

Review fact find

Private and confidential

Client 1

Surname

First name(s)

Client 2

Surname

First name(s)

Date of review

 / /

Adviser details

Adviser name

(To be completed if the client(s) does not have an up-to-date FSG)

Date FSG provide to client(s)

 / /

FSG version supplied (version date)

Important Notice

ASIC requires that an adviser make reasonable inquiries about whether the information already held about the client's relevant personal circumstances is up-to-date and complete. This involves investigating the client's personal and financial circumstances, needs and objectives on an ongoing basis.

Personal circumstances

Since our last discussions/meetings

Have there been any changes to your personal circumstances?
eg contact details, employment and dependants.

☐ Yes

☐ No

Have your retirement plans changed?
eg same retirement age and income expectations.

☐ Yes

☐ No

Please provide details.

Income and expenditure

Since our last discussions/meetings

Has the overall level of your income changed?
eg increase or decrease more than CPI.

☐ Yes

☐ No

Has your level of expenses changed?
eg significant increases or decreases.

☐ Yes

☐ No

Have you incurred any unanticipated expenditure?

☐ Yes

☐ No

Are your current cash reserve levels sufficient?

☐ Yes

☐ No

Please provide details.

Assets and liabilities

Since our last discussions/meetings

Has there been any changes to your asset position?
eg sale or purchase, increase or decrease in value.

☐ Yes

☐ No

Has there been any change to the level of your liabilities?
eg new loans, repayment of loan, change in balance.

☐ Yes

☐ No

Please provide details.

Superannuation details

☐ This section has been left blank intentionally as it is not applicable

Since our last discussions/meetings

Have you made any additional contributions to superannuation?

☐ Yes

☐ No

Have you made any withdrawals from superannuation?

☐ Yes

☐ No

Please provide details.

Annuities and pensions

☐ This section has been left blank intentionally as it is not applicable

Since our last discussions/meetings

Are you happy with the current level of income received?

☐ Yes

☐ No

Please provide details.

Social security

☐ This section has been left blank intentionally as it is not applicable

Since our last discussions/meetings

Has there been a change in the level of entitlements?

☐ Yes

☐ No

Has the level of your income or assets level changed?

☐ Yes

☐ No

Have you gifted any assets?

☐ Yes

☐ No

Please provide details.

Estate planning

☐ This section has been left blank intentionally as it is not applicable

Since our last discussions/meetings

Have you updated/amended your Will?

☐ Yes

☐ No

Have you put a Power of Attorney in place?

☐ Yes

☐ No

Please provide details.

Personal risk insurance

☐ This section has been left blank intentionally as it is not applicable

Since our last discussions/meetings

Are you comfortable with the personal risk insurance you have in place in the event of accident/illness or death?

☐ Yes

☐ No

Would you like us to review your personal risk insurance to ensure they remain adequate for your current needs and circumstances?

☐ Yes

☐ No

(Note: Please complete a Risk Insurance Needs Analysis if applicable).

Please provide details.

Investment risk profile

Since our last discussions/meetings, has there been a change in the following

Your requirements for income?

☐ Yes

☐ No

Your requirements for capital growth?

☐ Yes

☐ No

Your investment time-frame/s?

☐ Yes

☐ No

Your attitude towards loss of capital?

☐ Yes

☐ No

Your liquidity/cash-ability requirements?

☐ Yes

☐ No

Your existing Investment Portfolio?

☐ Yes

☐ No

Are there any investments you are concerned with?

☐ Yes

☐ No

Have your needs or objectives changed (as previously documented)?

☐ Yes

☐ No

Please provide details.

In light of the above responses, which reflects the status of the client's risk profile?

☐

The risk profile remains appropriate in light of the client's investment needs and objectives.

☐

Due to a change of needs and objectives, it is recommended a review of the client's risk profile be conducted.
(Action – client/s to complete risk profile questionnaire)

☐

Due to a change of needs and objectives, the client/s wish to alter their risk profile.
(Action – client/s to complete risk profile questionnaire)

Client declaration

The information provided in this Review fact find is complete and accurate to the best of my/our knowledge (except where I/we have indicated that I/we have chosen not to provide the information).

I/We understand and acknowledge that by either, not fully or accurately completing the Review fact find, that any recommendation or advice given by the adviser in these circumstances may be inappropriate to my/our needs and that I/we risk making a financial commitment to a financial product that may be inappropriate for the needs identified.

Client 1 signature

Date

/

/

Print Name

Client 2 signature

Date

/

/

Print Name

Adviser notes

Action items

Adviser signature

Date / /

