

Completed By:	Client & Adviser
Start Date:	
Update:	

Client Information File

Your Financial Circumstances, Attitudes, & Objectives

CLIENT	
LOCATION	

Advice Basis: **Full (Objective) Review**

Information Status: **First Fact File**

The purpose of this form is simply for us to share information about you, in order to provide you with the right Financial Advice. Please therefore take sufficient time to complete it carefully in as far as it is appropriate. Some questions and some item details may not be relevant to you.

You might like to include copies of any relevant Contract/Policy documents to ensure accuracy of information. We often find, on examining a document, that a policy or contract may not be what you think it is! These types of documents can be quite confusing; so let us help you check them over where necessary.

The more we know about you, and the better we understand you, the more we are able to help you. Too much information is better than too little. Therefore, please feel free to say as much as you like or what you consider relevant. You do not need to repeat any information already provided via an associated document.

In the interest of understandings and agreements, we will always provide you with file copies of all documentation and transactions pertaining to you as our Client.

Financial Services & Markets Act 2000

As Independent Financial Advisers it is our duty, in accordance with the Financial Conduct Authority, to always act in your best interests. We must therefore ensure that we are fully aware of your relevant financial circumstances, attitudes, and objectives in order to provide you with appropriate and effective advice.

Data Protection Act 1998

The information recorded in this document will be retained by us, and will form the basis of your Client Information File. We will only use this information for its intended purpose of providing you with Independent Financial Advice and other associated services in our professional capacity. We will not otherwise disclose or share this information with anyone else for any other purpose.

About You / Your Partner / Your Family

Self	
Title	
Forenames	
Surname	

Partner	
Title	
Forenames	
Surname	

DOB	
Age	
NI No	

DOB	
Age	
NI No	

Gender	
Marital Status	
Nationality	
Residency	

Gender	
Marital Status	
Nationality	
Residency	

Occupation	
Job Title/Description	
Employer/Business	
Income Status	
Gross Annual Income	
Net Monthly Income	
Total Monthly Expenditure (Cost of Living)	
Income/Expense Balance	

Occupation	
Job Title/Description	
Employer/Business	
Income Status	
Gross Annual Income	
Net Monthly Income	
Total Monthly Expenditure (Cost of Living)	
Income/Expense Balance	

Telephone	
Home/Mobile	
Mobile/Other	

Telephone	
Home/Mobile	
Mobile/Other	

Email Address	
Personal	
Other	

Email Address	
Personal	
Other	

Bank Account	
Account Name	
Account No	
Bank Name	
Sort Code	

Bank Account	
Account Name	
Account No	
Bank Name	
Sort Code	

Transact Account	

Transact Account	

Home Address (Main Residence)			
House/Street/Locality:			County:
Town/City:			
PostCode:			

Family Members and/or Financial Dependants			
Name	Age/DOB	Relationship	Dependant/Resident

General Notes:

Your Financial Needs & Objectives

Please tell us about your Financial Objectives. The more you can tell us the better we can help you. Therefore, please say too much rather than too little. Use the headings to prompt you for the information you should provide - which can include known objectives, preferred outcomes, and your financial attitudes.

What..
do you want to achieve?

Why..
do you want to do this?

Who..
is it for?

When..
do you want to do this?

How...
important is it?

<u>Objective 1.</u>				
<u>Objective 2.</u>				
<u>Objective 3.</u>				
<u>Objective 4.</u>				

Your Estate

	Self	Partner
1. Wills: Do you have a Will?		
Is it up-to-date?		
Is it Registered and/or Stored Securely?		

2. Lifetime Liabilities:		
Are you due to pay out any significant sums of money at any time in the future? If yes, please give details...		

3. Lifetime Receipts:		
Are you expecting to receive any significant sums of money at any time in the future? If yes, please give details...	Yes	

4. Estate Value:

Please summarise the value of your Estate as follows:

	Self	Spouse	Total
Main Residence			
Other Residence Properties			
Home Contents & Personal Belongings			
Cars/Boats/Caravans etc			
Cash			
Investments			
Pensions			
Assets in Trust			
Mortgages & Secured Loans			
Credit Cards & Personal Loans			
Gross Estate Value			
Net Estate Value minus Debts/Pensions/Trusts			
IHT Allowance			
Taxable Value			
Tax Liability @ 40%			

Please tell us anything else you think we should know about the Valuation or Inheritance Arrangements of your Estate: