FORT
WEALTH MANAGEMENT

CLIENT PROFILE

This Client Profile is strictly confidential between yourself and Fort Wealth Management Limited and has been designed to analyse your personal and financial situation, identify your investment, pension and assurance needs and make appropriate recommendations.
There is no obligation on your part to accept any/all of the recommendations made and you may wish to decline to complete any part of the profile. (See Declaration at end of document.)
However, without full detailed information the advice given may be limited and therefore may not fully address your needs

DATA PROTECTION

The information requested on this form may be used by us to provide you with the service you are applying for and to confirm, update and enhance our customer records.
The information may also be used to advise you of other products and services which may be of interest to you. If you do not wish to receive this information, please tick the box ☐

COMPLAINTS

Should you have any complaint about the advice you receive or a product you have bought, please write to the Compliance Manager, at the Fort Wealth Management address.

ACCOMPANYING DOCUMENTS

With this Client Profile Form you will also receive an additional form, which is very important. This will be the Terms of Business Form. If you have not received this form, please immediately contact Fort Wealth Management.

PERSONAL DETAILS

	Self	*Partner*
Name (in full including title)		
Address - Overseas (please indicate if this is the address for correspondence)		
Address - UK (if any)		
Tel/Fax Nos. **Home:** **Work:**		
DATE OF BIRTH		
PLACE OF BIRTH		
MARITAL STATUS	**Married/Single/Divorced Separated/Widowed**	**Married/Single/Divorced Separated/Widowed**

Are you generally in good health? **Yes** ☐ **No** ☐ **Yes** ☐ **No** ☐

Do you smoke? **Yes** ☐ **No** ☐ **Yes** ☐ **No** ☐

Name of Dependants	**M**	**F**	**Date of Birth**			**Relatio nship**	**Health**

DOMICILE/RESIDENT		
In which countries do you have tax liabilities?		
Where do you intend to live once retired?		

EMPLOYMENT DETAILS

	Self	*Partner*
OCCUPATION		
NAME OF EMPLOYER		
EMPLOYMENT STATUS	EMPLOYED/SELF EMPLOYED	EMPLOYED/SELF EMPLOYED
GROSS SALARY		
OTHER BENEFITS & BONUSES		
EMPLOYMENT HISTORY		

PENSION REVIEW

General Questions

Planned Retirement Age		

Do you have any preserved pension from previous employment? **Yes** ☐ **No** ☐ **Yes** ☐ **No** ☐

Please complete whichever section below is appropriate to your current circumstances.

COMPANY PENSION SCHEMES

If you are a member of a Company Scheme, please give full details ie contribution, years of service etc.

PRIVATE PENSION SCHEMES

If you have a Private Pension, please give details, ie Company, contributions, years in scheme.

LIFE ASSURANCE, AND OTHER REGULAR SAVINGS

Existing insurance policies (Life Assurance, Critical Illness, Permanent Health Insurance etc.).

Company	Policy Type	Sum assured	Premium & frequency	Maturity date	Assured/ proposer	Under Trust?

LONGER TERM SAVINGS

Please give details of any longer term investments/savings, Unit/Investment Trusts, Bonds, Shares etc.

Do you have Savings plans for Children / Grandchildren (if applicable)

	Self				Partner			
	YES		NO		YES		NO	

OTHER ASSETS

Please give details of other assets including property etc.

LIABILITIES

Please give details including Mortgages, Loans, Credit Cards, etc.

CASH ACCOUNTS

	Self		*Partner*		*Joint*	
Current Account (Bank/Branch ..../..................)						
Interest Account (Bank/Branch .... / ....)						
Building Society Account (Society/Branch .... / ....)						
Other						
Bank/Branch .... / ....)						

INVESTMENT OBJECTIVES

Please indicate in order of priority (ie most important 1, next important 2 etc)

Increase Net Income		**Capital Growth**		**Reduce Tax Liability**	
Balanced Growth & Income		**Inheritance Planning**		**Education Planning**	
Family Protection		**Income Protection**		**Pension Provision**	
Mortgage Repayment		**Mortgage Protection**		**Further Home Ownership**	
Other, please specify ...					

