			U	\$
Medical Expenses	\$		Gambling (lotto/scratchy)				
Dental Expenses (Braces, etc.)	\$		<b>TOTAL INCIDENTAL EXPENSES</b>			R	\$
Vitamins/Pharmaceuticals	\$		<b>OTHER PAYMENTS TO SECURED CREDITORS</b>				
<b>TOTAL MEDICAL/CHEMIST</b>		I \$	Payments to furniture/whitegoods rentals			\$	\$ 0.00
<b>CAR PAYMENTS TO SECURED CREDITOR</b>			Payments to other secured creditors			\$	
<b>TOTAL CAR PAYMENTS SECURED</b>		J \$	Payments to (excluded) unsecured creditors			\$	
<b>CAR/FUEL/REGISTRATION/INSURANCE</b>			<b>TOTAL OTHER PAYMENTS</b>			S	\$
Car registration	\$		<b>TRANSPORT EXPENSES</b>				\$
Car Insurance	\$		Train/Bus Fares			\$	
Car servicing & repairs	\$		Taxi Fares			\$	
Fuel	\$		Fuel for Use or Other Parties Car, etc.			\$	
<b>TOTAL CAR/FUEL/REGO/INSURANCE</b>		K \$	<b>TOTAL TRANSPORT EXPENSES</b>			T	
<b>OTHER INSURANCE</b>			<b>OTHER HOUSEHOLD EXPENSES</b>				
House Insurance	\$		Household Replacements			\$	
Contents Insurance	\$		<b>TOTAL HOUSEHOLD EXPENSES</b>			U	\$
Life Insurance	\$						
<b>TOTAL INSURANCE EXPENSES</b>		L \$					
<b>Signature</b>		<b>Signature</b>		<b>Date:</b> ____ / ____ / ____			

Superannuation Details			
Superannuation Fund	Owner	Current Value	Membership No
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	
		\$	

Insurance Details				
Policy Type	Policy Owner	Life Insured	Level of Cover	Conditions
			\$	
			\$	
			\$	
			\$	
			\$	
			\$	
			\$	
			\$	

Brief summary of work-related activities	
Do you have any dangerous hobbies?	(E.g. skydiving)
<b>Have you been to see a doctor for a non-routine check or any medical ailment over the past 18 months? If so, please provide details below:</b>	

## Insurance Objectives & Concerns

Protection of family and/or assets in the event of Death or Total and Permanent Disablement	Client 1	Client 2
Liabilities to be paid out (e.g. Mortgage, Personal Loans)	\$	\$
Children's Education Expenses	\$	\$
Income to be Replaced	\$	\$
For how long would you want your income replaced?		
Funeral Expenses	\$	\$
Emergency Fund	\$	\$
Other	\$	\$
<b>Total</b>	<b>\$</b>	<b>\$</b>

Provide against Critical Illness or Major Trauma	Client 1	Client 2
Liabilities to be paid out (e.g. Mortgage, Loans)	\$	\$
Other Expenses (e.g. Medical, Home Improvements)	\$	\$
Income to be Replaced	\$	\$
Other	\$	\$
<b>Total</b>	<b>\$</b>	<b>\$</b>

Protect Income against Serious Illness or Injury	Client 1	Client 2
Amount of Income to be Covered	\$	\$
Waiting Period (How long could you sustain lifestyle without earning income?)		
Benefit Period (If you needed to make claim, for how long would you like benefits paid?)		
Other		
<b>Total</b>	<b>\$</b>	<b>\$</b>

Business Insurance (detail in notes below)	Client 1	Client 2
Need for share purchase, partnership insurance		
Business overheads insurance		
Do you require Key person insurance?		

## Investor Risk Profile

Your attitude to risk is probably the most important factor to consider before investing. To achieve higher returns, you will have to be prepared to accept a higher risk of capital loss. This is because the funds and assets that offer high returns are generally more volatile than those producing lower returns. It is what we call 'risk/return trade off'.

We will recommend investment strategies to match your investments to your risk profile. Investing across the various investment sectors according to your risk profile is called diversification. For example, instead of investing only in property, or only in shares, you might invest a proportion in both, or even include cash or fixed interest to create a balanced portfolio.

This workbook will help us to understand what type of Investor you can afford to be and will enable us to recommend a personal asset allocation tailored to your needs. Please complete questions below by circling the answer that most closely describes you for each question.

