

# DYNAMIC PLANNER<sup>®</sup> FACT FIND – PERSONAL\*

**Purpose of this questionnaire:**

We want to make sure that your investment portfolio with Albert E Sharp is suitable for you. This purpose of this questionnaire is to provide us with sufficient information regarding your personal and financial circumstances so that we can manage your investments appropriately.

Please answer the questions as fully as you can. Please note that if you decline to provide information then we may be unable to provide you with a suitable or appropriate investment service.

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

\*This fact find and questionnaire uses Dynamic Planner<sup>®</sup>, a risk-profiling tool developed by Distribution Technology Ltd.

**Date:**

**A signature is required when completing the form.**

**If completed by the client:**

	Client A	Client B (if joint account)
Signature		

**If completed by the adviser/investment manager:**

	Name	Adviser/Investment Manager
Signature		

**Personal Details (\*\* Mandatory)**

	Client A	Client B (if joint account)
<b>Title **</b>		
<b>First name **</b>		
Middle name (s)		
<b>Last name **</b>		
<b>Date of birth **</b>		
<b>National Insurance Number **</b>		
<b>Email Address **</b>		
<b>Primary Contact Number **</b>		
Gender	<input type="checkbox"/> Male <input type="checkbox"/> Female	<input type="checkbox"/> Male <input type="checkbox"/> Female
Marital status	<input type="checkbox"/> Married/Civil Partnership <input type="checkbox"/> Divorced <input type="checkbox"/> Widowed/Widowed <input type="checkbox"/> Single	<input type="checkbox"/> Married/Civil Partnership <input type="checkbox"/> Divorced <input type="checkbox"/> Widowed/Widowed <input type="checkbox"/> Single
If a joint account are you dependent financially?	<input type="checkbox"/> Independent <input type="checkbox"/> Dependent	<input type="checkbox"/> Independent <input type="checkbox"/> Dependent

**Contact Details (\*\*Mandatory)**

	Client A	Client B (if joint account)
Daytime phone number**		
Mobile phone number**		
Preferred method of contact**		

**Current Address Details (\*\* Mandatory)**

	Client
House name/number**	
Address line 1**	
Address line 2**	
Address line 3**	
Address line 4**	
Post code**	
How long have you lived at this address?**	

**Residential History (only required if client has moved in last 2 years)**

	Client A	Client B (if joint account)
House name / number		
Address line 1		
Address line 2		
Address line 3		
Address line 4		
Post code		
How long did you live at this address?		

**Nationality and Residence**

	Client A	Client B (if joint account)
Nationality		
Country of residence		

**Occupation**

	Client A	Client B (if joint account)
Occupation (former if retired)		
Employer name (former if retired)		

Employment status	<input type="checkbox"/> F/T employed <input type="checkbox"/> Self Employed	<input type="checkbox"/> P/T employed <input type="checkbox"/> Retired <input type="checkbox"/> Other	<input type="checkbox"/> F/T employed <input type="checkbox"/> Self Employed	<input type="checkbox"/> P/T employed <input type="checkbox"/> Retired <input type="checkbox"/> Other
If Other - please specify				
Intended retirement age (or actual if already retired)				

### Investment Experience – Client

	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, OEICS, 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

### Assets (Excluding home) and Liabilities

Cash, long term deposits and premium bonds	<input type="checkbox"/> Less than £0.25m <input type="checkbox"/> £0.25m to £1m <input type="checkbox"/> Over £1m
Stocks and Shares (including at Albert E Sharp)	<input type="checkbox"/> Less than £0.25m <input type="checkbox"/> £0.25m to £1m <input type="checkbox"/> Over £1m
Pension assets (excluding final salary schemes)	<input type="checkbox"/> Less than £0.25m <input type="checkbox"/> £0.25m to £1m <input type="checkbox"/> Over £1m
Other illiquid assets (e.g. business, property, art work)	<input type="checkbox"/> Less than £0.25m <input type="checkbox"/> £0.25m to £1m <input type="checkbox"/> Over £1m
Liabilities (e.g. mortgage)	<input type="checkbox"/> Less than £0.25m <input type="checkbox"/> £0.25m to £1m <input type="checkbox"/> Over £1m

### Income and Expenditure

Employment/pension Gross Income	<input type="checkbox"/> Less than £50,000 <input type="checkbox"/> £50,000 to £100,000 <input type="checkbox"/> Over £100,000
Other gross income - (e.g. rental, dividends)	<input type="checkbox"/> Less than £50,000 <input type="checkbox"/> £50,000 to £100,000 <input type="checkbox"/> Over £100,000
Expenditure (e.g. mortgage)	<input type="checkbox"/> Less than £50,000 <input type="checkbox"/> £50,000 to £100,000 <input type="checkbox"/> Over £100,000

We recommend that clients consider repaying debt before investing.