INVESTMENT TERM

Short (up to 5 years)	
Medium (5 to 10 years)	
Long (10 years plus)	
Open Ended	
Other, please specify:-	

Do you have any particular requirements, including likes and dislikes, or any specific currency denominations, investments or products which you are particularly interested in?

Cash available for investment and/or income available regularly

LUMP SUM	**ANNUALLY**	**MONTHLY**

Which Currencies have you available for your objectives?

GBP Pounds Sterling £		**USD United States Dollars $**	
EUR Euros		**Other**	

ATTITUDE TO INVESTMENT RISK

Please consult the 'Attitude To Investment Risk' guidance notes below.

Indicate where you are prepared to accept the various four generic areas of investment risk. Portfolios / Investments / Recommendations ***can*** be exposed to all of the following areas, Fort Wealth Management ***may*** operate a 'balanced out' portfolio, rather than restrict recommendations solely within one area, i.e. a Medium Risk portfolio ***could*** combine lower & higher risk in order to balance out, unless you notify us in writing beforehand, not to do so.

Please indicate where you are prepared to invest in the various risk categories. This only refers to any available capital and not to your existing portfolio / products / savings.

	Self	Partner
No Risk		
Low Risk		
Medium Risk		
Medium/ High Risk		
High Risk		

ATTITUDE TO RISK GUIDANCE NOTES FOR CLASSIFICATIONS

No Risk: You are not prepared to see any reduction whatsoever in the value of your investments, even if there is a fair chance that the value will recover from the fall before you are likely to need the money. You are only prepared to put your money into investments such as cash or short-term fixed interest securities where capital return is guaranteed. You fully understand and accept that the future purchasing power of the capital is likely to be lower over the long-term than if you hold investments based on shares and property. You also accept that the income from cash deposits can move up and down, sometimes quite suddenly.

Low Risk: You are a cautious investor and would want a high proportion of your funds to be in cash or other guaranteed investments. However you are prepared for some of your investments to be in funds where there may be a limited degree of fluctuation in value in return for prospects of modest long-term growth.

Medium Risk: You are a more typical investor who wants some savings and investments in cash form- mainly for possible short-term needs. For the rest, you are prepared to see your investments fluctuate in return for a higher level of prospective growth in both income and capital. However, you would like to see a reasonable proportion of your investments in largely asset-based investments such as with-profits or managed funds. You are prepared to put a very small part of your investments in higher risk funds.

Medium High Risk: You only want the minimum level of cash deposits to cover short-term needs. For the balance, you are prepared to invest in asset-based investments with very little in mixed funds such as with-profits policies and managed funds. Your income requirements are relatively low and you can afford to take a long-term view of well over 10 years. You like the idea of investing a significant amount outside the UK and are prepared to invest 10% - 20% of your financial assets in higher risk funds.

High Risk: You only want the minimum level of cash deposits to cover short-term needs. For the balance, you are prepared to invest in asset-based investments with little or no managed fund or with-profits fund investment. You are comfortable with investments in high-risk funds, individual shares and even unquoted investments.

Potential Return

Very Low / Cautious	*Low / Defensive*	*Moderate / Realistic*	*Aggressive*	*Highest/ Speculative*
No Risk	***Low Risk***	***Medium Risk***	***Medium High Risk***	***High Risk***

Potential RISK

Declaration:-

I/We confirm that the information given in the client profile is as disclosed by me/us.
I/We understand that any advice which I/we may receive will be given on the basis of the information within this questionnaire and that it does not place me/us under any obligation to invest or take up any recommendation which may be made.

(* Delete as applicable)
* I/We have decided not to disclose information within the following section (s)
....
....
....
....

* I/We have decided to totally non-disclose any details or information.
* I/We understand that due to my/our non-disclosure that the advice given may be limited.
*I/We have received a copy (copies) of the 'Terms of Business' documents, plus I/we have been given a business card.

Signature Self ______________________________ Partner ______________________________

Date ______________________________ Date ______________________________

If signing on behalf of a Trust or Company, please indicate your position. If you are signing on behalf of a Trust or Company, you are confirming that you have the capacity to do so.

THIS PAGE IS AVAILABLE FOR ANY ADDITIONAL INFORMATION

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