

DYNAMIC PLANNER[®] FACT FIND - ENTITY

Purpose of this questionnaire:

We want to make sure that the entity's investment portfolio with Albert E Sharp is suitable. This purpose of this questionnaire is to provide us with sufficient information regarding the entity's financial circumstances so that we can manage the investments appropriately.

Please answer the questions as fully as possible. Please note that if the entity declines to provide information then we may be unable to provide a suitable or appropriate investment 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 signatory in person:

	1 st Signatory	2 nd Signatory
Signature		

If completed by the advisor:

	Name	Adviser/Investment Manager
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	
Legal Entity Identifier (LEI)	
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's Contact or Representative's 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

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.

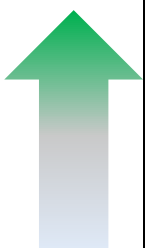
There is a direct trade-off between the amount of potential gain or loss on a portfolio and the amount of risk, i.e. the higher the risk, the higher the potential gain or loss.

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 the entity's investments. Consequently, the entity accepts that it may not get as much back from the investments as the entity put in and this could be a significant amount.

Please tick one option in the table below that most closely matches the entity's 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	Index for Performance Comparison	Tick Here
<div>Lower</div> <div>  </div>	DT1 – very low risk	1-2	12 month LIBOR index	<input type="checkbox"/>
	DT2 – very low risk	2	12 month LIBOR index plus 2% pa	<input type="checkbox"/>
	DT3 – low risk	3	WMA Conservative index	<input type="checkbox"/>
	DT4 – lowest medium risk	3-4	WMA Conservative index	<input type="checkbox"/>
	DT4 – lowest medium risk	4	WMA Income index	<input type="checkbox"/>
	DT5 – low medium risk	5	WMA Balanced index	<input type="checkbox"/>
	DT6 – High Medium Risk	6	WMA Growth index	<input type="checkbox"/>
	DT7 – Highest Medium Risk	7	WMA Growth	<input type="checkbox"/>
	DT8 – High Risk	8	WMA Global Growth index	<input type="checkbox"/>
	DT9 – Very High Risk	9	All Share index	<input type="checkbox"/>
Higher	DT10 – Highest Risk	10	WMA Global Growth index	<input type="checkbox"/>

Income Requirement

Is portfolio income required to be paid out? (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, copies of ID will be required

Directors Name	Date of birth	National Insurance Number	Address (including country)

For companies, complete the following information on those with account authority, copies of ID will be required

Authorised Name	Date of birth	National Insurance Number	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. Copies of ID will be required

Beneficial owners	Date of birth	National Insurance Number	Address (including country)

For trusts, please complete the following for all trustees/executors, copies of ID will be required

Trustee	Date of birth	National Insurance Number	Address (including country)

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

What is the source of the entity's 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 detail as fully as possible)	
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 Details (Mandatory)

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

List of current signatories for all entities

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

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

- Copy of Trust Deed and any deed of retirement and appointment for Trustees
- 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)

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.