Investor Risk Profile	Client 1	Client 2
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1. Which of the following best describes your current stage of life?			
a.	<b>Single with few financial burdens.</b> You are keen to accumulate wealth for the future. Some funds must be kept available for enjoyment such as cars, clothes, travel and entertainment.	50	50
b.	<b>A couple without children.</b> You may be preparing for the future by establishing a home. This stage of life has a high purchase rate of consumer items. You are probably financially better off now than you may be in the future.	40	40
c.	<b>Young Family.</b> This is the peak home purchasing stage. You have a mortgage and may maintain only small cash balances. Probably dissatisfied with your financial position and the amount of money saved.	30	30
d.	<b>Mature Family.</b> You are in your peak earning years and have got the mortgage under control. Many partners also work and any children are growing up and have either left home or require less supervision. You are starting to think about retirement, although it may be a few years away.	50	50
e.	<b>Preparing for retirement.</b> You probably own your own home and have few financial burdens, however are concerned whether you can afford a comfortable retirement. Interested in travel, recreation and self education.	20	20
f.	<b>Retired.</b> No longer working you must rely on existing funds and investments to maintain your lifestyle. You may be receiving the pension and are keen to enjoy life and maintain your health.	10	10

2. Given the current interest rate, what returns are you reasonably expecting to achieve from an investment?			
a.	A return without losing any capital.	10	10
b.	Current inflation rate plus 2-4%	20	20
c.	Current inflation rate plus 5-7%	30	30
d.	Current inflation rate plus 8-12%	40	40
e.	Over 12%	50	50

3. Assuming you didn't need your capital for more than 10 years. How long would be prepared to see your investment performing poorly before you cashed it in?			
a.	You would cash it in if there were any loss in value.	0	0
b.	Up to 3 months	10	10
c.	Up to 6 months	20	20
d.	Up to 1 year	30	30
e.	Up to 2 years	40	40
f.	More than 2 years	50	50

<b>4. How familiar are you with investment markets?</b>			
a.	Very little understanding or interest	10	10
b.	Not very familiar	20	20
c.	Have enough experience to understand the importance of diversification	30	30
d.	Understand that markets may fluctuate and that different market sectors offer different income, growth and taxation characteristics.	40	40
e.	Experience with all investment sectors and understand the various factors which may influence performance.	50	50

<b>5. The greatest tax savings are generally obtained from more volatile investments. Which balance would you be most comfortable with?</b>			
a.	Preferable guaranteed returns, before tax savings	10	10
b.	Stable reliable returns, minimal tax savings	20	20
c.	Some variability in returns, some tax savings	30	30
d.	Moderate variability in returns, reasonable tax savings	40	40
e.	Unstable, but potentially higher returns, maximising tax savings.	50	50

<b>6. Assuming you placed an investment 6 months ago. What would your reaction be if the value of that particular investment had decreased by 20% since its inception?</b>			
a.	Horror. Security of your capital is critical and you did not intend to take any risks.	10	10
b.	You would cut your losses and transfer your funds into more secure investments.	20	20
c.	You would be concerned, but would wait to see if the investments improve.	30	30
d.	This was a calculated risk and you would leave the investments in place, expecting performance to improve.	40	40
e.	You would invest more funds to lower your average investment price, expecting future growth.	50	50

<b>7. Which of the following best matches your purpose for investing?</b>			
a.	You have an investment horizon longer than 5 years. You understand investment markets and are mainly investing for growth to accumulate long term wealth.	50	50
b.	You are not nearing retirement, have surplus funds to invest and you are aiming to accumulate long term wealth from a balanced portfolio.	40	40
c.	You have a lump sum (for example inheritance or an eligible termination payment from your employer) and you are uncertain about what secure investment alternatives are available.	30	30
d.	You are nearing retirement and you are investing to ensure you have sufficient funds available to enjoy your retirement.	20	20
e.	You have some specific objectives within the next 5 years for which you want to accumulate sufficient funds.	20	20
f.	You want to provide a regular income and/or totally protect the value of your accumulated capital.	10	10

<b>8. For how long would you expect most of your money to be invested before you would need to access it? (Assuming you and/or your adviser has made plans to meet short term financial goals and to handle emergencies.)</b>			
a.	Less than 2 years	10	10
b.	Between 2 and 3 years	20	20
c.	Between 3 and 5 years	30	30
d.	Between 5 and 7 years	40	40
e.	Longer than 7 years	50	50