### Portfolio Risk/Return Objective

The portfolios are permitted to invest directly in a wide range of assets including equities (UK and overseas) property (predominantly commercial UK and overseas), government bonds (conventional and index-linked gilts, and overseas), corporate bonds (UK and overseas of varying credit ratings and maturities), and alternative assets such as commodities, infrastructure and hedge funds, for example.

Portfolio exposure to the various asset classes will often be gained through collective investment schemes such as unit trusts, OEICS and investment trusts. Portfolios may also contain structured products and will hold varying cash levels.

Our risk rating scale ranges from 1 to 10; 1 is the lowest risk and 10 is the highest risk.


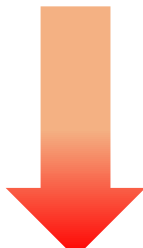
There is a direct trade-off between the amount of potential gain or loss on a portfolio and the amount of risk, i.e. the higher the risk, the higher the potential gain or loss.

A risk rating of 1 suggests that an investor should hold 100% of the portfolio in cash.

At the other end of the scale, risk rating 10, the priority is to achieve higher than average returns on your investments. Consequently, you accept that you may not get as much back from your investments as you put in and this could be a significant amount.

Please tick one option in the table below that most closely matches your risk/return investment objective.

If the suitability and risk of the investment portfolio has been assessed by your financial advisor please still tick the appropriate box.

Risk	Benchmark for Asset Allocation	AES Risk Rating	Tick Here
<div style="text-align: center;">     </div>	DT1 – very low risk	1-2	<input type="checkbox"/>
	DT2 – very low risk	2	<input type="checkbox"/>
	DT3 – low risk	3	<input type="checkbox"/>
	DT4 – lowest medium risk	3-4	<input type="checkbox"/>
	DT4 – lowest medium risk	4	<input type="checkbox"/>
	DT5 – low medium risk	5	<input type="checkbox"/>
	DT6 – High Medium Risk	6	<input type="checkbox"/>
	DT7 – Highest Medium Risk	7	<input type="checkbox"/>
	DT8 – High Risk	8	<input type="checkbox"/>
	DT9 – Very High Risk	9	<input type="checkbox"/>
Higher	DT10 – Highest Risk	10	<input type="checkbox"/>

### Income Requirements

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 £_____ <b>OR</b> <input type="checkbox"/> all portfolio income (net of fees) 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. ethical considerations	

**Tax Considerations – PLEASE COMPLETE WHERE APPLICABLE**

	Client A	Client B (if applicable)
My income is subject to UK tax	<input type="checkbox"/> Basic rate <input type="checkbox"/> Higher rate <input type="checkbox"/> Non-tax Payer	<input type="checkbox"/> Basic rate <input type="checkbox"/> Higher rate <input type="checkbox"/> Non-tax Payer
<b>Capital Gains Tax (CGT) liabilities away from AES?</b>	<input type="checkbox"/> Yes <input type="checkbox"/> No	<input type="checkbox"/> Yes <input type="checkbox"/> No
Will you be realising taxable gains other than at Albert E Sharp?		
<b>Country of Taxation - please specify which country</b>		
<b>Country of Birth? please specify which country</b>		
<b>US Tax Identification Number? Please provide</b>		
<b>Dual Nationality? If yes, please specify</b>		

**Source of Funds – Mandatory\*\* (anti money laundering regulatory questions please complete in full)**

<b>What is the source of your wealth? (please tick all that apply) **</b>	<input type="checkbox"/> Employment income <input type="checkbox"/> Investment income <input type="checkbox"/> Retirement income <input type="checkbox"/> Other
<b>Other (please detail as fully as possible)**</b>	
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 detail as fully as possible)	
Anticipated account activity?**	<input type="checkbox"/> One off contribution <input type="checkbox"/> Regular contributions <input type="checkbox"/> Ad hoc contributions

**Bank Account – (\*\*Mandatory)**

\*For your future protection against fraud please complete your bank details even if no regular income withdrawal is currently required.

Bank name**	
Branch**	
Account number**	
Sort code**	
Account name**	

**Adviser Details**

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

**Anti-money Laundering Regulatory Documentation Required**

Proof of identity - any one of the following for client (and also for partner if applicable):

- Passport
- Driving licence

Proof of address - any one of the following for client (and also for partner if applicable):

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

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.