

DYNAMIC PLANNER[®] FACT FIND - ENTITY

Purpose of this questionnaire:

We want to make sure that your managed investment portfolio with Albert E Sharp is suitable for you. We have designed this questionnaire to gather the information we need about your financial circumstances, so we can tailor your managed portfolio to your investment objectives and needs.

Please answer the questions as fully as you can. Please note that if you decline to provide information which we need to ensure your portfolio remains suitable for you, then we will be unable to provide you with a managed portfolio service.

These questions are also required to fulfil our regulatory anti money laundering obligations.

Date:

A signature is required when completing the form.

If completed by the client in person:

	1 st Signatory	2 nd Signatory
Signature		

If completed with the client on the phone:

	Name	Role e.g. Investment Manager or IFA
Signature		

Entity Details

Entity type	<input type="checkbox"/> Limited Company <input type="checkbox"/> Charity/Foundation <input type="checkbox"/> Trust <input type="checkbox"/> Partnership <input type="checkbox"/> Other
If other please specify	
Name	
Date of establishment	
Company number if applicable	
Purpose of trust /Business of entity	
Country of incorporation/registration or establishment?	
Does the entity operate outside the UK? If so please specify?	
How was the account opened?	<input type="checkbox"/> Face to face <input type="checkbox"/> On line <input type="checkbox"/> By post

Correspondence Address Details

	Client
Name of contact	
Position/relationship of contact	
Address line 1	
Address line 2	
Address line 3	
Address line 4	
Post code	
Contact phone number	
Mobile phone number	
Email address	
Preferred method of contact	

Entity Address

Entity name	
Address line 1	
Address line 2	
Address line 3	
Address line 4	
Post code	

Entity Investment Experience

	How long have you held this type of investment	Which service have you used to purchase/sell the following investments?	How would you rate your understanding of this type of investment	If you have traded on an execution only basis how frequent have those trades been
Stocks and Shares	<input type="checkbox"/> Over 10 years <input type="checkbox"/> Less than 10 years <input type="checkbox"/> Never	<input type="checkbox"/> Discretionary <input type="checkbox"/> Advisory <input type="checkbox"/> Execution Only	<input type="checkbox"/> Good <input type="checkbox"/> Basic <input type="checkbox"/> None	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Annually
Fixed Interest (gilt or corporate bonds)	<input type="checkbox"/> Over 10 years <input type="checkbox"/> Less than 10 years <input type="checkbox"/> Never	<input type="checkbox"/> Discretionary <input type="checkbox"/> Advisory <input type="checkbox"/> Execution Only	<input type="checkbox"/> Good <input type="checkbox"/> Basic <input type="checkbox"/> None	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Annually
Collective funds (e.g. unit trusts, PEICS or investment trusts)	<input type="checkbox"/> Over 10 years <input type="checkbox"/> Less than 10 years <input type="checkbox"/> Never	<input type="checkbox"/> Discretionary <input type="checkbox"/> Advisory <input type="checkbox"/> Execution Only	<input type="checkbox"/> Good <input type="checkbox"/> Basic <input type="checkbox"/> None	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Annually

Financial Background

Capital available for investment	<input type="checkbox"/> < £250,000 <input type="checkbox"/> £250,001-£1,000,000 <input type="checkbox"/> Over £1,000,001
Income available	<input type="checkbox"/> < £50,000 <input type="checkbox"/> £50,001-£100,000 <input type="checkbox"/> Over £100,001

Risk/Return Objective of Fund

The portfolios are permitted to invest in Equity Type Assets (UK Equities, Overseas Developed Equities and Overseas Emerging Equities), Property Assets (Commercial Property), Monetary Type Assets (government bonds, index linked, strategic bonds, corporate bonds and cash) and Alternative Assets.

Our risk rating scale ranges from 1 to 10 with 1 being the lowest risk and 10 being the highest risk. There is a trade-off between the amount of return gained on an investment and the amount of risk undertaken in that investment.

For instance, at the lowest level risk rating 1 the investments would be held in cash and although the investment will not fall in absolute value, inflation may mean its value in real terms may fall.

At the other end of the scale, risk rating 10, the priority is likely to be making higher returns on your investments and so you accept that you may not get as much back from your investments as you put in.



After reading the explanation above please tick one option in the table below that closest matches your risk/return investment objective.

