

CONFIDENTIAL QUESTIONNAIRE (PERSONAL)

All income and expenditure assumed gross unless specified otherwise

PERSONAL DETAILS AND OBJECTIVES

	Client	Spouse/Partner
Title		
Forename		
Surname		
Marital Status		
Address		
Postcode		
Telephone Nos. Home		
Business		
Mobile		
Fax		
Email address		
Occupation		
Employers: Name and Address		
Employed/self employed		
Date of Birth		
Are you in good health?		
Do you smoke? (within last 12 months)		
National Insurance no.		
Are you a UK resident?		
Country of domicile		
If deemed domicile, please state and add domicile of origin		

Children

Name of Child	Date of Birth	Relationship	Marital Status

Are there any other financial dependents?

Name	Date of Birth	Relationship	Marital Status

Earned Income

Benefits in kind	Self	Partner	Joint
▪ Car			
▪ Medical Insurance			
▪ Other (please specify)			
Bonuses or comission *See notes below			
Investment income (from Section 5)			
Pension			
▪ occupation al			
▪ personal pensions and/or retirement annuities			
▪ state pensions			
Total Income			
Tax district and reference			
Current tax code (if applicable)			
Estimated net monthly income			
Estimated net monthly expenditure			

Expenditure

Annual from Jan 2006	Self	Partner	Joint
Food @ £_____/wk			
Mortgage			
Life insurances			
Water			
Gas @ £_____			
Electricity @ £_____			
Council tax			
Home Insurance			
House repairs			
Telephone			
Mobile			
Car Insurance			
Petrol			
TV/Entertainment			
Holidays			
Hobbies			
Total			
Total Net Income			

Assets

Approximate gross values	Self	Partner	Joint
	Capital	Capital	Capital
Main residence			
Home contents and other personal effects			
Second property (state if vacant possession)			
Bank deposits			
Building society accounts			
National Savings Accounts			
National Savings premium bonds			
TESSA			
National Savings Cart			
Gilts & fixed interest securities			
Unit trusts / OEICs			
Investment trusts			
Personal equity plans <ul style="list-style-type: none"> ▪ Managed ▪ Single ▪ Corporate 			
Individual savings accounts (mini or maxi)			
Offshore investments			
Investment bonds			
Venture Capital Trusts			
Business Expansion Schemes			
Enterprise Investment Schemes			
Enterprise Property Zone Developments			
Agricultural land & Woodlands			
Interests in life interest trusts			
Quoted stocks & shares			
Unquoted shares			
Any other assets (please state)			
Totals			

PERSONAL LIABILITIES

Approximate current levels of debt	Self	Partner	Joint
Mortgage: <ul style="list-style-type: none"> • Amount outstanding 			
Bank overdraft			
Personal bank loan			
Hire purchase liabilities			
Credit card balances			
Any other liabilities -			
Realised capital gains/losses in tax year			
Total liabilities			

Total Net worth			
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Objectives and Investment Experience

Prioritise your objectives: 1 being the highest priority	Self	Partner
Providing for self/family in the event of death / incapacity:		
Saving for future personal/family objectives:		
Reducing mortgage debt:		
Raising finance:		
Retirement planning / early retirement planning:		
Mitigating personal income tax or capital gains tax:		
Investing for capital growth:		
Investing for income:		
Providing for children's / grandchildren's educational needs:		
Mitigating inheritance tax & making gifts:		
Pension income options:		
Providing for residential or nursing home care:		
Ethical investment opportunities		
Other needs (please state):		

Advisors

	Name and Address
Stockbroker or investment advisor	
Solicitor	
Accountant	

ANNUAL REVIEW SERVICE

The next annual/interim review will take place _____

I confirm that the information I have provided is to the best of knowledge correct. I have provided this information understanding that it is used to form the basis of any advice and recommendations made to me and that I am not under any obligation to take up any recommendation made.

I understand that the recommendations may be made which involve a regular financial commitment or the investment of capital. Accordingly, I understand that I must be sure of the ability to meet that commitment having given consideration to all other expenditure, and the provision for any emergencies, which may require access to funds.

I confirm that I have received a Business card and a Terms of Business Letter. I understand that the Terms of Business Letter should be read carefully.

ADDITIONAL CLIENT DECLARATION (delete if not applicable)

I further declare that I did not want to disclose certain personal/financial information and I am aware that this may prevent an Adviser from being able to identify areas where it might have been appropriate to make recommendations, or which could have an effect on the recommendations that have been made.

NB: Please understand that we reserve the right to decline to give advice if full information is not provided.

We will be storing the information from this document on computer, the purpose being to enable accurate advice to be offered to you. If you do not wish to have your details stored on the computer, please tick this box.

Signatures

Self:

Partner:

Date: _____