

# CLIENT DATA QUESTIONNAIRE



## Important Notice

The Corporations Act 2001 requires that an Adviser making an investment recommendation must have reasonable grounds for making that recommendation. This means that the Adviser must conduct an appropriate investigation as to the investment objectives, financial situation and particular needs of the person concerned. The information that is requested in this form is necessary to enable a recommendation to be made on a reasonable basis and will be used for that purpose.

## Warning

Your adviser could give inappropriate recommendations or advice if you fail to accurately provide the information requested in this form. We accept no liability for advice given based on incomplete or inaccurate information.

What prompted you to contact The Money Managers?		
<input type="checkbox"/> Seminar <input type="checkbox"/> Radio <input type="checkbox"/> Newspaper <input type="checkbox"/> Website <input type="checkbox"/> Other _____		
Referred By: <input type="checkbox"/> Existing client <input type="checkbox"/> Accountant <input type="checkbox"/> Solicitor <input type="checkbox"/> Friend		
Reasons for Seeking Advice:		
Goals / Objectives:	1.	
	2.	
	3.	
Title & Full Name		
Date of Birth		
Marital Status		
Tax File Number (TFN)		
Address		
Contact Details	H	
	W	
	M	
	Email	
Number of children		
Number of dependants		
Employment Status (circle one)	Self Employed / Full Time / Part Time / Unemployed / Retired	Self Employed / Full Time / Part Time / Unemployed / Retired
Occupation		
Employer		
Salary (excluding 9% SGC)		

Current Salary Packaging (not included in salary above): - car - superannuation			
Other Income: - Centrelink - CSS/GSO/Other Pensions - Other (please specify)			
Planned Retirement Date			
Living Expenses (after tax)	Now		
	Retirement		
Capital Expenses	Now		
	Retirement		
Cash Reserve			
<b>Please circle one option for the following two questions (if applicable):</b>		<b>Client 1</b>	<b>Client 2</b>
(i) If you are aged between 65 and 74, have you been gainfully employed for at least 40 hours within a consecutive 30-day period in this financial year?		Yes / No	Yes / No
(ii) If you are aged between 65 and 74, were you gainfully employed for at least 240 hours over the course of the preceding financial year?		Yes / No	Yes / No

Are there other employment issues that we should be aware of in preparing your Statement of Advice e.g. bonuses, anticipated redundancy, change of remuneration, change of type of employment?

Children and Other Dependants	Date of Birth	Relation	Financial Dependent	Support to Age
			Yes / No	
			Yes / No	
			Yes / No	
			Yes / No	

Are there other family circumstances that we should be aware of in preparing your Statement of Advice e.g. maintenance being paid, other dependent relatives, children from previous marriages?

Lifestyle Assets	Owner (Individual / Joint	Current Value \$
Primary Residence		
Holiday Property		
Home Contents		
Motor Vehicle		
Other		

Existing Entities	Name		Value of Assets within Entity		
Company					
Unit Trust					
Family Trust					
Self Managed Super Fund					
Existing Superannuation Funds (please provide latest statements)	Owner	Type (Accumulation / Defined Benefit)	Current Balance \$	Eligible Start Date	Tax-Free Component

Are there other superannuation issues that we should be aware of in preparing your Statement of Advice e.g. have you received any benefits from an Employer or an Eligible Termination Payment from a Super Fund?

Closed Superannuation Accounts (Since 1/7/2007)	Owner	Type (Accumulation / Defined Benefit)	Account Number
Superannuation Contributions		Client 1	Client 2
Employer Contributions (current financial year)			
Salary Sacrifice (current financial year)			
Personal Contributions (current financial year)			
Personal Contributions (During 2007/08)			
Other (i.e. compensation, small business etc)			

Are there issues that we should be aware of in preparing your Statement of Advice regarding your contributions to superannuation? For example, do you have an arrangement with your employer to salary sacrifice future bonuses or leave entitlements? Are you likely to receive a pay rise?

Centrelink	Client 1	Client 2
Centrelink Benefit Type		
Benefit Amount (\$ per fortnight)		
Centrelink Relationship Number		

Are there issues that we should be aware of in preparing your Statement of Advice regarding plans to change any of your lifestyle assets, e.g. downsizing primary residence, move to holiday house permanently?

<b>Suburb &amp; Property Type</b> (house/unit etc)	<b>Owner</b>	<b>Current Value \$</b>	<b>Cost \$</b>	<b>Date of Purchase</b>	<b>Net Income \$</b>
<b>Cash and Fixed Interest</b> (Account / Interest Rate)	<b>Owner</b>	<b>Bank / Institution</b>	<b>Current Value \$</b>	<b>Income Reinvested</b>	<b>Maturity Date</b>
				Yes/No	
				Yes/No	
				Yes/No	
<b>Managed Investments / Shares</b> (please provide latest statements)	<b>Owner</b>	<b>Cost \$</b>	<b>Current Value \$</b>	<b>Income Reinvested</b>	<b>Date of Purchase</b>
				Yes/No	
				Yes/No	
				Yes/No	
				Yes/No	
				Yes/No	
<b>Liabilities</b>	<b>Owner</b>	<b>Institution</b>	<b>Amount Owing \$</b>	<b>Interest Rate</b>	<b>Monthly Payment</b>
Mortgage Primary Residence					
Investment Property Loan					
Margin Loan					
Tax					
Other					

Are there other matters regarding your liabilities that we should be aware of in preparing your Statement of Advice (e.g. mortgage rate is fixed for 3 years)?

<b>Will</b>	<b>Client 1</b>	<b>Client 2</b>
Do you have a Will?	Yes / No	Yes / No
Testamentary Trust	Yes / No	Yes / No

Executor(s)		
Guardian Appointed	Yes / No	Yes / No
<b>Power of Attorney</b>	<b>Attorney Name(s)</b>	<b>Type (circle one)</b>
Client 1		Enduring / Medical / General
Client 2		Enduring / Medical / General

Are there other matters regarding your estate planning that we should be aware of in preparing your Statement of Advice (e.g. vulnerable beneficiary)?

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Insurance (Type of cover held)	Life Insured	Nominated Beneficiary	Insurance Provider	Sum insured \$	Premium (p.a.) \$
Term Life Cover					
Endowment / Whole of Life					
Total Permanent Disability					
Trauma Insurance					
Income Protection					
Business Expense					
Health Insurance	N/A			N/A	

Are there other insurance matters we should be aware of in preparing your Statement of Advice e.g. has an insurance application ever been rejected?

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**Please bring the following items (if relevant) to the meeting:**

- Tax File Numbers
- Superannuation / Managed Fund Statements
- Superannuation Transaction Statements
- Fixed Interest / Term Deposits Statements
- Share Details – including cost base, current market value
- Annual Accounts & Tax Returns for SMSF, Company, Family Trust
- Loan Repayment Details – interest rate, level of repayments, expected end date

**Declaration**

- The information set out in this form accurately represents my/our current circumstances.
- I/We understand that recommendations will be based on the information supplied in this form.
- I/We have been provided and have read The Money Managers Privacy Policy Statement.
- I/We confirm that my adviser has provided me/us with a Financial Services Guide (Version 3 dated 1/7/2008) and adviser profile.
- I/We give permission for my/our tax file number/s as provided above, to be retained on file by our Adviser and forwarded to financial institutions as requested or as necessary.

Client Name	Signature	Date