	Risk Rating	Comparator Index *	Benchmark **
<input type="checkbox"/>	<u>1-2</u>	12 month LIBOR index	DT1 – very low risk no equity
<input type="checkbox"/>	<u>2</u>	12 month LIBOR index plus 2% pa	DT2 – very low risk
<input type="checkbox"/>	<u>3</u>	WMA Conservative index	DT3 – low risk
<input type="checkbox"/>	<u>3-4</u>	WMA Conservative index	DT4 – lowest medium risk
<input type="checkbox"/>	<u>4</u>	WMA Income index	DT4 – lowest medium risk
<input type="checkbox"/>	<u>5</u>	WMA Balanced index	DT5 – low medium risk
<input type="checkbox"/>	<u>6</u>	WMA Growth index	DT6 – High Medium Risk
<input type="checkbox"/>	<u>7</u>	WMA Growth	DT7 – Highest Medium Risk
<input type="checkbox"/>	<u>8</u>	WMA Global Growth index	DT8 – High Risk
<input type="checkbox"/>	<u>9</u>	All Share index	DT9 – Very High Risk
<input type="checkbox"/>	<u>10</u>	WMA Global Growth index	DT10 – Highest Risk

*Comparator index – aiming to outperform the following index over a rolling 3 year period

** Distribution Technology’s (DT) asset class weights and historic returns/volatility of the portfolio prior to implementing AES asset allocation strategy)

Do you require the portfolio income to be paid out to you? (if no, the income will be reinvested in the portfolio)	<input type="checkbox"/> Yes <input type="checkbox"/> No
If yes, income to be paid out	<input type="checkbox"/> Fixed Amount £_____ OR <input type="checkbox"/> all portfolio income received to be paid out to client
If yes, frequency of income to be paid out	<input type="checkbox"/> Monthly <input type="checkbox"/> Quarterly <input type="checkbox"/> Yearly
Any investment constraints? e.g. such as ethical considerations	

For companies, complete the following information on all directors

Director name	Date of birth	Address (including country)

For companies, complete the following information on those with account authority

Authorised name	Date of birth	Address (including country)

For entities, complete the information for all beneficial owners (individuals or entities that own or control, directly or indirectly, 25% or more). If the beneficial owner is an entity, please drill down to the natural person behind that entity.

Beneficial owners	Date of birth	% control	Address (including country)

For trusts, please complete the following for all trustees/executors.

Trustee	Date of birth	Address (including country)

Source of Funds (anti money laundering regulatory questions please complete in full)

What is the source of your wealth? (please tick all that apply)	<input type="checkbox"/> Employment income <input type="checkbox"/> Investment income <input type="checkbox"/> Retirement income <input type="checkbox"/> Other
Other (please describe)	
Value of securities (if any) to be transferred to AES?	
Source of funds being deposited into the account? (please tick all that apply)	<input type="checkbox"/> Existing investment portfolio <input type="checkbox"/> Sale of property <input type="checkbox"/> Inherited assets <input type="checkbox"/> Sale of business <input type="checkbox"/> Other
Other (please describe)	
Please detail e.g. name of business – and name of purchaser	
Anticipated account activity?	<input type="checkbox"/> One off contribution <input type="checkbox"/> Regular contributions <input type="checkbox"/> Ad hoc contributions

Bank Account Details

Bank name	
Branch	
Account number	
Sort code	
Account name	

Name of advisor (if applicable)	
Name of accountant (if applicable)	

Anti-money Laundering Regulatory Documentation Required

Proof of Identity for each **director/trustee/beneficiaries, where >25%** (any one of the following):

- Passport
- Driving license

Proof of Address for each **director/trustee/beneficiaries, where >25%** (any one of the following):

- Driving license (if not used above)
- Utility Bill (no more than 3 months old)
- Bank Statement (no more than 3 months old)

In addition to the above **for a company** we need

- Memorandum & Articles of Association
- List of directors (section of this form above needs to be completed)
- List of beneficial owners and % ownership (section of this form above needs to be completed)
- Certificate of Incorporation
- Proof of Signatories

In addition to the above **for a Trust** we need

- Copy of Trust Deed
- List of Trustees (section of this form above needs to be completed)
- List of beneficiaries and % (section of this form above needs to be completed)
- Proof of signatories

For any questions or guidance on document requirements for other types of clients, for example corporates or trust funds please contact Albert E Sharp on 01789 404000.