<b>Total Investor Profile Score</b>			
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Investor Profile	Total Points
<b>Conservative:</b> You are a conservative investor. Risk must be very low and you are prepared to accept lower return terms to protect capital. The negative effects of tax and inflation will not concern you, provided your capital is protected.	<b>0 - 100</b>
<b>Moderate:</b> You are a cautious investor seeking better than basic returns, but risk must be low. Typically an older investor seeking to protect the wealth that you have accumulated, you may be prepared to consider less aggressive growth investments.	<b>101 - 180</b>
<b>Balanced:</b> You are a prudent investor who wants a balanced portfolio to work towards medium to long term financial goals. You require an investment strategy that will cope with the effects of tax and inflation. Calculated risks will be acceptable to you to achieve good returns.	<b>181 - 260</b>
<b>Growth:</b> You are an assertive investor, probably earning sufficient income to invest most funds for capital growth. Prepared to accept higher volatility and moderate risks, your primary concern is to accumulate assets over the medium to long term. You require a balanced portfolio, but more aggressive elements may be included.	<b>261 - 350</b>
<b>High Growth:</b> You are an aggressive investor prepared to compromise portfolio balance to pursue potentially greater long term returns. Your investment choices are diverse, but carry with them a higher level of risk. Security of capital is secondary to the potential for wealth accumulation.	<b>351 - 400</b>

<b>Total Investor Risk Profile</b>	
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Asset Class (Income/Growth)	Conservative (70/30)	Moderate (50/50)	Balanced (40/60)	Growth (20/80)	High Growth (0/100)
Cash (income)	20%	10%	5%	35	0%
Australian Fixed Interest (income)	25%	20%	15%	7.5%	0%
International Fixed Interest (income)	25%	20%	15%	7.5%	0%
Australian Shares (growth)	12%	22%	32%	40%	50%
International Shares (growth)	10%	17%	20%	30%	40%
Property (growth)	8%	8%	8%	5%	5%
Alternative Assets	0%	3%	5%	5%	5%
<b>Total</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>	<b>100%</b>

I/We confirm that I/We have read through the Personal Risk Profile Questionnaire and I/We are comfortable with the above Personal Risk Profile selection.

I/We have discussed the potential risks fully with our Adviser and I/We fully accept the consequences of my/our

**Client 1**

**Client 2**

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

\_\_\_\_\_

Date:

**Adviser Notes :**

**Financial Review Frequency**

Notes :

Monthly	Quarterly	Half Yearly	Annually

**Surplus Cash**


**Superannuation**


**Insurance**


**Investment Property**


**Tax Effectives**


**Savings Plan**


**Personal Investments**


**Mortgage Review**


**Important Changes**


## Client(s) Acknowledgement

I/We acknowledge that:

- the information contained in the Personal Information Collection Booklet is an accurate and complete record of the information I/we provided to your Private Client Adviser ;
- Authorise the collection, use and disclosure of my/our personal information for the purpose of the provision of financial planning and advice services and for the management and administration of my/our investment portfolio and financial products as outlined in the "Maddern Financial Advisers Pty Ltd Privacy Statement". I/we understand that unless I/we consent to the collection, use and disclosure identified in the Privacy Statement, Maddern Financial Advisers may not be able to deliver the relevant financial planning and advice services or manage my/our investment portfolio;
- I/we permit this document to be passed in confidence to any member of Maddern Financial Advisers Pty Ltd or any of its related companies;
- I/we have received and have read and understood the Financial Services Guide provided by my adviser before any advisory services were provided;
- Should I/we not proceed within 60 days with the implementation of the financial plan, I/we understand that the information provided must be reviewed;
- Our Adviser has provided information on the Privacy Policy Statement.

**Please tick the appropriate response(s) below:**

- I/We have provided full financial information.**
- I/We have provided limited financial information. I/We have read and understood the warnings noted above under "Important Information for the Client(s)".**

<b>Important Information for the Client(s)</b>
<p>If incomplete or limited financial information has been provided:</p> <ul style="list-style-type: none"> <li>a) I, as your Private Client Adviser, will not be able to undertake a full needs analysis of your individual investment objectives, financial situation and particular needs;</li> <li>b) There is a possibility that any recommendation given to you may not be fully appropriate to your individual objectives and needs, especially those which I, as the Planner, do not know; and</li> <li>c) You as the client must carefully assess the appropriateness of the recommendations to your own individual investment objectives, financial situation and particular needs before acting on them.</li> <li>d) You as the client (s) understand that the adviser may not be able to make such recommendations accurately.</li> </ul>

**Client 1**

**Client 2**

Signature \_\_\_\_\_

Date

## Adviser's Declaration

Adviser's Acknowledgement (Compulsory): **Adviser:**

I declare that the information contained in the **Personal Information Collection Booklet** is an accurate and complete record of the information obtained from the client(s);

**FSG Version 2.00 have been provided before any advisory services were provided**

Yes       No

**Privacy Policy Statement provided**

Yes       No

Private Client Adviser's Signature: \_\_\_\_\_

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