



# CLIENT QUESTIONNAIRE

Select ProActive

April 2008



## Section 1. Client's Personal Details

Please fill in the following details.

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

Surname: \_\_\_\_\_

Other Names: \_\_\_\_\_

Date of Birth: \_\_\_\_\_ Age: \_\_\_\_\_

Marital Status: \_\_\_\_\_

No. of Dependents: \_\_\_\_\_

The Name of your Current Employer, if applicable: \_\_\_\_\_

## Section 2. Client's Current Investment Holdings and Borrowings

Please complete the following.

**Table 1. Current Personal Investments**

Asset Class	\$ Amount Invested	\$ Amount Borrowed
Cash and Liquid Investments		
Fixed Interest		
Managed Funds (excl Super)		
Home Property		
Investment/Indirect Property		
Direct Shares		
Other (incl credit cards)		
<b>Total</b>		

**Table 2. Current Superannuation Investments**

Asset Class	\$ Amount Invested
Cash and Liquid Investments	
Fixed Interest	
Managed Funds (Super)	
Home Property	
Investment/Indirect Property	
Direct Shares	
Other	
<b>Total</b>	

How much would you like to invest in direct shares? \$ \_\_\_\_\_

Would you like to use debt to leverage your investment?  
(Circle one)  YES  NO  UNSURE

Have you ever used debt to leverage an investment?  
(Circle one)  YES  NO



## Section 4. Risk Profiler

Please indicate how well the following statements apply to you, by circling the most appropriate response.

A. What is your investment time horizon?

1	2	3	4	5	<input type="text"/>
0 - 12 months	1 – 2 years	2 – 4 years	4 - 5 years	> 5 years	

B. My main investment objective is to achieve capital growth with my investments.

1	2	3	4	5	<input type="text"/>
Strongly Disagree	Disagree	No Opinion	Agree	Strongly Agree	

C. The most important investment concern for me is to preserve my capital.

1	2	3	4	5	<input type="text"/>
Strongly Agree	Agree	No Opinion	Disagree	Strongly Disagree	

D. I want to generate regular and stable income from my investments.

1	2	3	4	5	<input type="text"/>
Strongly Agree	Agree	No Opinion	Disagree	Strongly Disagree	

E. The ability to get in and out of my investments at very short notice is the **least** important investment consideration for me.

1	2	3	4	5	<input type="text"/>
Strongly Disagree	Disagree	No Opinion	Agree	Strongly Agree	

F. I understand that investments can increase and decrease over time, and I am very comfortable with this volatility.

1	2	3	4	5	<input type="text"/>
Strongly Disagree	Disagree	No Opinion	Agree	Strongly Agree	

G. I understand and accept when I purchase a stock that stock prices can decrease.

1	2	3	4	5	<input type="text"/>
Strongly Disagree	Disagree	No Opinion	Agree	Strongly Agree	

H. I am not worried when a stock that I own is trading at a price less than I purchased it for.

1	2	3	4	5	<input type="text"/>
Strongly Disagree	Disagree	No Opinion	Agree	Strongly Agree	

I. How many years have you been investing directly in shares for?

1	2	3	4	5	<input type="text"/>
0 - 12 months	1 – 2 years	2 – 4 years	4 - 5 years	> 5 years	

J. How would you rate your share investment skills?

1	2	3	4	5	<input type="text"/>
Bad	Below Average	Average	Above Average	Great	

**Please enter your average score  
(total and divide by 10)  
This is your Investor Profile**

## Section 5. Investor Profile

Score	Profile	Description
1-1.5	Very Defensive	The client requires regular and stable income. The client is highly risk averse. The client has a small tolerance to capital risk.
1.6-2.5	Defensive	The client desires regular and stable income. The client is risk averse. The client does not tolerate significant variations in the value of their capital.
2.6-3.5	Balanced	The client's goal is to achieve some capital growth. Regular and stable income is considered beneficial. The client is risk neutral. The client is prepared to tolerate small variations in the value of their capital.
3.6-4.5	Growth	The client aims to achieve real capital growth with the investments. Regular and stable income from share investments is considered a bonus, but not imperative. The client is a risk seeker. The client is prepared to tolerate variations in the value of their capital, and realises that investment returns are directly correlated to investment risks.
>4.6	High Growth	The principal goal of the client is to achieve substantial capital gains. Regular and stable income is not important. The client is high risk seeker. The client understands that there is a real possibility that investment returns will be negative in any one year. When the value of the client's capital falls the client is prepared to invest further amounts of capital.

### Recommended Share Investment Weightings

	Very Defensive	Defensive	Balanced	Growth	High Growth
Income	50	40	30	20	10
Value	50	40	30	20	10
Growth	0	20	30	40	60
Small Companies	0	0	10	20	20
<b>Indicative Share Investment Term</b>	<b>0 - 12 months</b>	<b>1 – 2 years</b>	<b>2 – 4 years</b>	<b>4 - 5 years</b>	<b>&gt;5 years</b>

Recommended Share Investment Weightings are share investment **guidelines only** and are subject to change. All share market investments are at risk. Share market conditions and share investment fundamentals are subject to change and must be taken into account before selecting a share investment portfolio. A Select Equities investment adviser should be consulted before any investment decision is made.



## Section 6. Select Equities Services

Please nominate which Select Equities services you would like to receive, by ticking the relevant boxes (you can tick as many boxes as you wish).

- Select ProActive Portfolio Management Service
- Select Equities Personalised Portfolio Appraisal
- Select Equities Quarterly Investment Strategy Research
- Select Equities Daily Share Market Email Update
- Valuation Statements
- Contract Note Reports
- Share Trading Advice

## Section 7. Third Party Services

Please nominate which third party services (which Select Equities does not provide) you would like to receive, by ticking the relevant boxes (you can tick as many boxes as you wish).

- Financial Planning
- Superannuation Advice
- Retirement Planning
- Insurance Advice
- Estate Planning
- Succession Planning
- Accounting/Taxation Advice
- Legal Advice
- Mortgage Advice

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

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